

INDIAN AFFAIRS RECORDS SCHEDULE

6100 Series
INDIAN FIDUCIARY FINANCIAL TRUST

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6100-P2

Program Correspondence and Policy/Directives Files

NARA JOB #
N1-075-06-9
Approved
6/28/2006

a. Program Correspondence Files – Official Files

Records include 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 Office of the Special Trustee for American Indians (OST) - Indian Fiduciary Financial Trust Records Series (IFFTRS) functions. Records consist of documentation of the activities 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: Each office is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office two 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 5 USC 552a and INTERIOR, OS-02.

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

Records include files created and related to the internal program policy, guidance and regulations of daily operations for the OST – IFFTRS 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 superseded or rescinded. Maintain in office two 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 Fiduciary Financial Trust

TR-6101-P2

Investment Files

**NARA JOB #
N1-075-04-7
Approved
12/17/2003**

Purpose: Invest tribal and individual Indian trust funds to make the trust accounts productive for the beneficial owners that are consistent with market conditions which exist at the time the investments are made. Division of Trust Funds Investments controls the buying, selling, and trading of investment instruments in accordance with applicable laws, regulations, and policies.

Office of Trust Funds Management verifies income payable for the day and reconciles differences from the previous day. Prepares work tickets for projected income, which is verification and reconciliation for the incoming incomes from investments five (5) days prior to the maturity date. Prepare, verifies, and files work tickets for "in-house" trades. Monitors called securities; retrieves and files the package for called securities.

Monitors security buy, sells, calls, and maturities in Trust Funds Accounting System (TFAS) and verifies investment work tickets to information with custodian.

Note:

1. Related Electronic Systems: Money Max, Trust Funds Accounting Systems (TFAS), and Bloomberg.

Content:

- Records of investments
- Bonds
- Trade ticket
- Related correspondence
- Statements of income producing security accounts
- Investments reports
- Money Max System reports

Filing Arrangement: Numerical by coupon rate.

Official File: The Office of Trust Funds Management is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR, OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6102-P2 [Tribal Case Files](#)

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: Tribal Accounts are established in accordance with 25 CFR § 115.702.

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS).

Content:

- Legal documentation such as tribal resolutions, Public Laws, use and distribution plans
- Routine File Maintenance documentation
- SF-1034 Public Voucher for purchases and Services other than Personal
- Financial Transaction documentation such as budget, per capita payouts, SF-1166 Schedule of Payments and Electronic Fund Transfers (EFT)
- ACH disbursements, interest calculation worksheets
- BIA Form 4285 Transfer Between Appropriations
- General Information and other related correspondence: letters to/from account Holders, memos to the file, customer statements

Filing Arrangement: Arrange by Tribal name then in numerical order by account number.

Official File: The Office of Field Operations is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year in which account is closed. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR, OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6103-P2 Weekly Indian Services Special Disbursing Agent (ISSDA) Disbursement Report

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To report all Individual Indian Monies disbursement checks on a weekly basis to Treasury.

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS).

Content:

- Weekly Check Report
- Daily Disbursement Report (DDR)
- Indian Service Special Disbursing Agent (ISSDA) E-data File

Filing Arrangement: Arrange chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

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INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6104-P2 Monthly Check Inventory Reconciliation Report

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To reconcile and report on a monthly basis all 0000-4844 checks used to checks ordered from Treasury.

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS).

Content:

- Daily Disbursement Reports
- Check Order Listing
- Monthly Check Inventory Report

Filing Arrangement: Arrange chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR, OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6105-P2 Agency Electronic Funds Transfer (EFT) Payment Report

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: This report lists the total number of Electronic Funds Transfer (EFT) payments sent to account holders per month. The Electronic Funds Transfer (EFT) payments are compared to payments made by checks.

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) and the Electronic Certification System (ECS)

Content:

- Summary of Wind River Per Capita checks for current month
- SF-1166 Voucher and Schedule of Payments daily activity for current month
- Electronic Funds Transfer (EFT) Report - All Check Disbursement
- Individual Indian Monies (IIM) Electronic Funds Transfer – Disbursement Code 55
- Tribal – checks using SF1166 Voucher and Schedule Payments (VS prefix)
- Custodian's daily activity for current month
- Daily Disbursement Report – VT daily activity for current month
- Tribal Electronic Funds Transfer
- Individual Indian Monies (IIM) Electronic Funds Transfer Disbursement 42, 43, 60, 61, and 85
- Comparison to prior period worksheet
- Summary of Mescal payment for month.
- EFT and check distribution data worksheet
- Tribal Electronic Funds Transfer

Filing Arrangement: Arrange chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR, OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6106-P2 Quarterly Loss/Claims Report

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To report Individual Indian Monies claims and summarize the potential and actual losses pending settlement and interest calculated.

Note:

1. Related Electronic Systems: Trust Funds Accounting System (TFAS)

Content:

- Tribal Treasury overnighter rates for the three month period
- Individual Indian Monies (IIM) interest rate for the three month period
- Historical spreadsheets for each loss and claim.

Filing Arrangement: Arrange chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR, OS-02.

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Indian Fiduciary Financial Trust

TR-6107-P2 [Intra-Governmental Fiduciary Transactions Confirmation System Report \(IFCS\)](#)

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To reconcile the Treasury securities and earnings submitted online by the Bureau of Public Debt (BPD).

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) and BPD – Intra Governmental Fiduciary Transactions Confirmation System (IFCS).

Content:

- General Ledger Summary of 14X5265-ALL and 14X8030-ALL for Balances
- Interest Expense Calculation worksheet from BPD
- Summary of General Ledger Summary Activity
- Overnighter Accounts Receivable and Assets Reconciliation

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR, OS-02.

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Indian Fiduciary Financial Trust

TR-6108-P2 [Standard General Ledger \(SGL\) Edit Checks File](#)

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: Monthly reconciliation to ensure the transmission transactions reported to Treasury will pass the edits.

Note:

1. Related Electronic Systems: Trust Funds Accounting System (TFAS)

Content:

- Monthly Standard General Ledger (SGL) Trial Balance Summary
- SF-1219 Statement of Accountability monthly worksheet
- SF-1220 Statement of Transactions monthly worksheet
- SF-224 Statement of Transactions monthly worksheet
- Overnighter Account Receivable Report
- SGL Balance Check

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02.

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Indian Fiduciary Financial Trust

TR-6109-P2

Overnighter Reconciliation Report

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To report and reconcile the overnighter earnings reported on the Statement of Transactions (SF-224) with the Overnighter Earnings worksheet and to also determine the overnighter receivable amount that will be reported as an accrual in the Standard General Ledgers (SGL).

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)

Content:

- All Trust Assets Report (Book Value Amounts) for overnighter balances
- Daily Null Transactions by Batch Report (Overnighter Only)
- Daily Overnighter Activity spreadsheet
- Interest Earnings month-to-date

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

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Indian Fiduciary Financial Trust

TR-6110-P2 Treasury Investment Reconciliation

NARA JOB #
N1-075-04-7
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12/17/2003

Purpose: To record the activity in Treasury securities; to determine the asset balances at the end of the month; to provide data to Treasury for reconciliation of current asset balances and to provide the balances to the Standard General Ledger (SGL) accounts, both on budget for the Chief Financial Officer (CFO) and in total.

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) and Intra-Governmental Payment and Collection (IPAC).

Contents:

- Trust Assets Report TRIBAL ONLY
by Asset Class
- Trust Assets Report Individual Indian Monies
(IIM) ONLY by Asset Class
- Overnighter Reconciliation
- Custodians Activity and Adjustment Report
- Intra-Governmental Payment and Collection (IPAC) Daily Activity

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6111-P2 Outside Treasury Investment Reconciliation

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To reconcile the beginning balance and activity during the month with the ending balance for all securities held at the custodian.

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)

Content:

- Overnighter Reconciliation Report,
- Trust Assets Report TRIBAL ONLY by Treasury Account Symbol (TAS)
- Account Balance by Treasury Account Symbol (TAS) Book vs. Fed Cost Report
- Trust Assets Report Individual Indian Monies (IIM) ONLY by Asset Class
- Trust Assets Report TRIBAL ONLY by Asset Class
- Treasury Investment Reconciliation and
- Custodians Activity and Adjustment Report

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02.

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Indian Fiduciary Financial Trust

TR-6112-P2 [Department of the Interior \(DOI\) Financial Securities Market Value Footnote](#)

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To provide the market values of non-Treasury securities included in the financial statements of the DOI.

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)

Content:

- 5265 Assets Report (MS Access format)
- 8030 Assets Report (MS Access format)
- JM437AUO

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

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Indian Fiduciary Financial Trust

TR-6113-P2 [Department of the Interior \(DOI\) Financial Statements Receipts Breakdown Footnote](#)

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To provide the breakdown by receipt type to the National Business Center (NBC) for edit checks of the receipts included in the financial statements for the Department of the Interior (DOI).

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)

Content:

- General Ledger Summaries for accounts under Treasury Account Symbol 14X5265 and 14X8030
- SF-6655 – Receipt Account Report balance amounts.

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6114-P2 Individual Indian Monies (IIM) Interim Financial Statements

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To report the monthly financial balances and for use in the audited of the final reported Financial Statements.

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)

Content:

- Account Balance by Treasury Account Symbol (TAS) Book vs. Fed Cost Report
- JM428ca4 Custom Audit Report (CAR)
- Minerals Management Service (MMS) Data Fax transmittal sheet for the first day of the following month for Individual Indian Monies Minerals Management Service (IIM MMS) Cash Accrual Schedule
- Individual Indian Monies (IIM) Earnings Accrual and Amortization detail
- Trust Assets Report Individual Indian Monies (IIM) ONLY by Asset Class
- JM428ca2 Custom Audit Report (CAR)
- BB log from SF-224 Daily Activity
- Overnighter Reconciliation
- Analysis of receipts and disbursements
- Research and Reclassification of Receipts file
- Individual Indian Monies (IIM) transfer summary
- Individual Indian Monies (IIM) Trial Balance and Adjusting Journal Entries

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6115-P2 Tribal and Other Interim Financial Statements

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To report the monthly financial balances and activity and for use in the audited of the final Financial Statements.

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)

Content:

- Account Balance by Treasury Account Symbol (TAS) Book vs. Fed Cost Report
- Overnighter receipt confirmations for the first day of the next months for the following five Treasury Account Symbols (TAS): 14X5265, 14X6803, 14X8030, 14X6039 and 14X6140
- Minerals Management Service (MMS) Data Fax Transmittal Sheet for the first day of the following month for Tribal Cash Accrual Schedule
- Trust Assets Report TRIBAL ONLY by Asset Class
- JM428car, JM428cal and JM428ca3 – Custom Audit Report (CAR)
- Tribal and Other Transfer Summary
- Research and Reclassification for Receipts file
- Overnight Accrual for other accounts file
- Tribal Trial Balance and Adjusting Journal Entries (other and combined)

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6116-P2 [Reconciliation of Statement of Differences \(TFS6652\)](#)

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To reconcile Treasury's balances reported by the banks to balances reported by the Office of Trust Funds Management for Agency Location Code (ALC) 14210651 and 00004844.

Note:

1. Related Electronic Systems: Trust Funds Accounting System (TFAS)

Content:

- Statement of Differences-Deposits and Disbursements
- Proposed Adjustments to SF-1219/1220 Statement of Accountability/Transactions
- SF-224 Statement of Transactions worksheet
- SF-1219 worksheet and SF-1220 worksheet
- SF-1220 worksheet

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6117-P2 Individual Indian Monies Overdraft Report

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To report all monthly Individual Indian Monies' House and Individual overdraft accounts activity, including changes from June 1998 balances for historical accounting.

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)

Content:

- End of month Overdraft Report for House Accounts and Individual Indian Monies Accounts
- SEI_OD_House Report (MS Access format)
- Overdraft Individual Indian Monies (IIM) End of Month Report
- Overdrafted Individual Indian Monies (IIM) Summary Report
- SEI_OD_IIM Report (MS Access format).

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6118-P2 Summary of Overdraft Tribal Accounts Balances

NARA JOB # **Purpose:** To report all monthly Tribal overdraft accounts activity.
N1-075-04-7

Approved **Note:**

12/17/2003 1. Related Electronic Systems: Trust Funds Accounting System (TFAS)

Content:

- Tribal Overdraft Report
- Account Balance Report Fed Cost

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

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Indian Fiduciary Financial Trust

TR-6119-P2

House Suspense Balances Report

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To report a three month balance history of all house suspense account balances divided between current and non-current accounts and to report the status of the account.

Note:

1. Related Electronic Systems: Trust Funds Accounting System (TFAS)

Content:

- House Account End of the Month (EOM) Report (MS Access Format)

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6120-P2 Quarterly Wind River (WR) Check Reporting

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To report all the 0000-4844 checks issued for the Wind River Per Capita payment for a three month period.

NOTE:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)

Content:

- Daily Disbursement Reports for Wind River

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6121-P2 [Current Overdraft Monitoring Report](#)

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To monitor and report the number of days and amount the Individual Indian Monies accounts are in overdraft status.

Note:

1. Related Electronic Systems: Trust Funds Accounting System (TFAS)

Content:

- Overdraft Individual Indian Monies (IIM) End of Month Report
- Monthly Overdraft Report

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6122-P10 Taxable Earnings Report

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To report taxable income to the Individual Indian Monies (IIM) account holders, to determine the applicability of New Mexico Gross Receipts Tax to vendors and to report all taxable income to the Internal Revenue Services (IRS) as required by Internal Revenue Code 6049(a)(1), 6050N(a)(1), 6041(a) and other code sections.

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)

Content:

- Returned IRS Form 1099-INT
- Hard copy printouts from 1996 through 1999 that summarizes the interest for those IIM accounts that received a Form 1099-INT
- IRS Form 4804 – Transmittal for IRS reporting for magnetic media
- 1998-2002, Internal Revenue Service penalty notice and settlement documents pertaining to Joseph Clark
- Hard Copy of the annual IIM factor calculation used to compute 1099 interest amounts 1998-2002.
- New Mexico gross receipts tax review binder with invoice copies from the period 4/25/99 through 4/7/03
- Hard copy of duplicate forms provided to account holders
- Correspondence from IRS, account holders and various officials
- Hard copy of all corrected Form 1099's and the corresponding Form 1096
- Internal Revenue Service magnetic media to support penalty notices
- Internal Revenue Service penalty notices and responses for 1998-2001
- Osage Lake Funds summary records for life estates
- Osage Quarterly Reports for the Osage tribal mineral trust
- Tax test account data reports
- Mescal Settlement documents and research

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the taxable calendar year. Maintain in office ten years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6123-P10 [Tax Issue Reporting](#)

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To prepare, report and document tax related issues and research activities.

Note:

1. Related Electronic Systems: None

Content:

- Internal Revenue Codes
- Treaties and/or other agreements
- Judgment Awards
- United States Supreme Court cases
- Land Claims Settlements
- Beneficiary correspondence

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the calendar year. Maintain in office ten years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6124-P2

Interest Factor Reconciliation File

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To reconcile the interest earned and interest distributed on a monthly basis and to ensure that all the monthly earnings and distributions were included in the interest factor.

Note:

1. Related Electronic Series: Trust Funds Accounting Systems (TFAS), Daily Accounts Distribution System (DADS), Integrated Records Management System (IMRS), and other Bureau of Indian Affairs Real Property Systems.

Content:

- Monthly Interest Reconciliation Report
- One Number Reconciliation Report
- Monthly Overdraft
- Close Accounts Processing System/Partial Account Distribution Systems (CAPS/Pads) monthly interest Distribution worksheet
- Interest Factor Adjustment Report
- Prior month Individual Indian Monies (IIM) Interest Factor
- Lease monthly interest distribution worksheet
- Journal of Transactions – IM6039716
- Daily Individual Indian Monies (IIM) Subsidiary to Individual Indian Monies (IIM) Pool Reconciliation.

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6125-P2

Daily Cash Reconciliation File

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: Identifies discrepancies and/or reconciled items to responsible offices for proper disposition. The report lists the deposit in transit, disbursement in transit, and any increases/decreases to the end of the day balances on Trust Fund Accounting System (TFAS).

Note:

1. Related Electronic Systems: Trust funds Accounting System (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government On-Line Account Link System (GOALS II).

Content:

- Daily Transaction Report
- JM462en0.001 – End of Day Report
- I2P Individual Indian Monies (IIM) Sub to Individual Indian Monies (IIM) Pool Reconciliation Report
- Batch Status Report
- Previous day Daily Cash Reconciliation Report
- Classification of Daily Disbursement Report (CDD-TFAS)
- Overnighter worksheet with detailed supporting information
- Daily Cash Reconciliation Report

Filing Arrangement: Arranged chronologically by fiscal year.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6126-P2

Daily Cash Statement File

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To identify, list and report all daily treasury transactions processed through the Financial Management Services systems and the Trust Funds Accounting System (TFAS), as well as any hardcopy documentation.

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government On-Line Accounting systems (GOALS II).

Content:

- Daily CASHLINK Report – Deposit Ticket (SF-215) and Debit Voucher (SF-5515)
- Treasury SF-1081 (Voucher and Schedule of Withdrawals and Credits)
- Government On-Line Account Link System (GOALS II) Transaction Report per Agency Location Codes (ALC)
- Minerals Revenue Management Report
- Electronic Funds Transfer (EFT) Transfers
- SF-1166 (Voucher and Schedule of Payments) Reports
- SF-1098 (Schedule of Canceled or Undelivered Checks)
- Intra-Governmental Payment and Collection (IPAC) Transaction Reports per Agency Location Codes (ALC)
- Preliminary and Final – Daily Indian Service Special Disbursing Agent (ISSDA) Disbursements Reports

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6127-P2

Trust Fund Accounting System (TFAS) and Individual Indian Monies (IIM) Daily Reconciliation File

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To reconcile the Daily Individual Indian Monies (IIM) Subsidiary to Individual Indian Monies (IIM) Pool to the Trust Fund Accounting System (TFAS) Journal of Transaction IM6039716.

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS).

Content:

This file consists of the following two major reports and other records used and maintained to prepare these reports:

1. Daily Individual Monies (IIM) Subsidiary to Individual Indian Monies (IIM) Pool Reconciliation report which balances the Individual Indian Monies (IIM) sub activity that is uploaded to the Individual Indian Monies (IIM) Pool. It ensures the Individual Indian Monies (IIM) pool is properly reflected for overnight investment purposes and that discrepancies are noted for proper disposition.
2. Trust Fund Accounting System (TFAS) Journal of Transactions IM6039716 is an internal journal compiled on a daily basis for the Individual Indian Monies (IIM) Pool (IM6039716) account. The journal is to assist in the Undisbursed Appropriations Account Ledger (TFS-6653) month-end reconciliation and the "One Number" compilation activity.

- Daily Individual Indian Monies (IIM) Subsidiary to Individual Monies (IIM) Pool Reconciliation worksheet
- JM460bli.001 – Post Set Batch Blotter
- JM463en0.001 – End of Day
- JM428i2P.001 – Individual Indian Monies (IIM) to Pool Fund
- JM428i2P.002 – Individual Indian Monies (IIM) to Pool Fund
- JM463mn0.001–Daily Mini Ledger (IM6039716)
- Batch Status Report.

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6128-P2

Daily Retroactive Investment Report File

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To report receipts over \$50,000.00 posted to the Trust Funds Accounting System (TFAS) after the A.M. sweep for retroactive investment purposes.

Note:

1. Related Electronic Systems: Trust Funds Accounting System (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government On-Line Accounting System (GOALS II).

Content:

- Daily CASHLINK (Electronic Funds Transfers) Report
- Close Accounts Processing System and Partial Account Distribution System (CAPS/PADS) Batch Control Log
- Cash Batch Control Log
- Customer Stratus Station (CSS) Cash Batch Control Log
- Tribal and Individual Indian Monies (IIM) Pool Cash/Units Batch Control Log

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6129-P2

Control ID 462/463 Reconciliation Report File

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: The Control ID 462/463 Reconciliation Report identifies discrepancies as it relates to system generated blotter totals, to the total Control ID 460 and reconciles it to the totals of the batch control logs which are used for internal purposes.

Note:

1. Related Electronic System: Trust Funds Accounting System (TFAS)

Content:

- Cash Reconciliation Ledger Report
- Reconciliation Report
- JM428SM2 (jm428sm2.001)
- JM428BSO (jm428bs0.001)
- JM460POO (jm460po0.001)
- JM428CCO (jm428cc0.001)
- JM428CCO (jm428cc0.004)
- JM428CPT (jm428cpt.001)
- Oil/Gas Interface Report (jm428oil.001)
- Lease Interface Report (jm428lea.001)
- Osage Interface Report (jm428osg.003)
- JM428I2P (jmi2p.002)
- End of the Day Blotter (jm462en0.001)
- Grand Total ID462/463
- Batch Status Report
- JM428SM1 (jm428sm1.001)
- JM428GNM (jm428gnm.002)
- JM428LEA, ID428
- JM462PYO (jm462py0.462)
- JM428CCO (jm428cc0.003)
- JM428DEP (jm428dep.001)
- Monthly Interest Program (jm428int.000)
- Range Interface Report (jm428rng.001)
- Per Capita Interface Report (jm428cap.001)
- JM428SMO (jm428sm0.001)
- End of the day Blotter (jm460en0.001)
- End of the Day Blotter (jm463en0.001)
- Payouts – check requests & direct deposit requests for Individual Indian Monies (IIM) (jm463py0.463)

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6130-P2

I2P (individual Indian Monies (IIM) Subsidiary to Individual Indian Monies (IIM) Pool) Journalizing

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: This is an internal journal used to detail the daily I2P transactions which are uploaded nightly to the Individual Indian Monies (IIM) Pool (IM6039716) account. The journal is to assist in the reconciliation of Undisbursed Appropriations Account Ledger (TFS-6653) month-end reclassification discrepancies, which may exist in Treasury Accounts.

Note:

1. Related Electronic Systems: Trust Funds Accounting systems (TFAS)

Content:

- Trust Fund Accounting System (TFAS) Transactions by document and batch
- I2P JOURNAL (Individual Indian Monies (IIM) Subsidiary to Individual Indian Monies (IIM) Pool Reconciliation)

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR- 6131-P2 Minerals Management Service (MMS) Reconciliation Report File

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: This is a internal journal used to detail the daily IMMS0712 account transactions. This journal is to assist in the Undisbursed Appropriation Account Ledger (TFS-6653) month-end reclassification discrepancies, which may exist in the Treasury Accounts by Symbol.

Note:

1. Related Electronic Systems: Trust Funds Accounting System (TFAS), Intra-Governmental Payment and Collections (IPAC), CASHLINK, and Government On-Line Accounting Link System (GOALS II).

Content:

- Minerals Management Service (MMS) Voucher and Schedule of Withdrawals and Credits (SF-1081) Log
- Monthly DDA Statement – 14X6039, 14X6803.
- Deputy Disbursing Agent (DDA) Statement – first day of month

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6132-P2

SF 6653/6654 Reconciliation Reports and Analysis Worksheet File

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To reconcile month-end treasury account symbol balances with the Trust Funds Accounting System balances and to identify, verify and report timing or reconciling item discrepancies to responsible offices for proper disposition.

Note:

1. Related Electronic Systems: Trust Funds Accounting System (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government On-Line Accounting Link System (GOALS II).

Content:

1. Prior Months Macro File Work Sheet –
 - IM500 (IM6039716 Journal)
 - Daily Cash Statement
 - I2P Journal (Individual Indian Monies (IIM) Subsidiary to Individual Indian Monies (IIM) Pool Reconciliation)
2. SF6653/6654 Reconciliation (Undisbursed Appropriations Account Ledger/Trial Balance) –
 - Previous months SF-6653/6654 month end worksheet
 - Minerals Management Service Reconciliation worksheet
 - SF-224 Statement of Transactions
 - SF-1219/1220 Statement of Disbursements
 - SF-1219/1220 Detail Reports
 - Respective month's ending Daily Cash Reconciliation Report
 - Monthly Cash Statement Compilation Report
 - Miscellaneous Treasury Receipts Clearing Account (OT3220) Reconciliation
 - SF-6653/6654 Analysis Report
 - SF-224 Detail Reports
 - Respective month end Minerals Management Service Fax Report
 - Account Balance by Treasury Account Symbol (TAS) Book vs. Fed Cost Report
3. SF6653 Analysis (Undisbursed Appropriations Account Ledger) –
 - Daily Cash Statement Report for the last day of the month
 - Miscellaneous Treasury Receipts Clearing Account (OT3220) Reconciliation
 - Previous month's SF6653/6654 (Undisbursed Appropriations Account Ledger/Trial Balance)
 - Daily Cash Reconciliation Report for the last day of the month
 - Monthly Daily Cash Statement Report
 - Minerals Management Service Fax by TAS Report
 - Previous month's SF-6653/6654 Analysis Report
4. Monthly Cash Statement Classification Comparison to the SF-224, SF-1219/1220 Activity –

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

- Daily Cash Statement Reports
- SF-224 Detail Reports
- SF-1219/1220 Detail Reports
- SF-224 Statement of Transactions
- SF-1219/1220 Statement of Differences
- SF-6653 Undisbursed Appropriations Account Ledger

5. Monthly Cash Statement Classification –
 - Prior Month's Cash Statement Activity

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6133-P2

Month End Unit Reconciliation

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: This report is a compilation of total units per the Custodian, Bureau of Public Debt (Securities held at Treasury and overnighter) and Performance Bond activity. The report identifies and notes discrepancies with regards to custodial units' balances as compared to Trust Fund Accounting System (TFAS) balances.

Note:

1. Related Electronic Systems: Trust Funds Accounting System (TFAS).

Content:

- All Trust Assets Report
- Schedule of Treasury Securities held at Treasury
- Statement of Accounts
- Report of Position Not Held at Custodian
- Report of Custodian Positions Not Held on TFAS
- Performance Bond-Cash Comparison
- Reconciliation of Daily Balances
- Report of Custodian Positions Out of Balance
- Position Reconciliation worksheet
- Report of Custodian Positions in Balance
- End of Day Bank Reconciliation
- Custodial Statement of Securities

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6134-P2 One Number Reconciliation

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: Reconciles the activity in the Individual Indian Monies (IIM) control account and all tribal accounts with Treasury balances.

Note:

1. Related Electronic Systems: Trust Funds Accounting System (TFAS)

Content:

- Individual Indian Monies (IIM) Systems Balance Analysis Reports
- Earnings Accrual for the respective month ending
- "One Number" worksheet for Monthly Interest Factor Adjustment Reconciliation
- I2P Balancing (Individual Indian Monies (IIM) Sub to Individual Indian Monies (IIM) Pool Reconciliation
- Trust Asset Report IIM ONLY (Book Value Amounts) for the respective month
- Account Balance by Treasury Account Symbol (TAS) Book vs. Fed Cost Report for the respective month.
- Tribal Systems Balance Analysis Reports
- IM6039716
- Schedule of Accounts Receivable
- Interest Overdraft Balance and Change worksheet from Monthly Interest Factor Adjustment Reconciliation
- Journal of Transaction IM6039716
- Monthly SF-6653/6654 balances to TFAS Cash balances for the respective month
- Trust Asset Report TRIBAL ONLY by Treasury Account Symbol (TAS) for the respective month

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6135-P2

Daily Interest Reconciliation

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: This report records the daily activity of the Individual Indian Monies (IIM) interest suspense accounts and reconciles the interest distributed and funded. It is also used to report discrepancies to the Branch of Accounting Services for proper disposition.

Note:

1. Related Electronic Systems: Trust Funds Accounting (TFAS), Intra-Governmental Payment and collections (IPAC), CASHLINK, and Government On-Line Accounting Link System (GOALS II).

Content:

- Trust Fund Accounting System Transaction Register (TFAS-TR)
- IIMPOOLINT Daily Transaction Report

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6136-P2 [Monthly Daily Disbursement Report \(VT\) Reconciliation File](#)

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: This report reconciles the interest earned and ensures interest factor includes all earnings and distributions.

Note:

1. Related Electronic Systems: Trust Funds Accounting (TFAS), Intra-Governmental Payment and Collections (IPAC), CASHLINK, and Government On-Line Accounting Link Systems (GOALS II).

Content:

- Financial Management Service (FMS)
1219-Statement of Accountability
- VT (Check Register) reconciliation report
with supporting worksheets
- Daily Indian Service Special Disbursing Agent
(ISSDA) Disbursement Report
- Monthly Cash Statement with VT information for the previous month

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6137-P2

Reconciliation List and Fax Confirmations

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To report outstanding receipts and disbursements for the respective day. The outstanding items are printed out for the individual regions. These items are receipts and disbursements that still need to be posted to the Trust Fund Accounting System (TFAS) or they are in transit with Treasury.

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Intra-Governmental Payment and collections (IPAC), CASHLINK, and Government On-Line Accounting Link System (GOALS II).

Content:

- The records used to prepare the report are hard copies of the confirmations received from the fax machine for each region.

Filing Arrangement: Arranged chronologically.

Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6138-P2 [Quarterly Internal Review Reports](#)

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: Each office within the Office of the Special Trustee for American Indians monitors corrective actions for internal and external trust activities.

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS).

Content:

- Quarterly In-House Summarized Management Control reports that summarize management control deficiencies as identified via Federal Manager's Financial Integrity Act (FMFIA) evaluations
- Quarterly Annual Audit Reports that consist of compliance audits and issues that have to do with operational processes

Filing Arrangement: Arranged chronologically.

Official File: Each office is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6139-P2 Individual Indian Monies (IIM) Pool Earnings

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: The Office of Trust Funds Management distributes Individual Indian Monies (IIM) Pool Earnings; calculate the adjustments to Individual Indian Monies (IIM) Pool Earnings and the average daily balance as well as calculating the Individual Indian Monies (IIM) monthly interest factor.

Note:

1. Related Electronic Systems: Trust Funds Accounting System (TFAS) and Integrated Records management System (IRMS).

Content:

- Individual Indian Monies (IIM) Schedule of Accounts Receivable: This is a continuous on-line 12 month schedule (Excel spreadsheet) that shows accounts receivable on an accrual basis on securities held at month end
- Earned Income: The report reflects interest earned for each security for the month
- Earned Amortization/Accretion: This report reflects calculated amortization and accretion for each security each month
- Trust Funds Accounting Systems (TFAS) Journal of Transaction IM-6039-716: This is an on-line cash basis worksheet and shows all interest received, securities bought and sold and the related gains/losses. It is used to convert from cash basis to accrual, to determine the accrued gain/loss, to reconcile earnings, and to assure income is accurately calculated
- Transaction Printout of Pool Account IM-6039-716: Shows interest earnings on government overnighters
- Individual Indian Monies (IIM) Account (IM-6039-716) Earnings Accrual for the Month: Worksheet used to calculate the Individual Indian Monies (IIM) Pool Earnings to be distributed for the Month and in the Individual Indian Monies (IIM) Monthly Factor Worksheet
- Cash Flow: Verify if the calculated earnings are correct. The Change in Cash on this report must equal the calculated amount on Earnings to Distribute for the Month
- Sale Journal: This report reflects the securities sold for the month. The report is used to determine the gains/losses realized for the month. Gains/losses are not realized every month
- Individual Indian Monies (IIM) Interest Factor Memorandum: Memorandum issued to the agencies stating the Individual Indian Monies (IIM) Monthly Interest Pool
- Individual Indian Monies (IIM) Monthly Interest Factor worksheet: Worksheet used to determine the Individual Indian Monies (IIM) Monthly Interest Factor
- Distribution of Interest worksheet: Worksheet used to determine what portion of the total Individual Indian Monies (IIM) Interest should be distributed to the various areas
- Accounts Daily Balance (ADB) – Final Totals Report: Verify the Average Daily Balance calculated manually
- Accounts with Negative Accounts Daily Balance (ADB) Report: The number of Individual Indian Monies (IIM) accounts with a negative Average Daily Balance or zero Average Daily Balance and used in calculating the Average Daily Balance

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Indian Fiduciary Financial Trust

- Average Daily Balance (ADB) – After Manual/Before Final Report: Showing the Average Daily Balance amount with the Manual Adjustments taken into account but before the number of accounts with negative Average Daily Balance or zero Average Daily Balance
- Manual Adjustments Report: Verify the manual adjustments that were calculated manually
- Average Daily Balance (ADB) Adjustments Spreadsheet: Obtain the total manual adjustments
- Average Daily Balance (ABD) – After 815 Adjustments/Before Manual Adjustments Report: Showing the Average Daily Balance after the Daily Account Distribution System (DADS) (815) Adjustments have been included but prior to the Manual Adjustments
- Idle Cash – Pre 815 Adjustment Report: Showing the Average Daily Balance as calculated by Idle Cash, prior to any adjustments
- Idle Cash Totals Spreadsheet: Verify Daily Account Distribution System (DADS) (815) Adjustments and Manual Adjustments
- Interest Factor Adjustment Memo: Memo from Branch of Reconciliation stating how much the Interest Factor should be adjusted, due to funding and rounding, and how it should be adjusted
- Balance Sheet Current Adjustments Report: Report used by the Branch of Reconciliation to determine the Interest Factor Adjustment
- Rounding Difference Report: Report from the Chief Information Officers Office containing the Rounding Difference amount
- Daily Account Distribution System (DADS) Log Tables: Totals from the Daily Account Distribution System (DADS) Log at the end of the month and maintains the daily and total to adjust the Earnings Accrual amount on the Individual Indian Monies (IIM) Monthly Interest Factor Worksheet
- Lease Interest Report: Maintains daily and total used to adjust the Earnings Accrual amount on the Individual Indian Monies (IIM) Monthly Interest Factor Worksheet
- Daily Account Distribution System (DADS) (815 Adjustment Report): Used during the month end process to verify that accounts have not been overdrawn
- 815 Adjustments Detail - Final Master Report: Lists each transaction for each Individual Indian Monies (IIM) account and used in calculating the Average Daily Balance
- 815 Adjustment Summary – Final Master Report: Lists each Individual Indian Monies (IIM) account and gives a total of the transaction amount in calculating the Average Daily Balance
- 815 Adjustment Summary – Deposit Master A17 Report
- 815 Adjustment Detail - Deposit Master A17 Report
- 815 Adjustment Summary – Deposit Master: Shows the total amount of interest posted and is used in calculating the Average Daily Balance
- 815 Adjustment Detail – Deposit Master: This report lists the accounts that earned interest calculated automatically and posted to the Individual Indian Monies (IIM) account, which shows each interest posting transaction and is used in calculating the Average Daily Balance
- Manual Adjustment example of a dual account: Calculate the Average Daily Balance from Trust Funds Accounting System (TFAS) for Individual Indian Monies (IIM) account holder that had two Individual Indian Monies (IIM) accounts but one is now being closed
- Manual Adjustment example of an overdraft account: Calculate the Average Daily Balance from Trust Funds Accounting System (TFAS) when an Individual Indian Monies (IIM) account is overdrawn

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- Manual Adjustment example of an account with a returned check: Calculate the Average Daily Balance from Trust Funds Accounting System (TFAS) when an Individual Indian Monies (IIM) account is closed and the ending balance is disbursed but the check is returned
- Daily Account Distribution System (DADS) Full With Close Log: Used in determining the Daily Account Distribution System (DADS) Log Totals
- Partial Account Distribution System (PADS) Log: Used in determining the Daily Account Distribution System (DADS) Log Totals as well as verifying the interest funded amount in the Daily Account Distribution System (DADS) Adjustment process
- Daily Account Distribution System (DADS) (FULL) Cash Blotter page: Used in the Daily Account Distribution System (DADS) Log process
- Daily Account Distribution System (DADS) (Partial) Cash Blotter page: Used in the DADS process
- Journal Voucher: Office Trust Funds Management (OTFM) document used to transfer money from one Individual Indian Monies (IIM) account to another. This document is used as a source document to support a Daily Account Distribution System (DADS) (Full) and Partial Account Distribution System (PADS) transaction during the Daily Account Distribution System (DADS) Log, and to calculate manual interest from Management Accounting and Distribution System (MADDS) for the Lease Log processes
- Trust Funds Accounting System (TFAS) Transaction report supporting the Daily Account Distribution System (DADS) transaction: Showing money posted through a Daily Account Distribution System (DADS) transaction and is used during the Daily Account Distribution System (DADS) Log process
- Fax Cover Sheet for DADS transaction: Obtained during the DADS Log process
- Fax Cover Sheet for DADS to Close Account transaction: Obtained during the DADS Log process
- Work tickets: Used as a source document during the DADS Log and DADS Adjustment process
- D-3 Check or Direct Deposit Request: Used as a source document during the DADS Log process
- PADS Log Spreadsheet: Used during the DADS Log process to verify that an account has not been overdrawn due to a PADS transaction
- Bin Log: Log that is used during the DADS Log process to document other types of partial distributions
- Balance Sheet Current Adjustments for prior month: Used by the Branch of Reconciliation in determining the Cumulative Adjustment amount
- One Number Balance Sheet: Used by the Branch of Reconciliation in verifying the Cumulative Adjustment amount
- A17 Duplicates Report: Report that shows where distribution transactions occurred more than once from an account
- Deposit Master Table: Table is used daily in the DADS Adjustments process and to assist in determining the month end totals
- Bureau Indian Affairs (BIA) Form 4285 – Intra-Bureau Cash Transaction Authorization (BB encoding prefix) Transfer: Created during the Lease Interest process to transfer funds and verified during DADS Adjustment process
- Deposit Master Worksheet: Verify that all of the Partial Account Distribution System (PADS) to Close, Partial Account Distribution System (PADS), and Closed transactions add up to the amount being transferred in the “BB”
- Add Transactions to the Deposit Master Worksheet Spreadsheet: Used during the DADS Adjustment process to maintain a monthly log of all manual interest calculation postings are added to the DADS (815) Adjustment Report
- Lease Interest Log: Keep a daily account of the Lease Interest posted to Individual Indian Monies (IIM) accounts
- Lease Interest Worksheet: Verify deposit amounts, deposit dates and to verify account balances

INDIAN AFFAIRS RECORDS SCHEDULE

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- Lease Interest Distribution Voucher: A system generated report used as a source document during the Lease Interest Adjustment process. Amounts from this report are entered into the Lease Interest Log
- Lease Reversals Report: Summarizing transactions that were reversed on the Lease Log
- Lease Report Partial Account Distribution System (PAD) CONCAT: Report generated from IRMS containing the lease interest posted
- One Number Balance Sheet Check Worksheet: Used by the Bureau of Reconciliation to check against the One Number Balance Sheet
- Deposit Master A-17 Access Table: Lease Interest posted in Trust Funds Accounting System (TFAS)

Filing Arrangement: Arranged numerically by coupon rate.

Official File: Office of Trust Funds Management is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6140-P2 One Day Overnight Security Investment

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: Individual Indian Money (IIM) and Tribal funds are consolidated and “swept” twice daily by a program that takes all available un-invested cash and invests it in a Treasury “overnighter”, which results in a one day investment.

There are two daily sweeps of invested cash. The amounts available are faxed to Treasury for investment. Treasury provides a daily overnight interest rate that is entered in Trust Funds Accounting System (TFAS) to calculate and distribute daily earnings. Office of the Special Trustee for American Indians performs a manual verification of the interest and distribution.

Treasury transfers principal and interest back to Office of the Special Trustee for American Indians via Form SF-1081 stating how much money was transferred. Trust Funds Accounting System (TFAS) automatically calculates interest per participating account and accrues for invested funds.

Note:

1. Related Electronic Systems: Trust Funds Accounting System (TFAS), Polaris, and Bloomberg.

Content:

- Cover Letter
- Investment Confirmation Letter
- Overnight Amount Calculation Worksheet
- Computer Controlled Cash Management Reports
- Current Day's Control Log
- Summary of Interest Report
- Overnight Rate Calculation worksheet
- Daily Reconciliation AM worksheet
- Report of Income Posted
- Previous Day's PM Control Long
- Un-invested Cash Report
- Full Call Posting Journal, if applicable
- GNMA Live Report, if Applicable
- FHLMC Live Report, if Applicable
- FNMA Live Report, if Applicable
- Interest Earnings month to date worksheet
- Batch Status Report
- Today's Settlement Report from SMAC
- Individual Indian Monies (IIM) Transaction Recap Report
- Report of all scheduled payments

Filing Arrangement: Arranged chronologically by fiscal year and month.

Official File: The Office of Trust Funds Management is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6141-P2 Overnight Interest Factor

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: The total overnight investment amount and adjustment amount are used to calculate the overnight rate and entered in the Treasury Rates Table (TRATES).

Note:

1. Related Electronic Systems: Trust Funds Accounting System (TFAS)

Content:

- Overnight Amount Calculation: Prepared daily to calculate the amount to be called in to the Treasury and the amount called into Treasury are also used on the Overnight Rate Calculation Worksheet.
- Overnight Rate Calculation Worksheet: Included in the same file as the Overnight Amount Calculation, under a different worksheet tab. It is used to calculate the rate to be copied into the Treasury Rate Table (TRATES) used to calculate other interest factors within Office of the Special Trustee for American Indians.
- As of Investments for EFTs and Collections: Filled out when a Deposit Ticket is received to document the transaction.
- Deposit Ticket: Documents that a Manual Buy or Sell happened that was not recorded by the Un-invested Cash Report.
- Computer Controlled Cash Management Report: Lists all the Overnighter activity, there is an A.M. and a P.M. report.
- Asset Balances Before/After Posting: This report is usually the second page of the Computer Controlled Cash Management Report that lists the total amount invested for each Government Overnighter.
- Tribal and Individual Indian Monies (IIM) Pool Cash/Units Batch Control Log: Used to calculate the amount to be put to the Overnight Amount Calculation Worksheet.
- Interest Earnings Month to Date.
- P.M. and A.M. Un-invested Cash Report: A report that lists the Un-invested Cash for all Tribal Accounts in ID0437.

Filing Arrangement: Arranged chronologically.

Official File: The Office of Trust Funds Management is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR, OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6142-P2 Standard General Ledger Compilation Report

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To report and record all activity in accounts to a general ledger formation on a monthly and quarterly basis.

Note:

1. Related Electronic Systems: Trust Funds Accounting System (TFAS).

Content:

- TFAS Transactions Report for current month
- Trust Assets Report TRIBAL ONLY by Asset Class
- Monthly Amortization Summary Report
- Overnighter Accounts Receivable Report
- Monthly Accounts Receivable Report

Filing Arrangement: Arranged chronologically.

Official File: The Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR, OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6143-P2 Standard General Ledger (SGL) Report to National Business Center (NBC)

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To report quarterly the amounts by standard general ledger accounts to the National Business Center (NBC) for all on-budget accounts activity.

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS).

Content:

- General Ledger Summaries for 14X5265-ALL
- 14X8030 – ALL
- 14X5265 – Financial Statements
- 14X8030 – Financial Statements

Filing Arrangement: Arranged chronologically.

Official File: The Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR, OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6144-P2 [Daily Overdraft Report](#)

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To determine new overdrafts that occurred as a result of the previous day's business. The identified overdrafts are resolved the same day if the overdrafts are not related to payment over cancellation, debit vouchers or oil and gas recoupments.

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS).

Content:

- E-mail Notifications (to Issues Team, Accounts, Branch and Division Chiefs)
- Copy of Daily Overdraft Report

Filing Arrangement: Arranged chronologically.

Official File: The Office of Trust Funds Management is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR, OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6145-P2 Reporting Receipts and Disbursements to Treasury

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To report monthly receipts and disbursements posted to the Trust Funds Accounting System (TFAS) to Treasury for Agency Location Code (ALC) 4844 and 1421-0651.

Note:

1. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) and Intra-Governmental Payment and Collections (IPAC).

Content: 1. SF-1219 Statement of Accountability and SF-1220 Statement of Transactions:

- Daily Receipt Transactions by Batch Report
- Daily Disbursement Transactions by Batch Report
- Daily Null Transactions by Batch Report
- Cash Receipts Deposited
- Indian Service Special Disbursing Agent (ISSDA Disbursements)
- Intra-governmental Payment and Collection (IPAC) Transactions
- Daily Cash Balance
- Proposed Adjustments to SF- 1219/1220 worksheet

2. SF-224 Statement of Transactions

- Daily Receipt Transactions by Batch Report
- Daily Disbursement Transactions by Batch Report
- Daily Null Transactions by Batch Report
- Cash Receipts
- Cash Disbursements
- Overnighter Activity
- Intra-governmental Payment and Collection (IPACs)
- BF-4285 Transfers Between Appropriations
- Custodians Activity and Adjustments Report
- Daily Cash Balance
- Manual 1081's Voucher and Schedule of Withdrawals and Credits
- Proposed Adjustments to SF-224 Statement of Transactions worksheet

Filing Arrangement: Arranged chronologically.

INDIAN AFFAIRS RECORDS SCHEDULE

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Indian Fiduciary Financial Trust

Official File: The Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR, OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6146-P2 [Transfer Files](#)

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: Office of the Special Trustee for American Indians to ensure the accurate processing of all financial transactions and to ensure compliance with established U.S. Treasury guidelines. Controls accounting activities that properly record all funds received, disbursed, invested, and held in trust for individual Indian and Indian tribes, providing centralized accounting services for all trust funds management.

Note:

1. Related Electronic Systems: Customer Strata Station (CSS); Trust Funds Accounting System (TFAS); Integrated Records Management System (IRMS); other Bureau of Indian Affairs Real Property Management Systems; and Treasury Financial Management Systems: Intra-Government Payment and Collection (IPAC), Electronic Certification System (ECS) and Government Online Accounting Link System (GOALS II).

Content:

- SF-1081 Voucher and Schedule of Withdrawals and Credits
- Work Tickets
- Intra-Governmental Payments and Collections (IPAC)
- GAO 1017 Journal Voucher (JV encoding prefix)
- BIA Form 4285 Intra-Bureau Cash Transaction Authorization (BB encoding prefix)
- Supporting documentation such as lease distribution/interest calculation, probate/lease contract and worksheets/vouchers

Filing Arrangement: Office of Field Operations – file daily in chronological order. Office of Trust Services – file daily in chronological order by batch transaction number.

Official File: The Office of Field Operations is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR, OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6147-P2

Disbursement Files

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: Office of the Special Trustee for American Indians to ensure the accurate processing of all financial transactions and to ensure compliance with established U.S. Treasury guidelines. Controls accounting activities that properly record all funds received, disbursed, invested, and held in trust for individual Indian and Indian tribes, providing centralized accounting services for all trust funds management.

Note:

1. Related Electronic Systems: Customer Strata Station (CSS); Trust Funds Accounting System (TFAS); Integrated Records Management System (IRMS); other Bureau of Indian Affairs Real Property Management Systems; and Treasury Financial Management Systems: Intra-Government Payment and Collection (IPAC), Electronic Certification System (ECS) and Government Online Accounting Link System (GOALS II).

Content:

- SF-1166 Voucher and Schedule of Payments (VS encoding prefix)
- SF-1034 Public Voucher for Purchases and Services other than Personal
- Form 5-4250 Indian Service Special Disbursing Agent (ISSDA)
- Daily Disbursements Report (DDR) (VT encoding prefix)
- SF-1147 Public Voucher for Refunds

Filing Arrangement: Office of Field Operations – file daily in chronological order. Office of Trust Services – file daily in chronological order by batch transaction number.

Official File: The Office of Field Operations is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR, OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6148-P2 Daily Indian Service Special Disbursing Agent (ISSDA) Disbursement Report

NARA JOB # **Purpose:** To report and show all daily Individual Indian Monies' check disbursements.
N1-075-04-7

Approved **Note:**

12/17/2003 1. Related Electronic Systems: Trust Funds Accounting System (TFAS).

Content:

- Daily Disbursement Reports (DDR)
- Verification List
- Check Register

Filing Arrangement: Arrange chronologically.

Official File: The Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR, OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6149-P2

Cash Receipting Files

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: Office of the Special Trustee for American Indians to ensure the accurate processing of all financial transactions and to ensure compliance with established U.S. Treasury guidelines. Controls accounting activities that properly record all funds received, disbursed, invested, and held in trust for individual Indian and Indian tribes, providing centralized accounting services for all trust funds management.

Note:

1. Related Electronic Systems: Customer Strata Station (CSS); Trust Funds Accounting System (TFAS); Integrated Records Management System (IRMS); other Bureau of Indian Affairs Real Property Management Systems; and Treasury Financial Management Systems: Intra-Government Payment and Collection (IPAC), Electronic Certification System (ECS) and Government Online Accounting Link System (GOALS II).

Content:

- Mail Logs
- Form 5-7775-4218 – Field Receipts
- Completed bank deposit ticket
- Form 4284 – Schedules of Collections
- Supporting documentation such as lease distribution/interest calculation, probate/lease contract and worksheets/vouchers
- SF-215 – Deposit Tickets
- DI-1040 – Bills for Collection
- Work Tickets
- Copies of Remittances

Filing Arrangement: Office of Field Operations – arrange document package by document number, then chronologically. Office of Trust Services – file daily in chronological order by batch transaction number.

Official File: The Office of Field Operations is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR, OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6150-P2 Reconciliation of Individual Indian Monies (IIM) Financial Statement Interest Earnings

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: To reconcile the income from assets reported in the financial statements with the interest earnings computed for the Individual Indian Monies pool.

Note:

1. Related Electronic Systems: Trust Funds Accounting System (TFAS).

Content:

- Individual Indian Monies Financial Statements
- Individual Indian Monies Account (IM6039716) Earnings Accrual

Filing Arrangement: Arranged chronologically.

Official File: The Office of Trust Reporting and Reconciliation is identified as the office of record.

Disposition Instructions: **PERMANENT.** Cut off files at the end of the fiscal year. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR, OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6151-P2

Individual Indian Monies (IIM) Case Files

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Purpose: Accounts are established for individuals who have interest in income producing trust assets and/or are recipients of judgment and other per capita distributions.

Note:

1. Related Electronic Systems: Trust Funds Accounting System (TFAS).

Content: IIM Case Files contain records under the account establishment, maintenance and closure criteria and consist of:

1. Legal documentation such as individual identification information, e.g. copy of drivers license; social security card; certificate of Indian blood; non-Indian declaration; birth, marriage and death certificates; Internal Revenue Service - Form W-9 (Request for Taxpayer Identification and Certification) and Form 1099 (Interest and MISC); encumbrance plans, heir ship data, such as probate and estate orders;
2. Account Maintenance documentation such as documentation showing account classification change orders, like returned remittances, changes of address and permanent disbursement authorizations (Form 4249);
3. Financial Transaction documentation request for withdrawal of individual funds, copies of applications, one-time authorities for disbursement, SF-1047 (public vouchers for refunds), royalty and production statements, ACH disbursements, special deposits, interest calculation worksheets, copies of 1099 interest earnings;
4. General information and other related correspondence: mail logs, letters to/from account holders, memos to the file, customer statements, stop payment (SF-1184) information.

Filing Arrangement: Arranged numerically by account number then chronologically.

Official File: The Office of Field Operations is identified as the office of record.

Disposition Instructions: PERMANENT. Cut off files at the end of the fiscal year in which account is closed. Maintain in office two years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR, OS-02.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

4852

IIM Ledgers and Cards

NARA JOB #

N1-075-04-7

Approved

12/17/2003

Refer to TR-6151-P2 – Individual Indian Monies (IIM) Case Files

RESERVED

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

4853

IIM Posting and Control Records

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Refer to TR-6151- P2 – Individual Indian Monies (IIM) Case Files

RESERVED

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

4854

IIM Duplicate Posting and Control Records

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Refer to TR-6151- P2 – Individual Indian Monies (IIM) Case Files

RESERVED

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

4855

IIM Name File

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Refer to TR-6171- P2 – Trust Funds Accounting Systems (TFAS)

RESERVED

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

4856

IIM Balance Forward Files

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Refer to TR-6151- P2 – Trust Funds Accounting Systems (TFAS)

RESERVED

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

4857

Cash Collection Files

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Refer to TR-6149- P2 – Cash Receipting Files

RESERVED

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

4858

General Ledger Detailed Listings

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Refer to TR-6171- P – Trust Funds Accounting System (TFAS)

RESERVED

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

4859

IIM Deposit Ticket Files

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Refer to TR-6149- P2 – Cash Receipting Files

RESERVED

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6160-P2 through TR-6170-P2

NARA JOB #
N1-075-04-7
Approved
12/17/2003

Record Series Reserved for Later Use

RESERVED

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6171-P

System Title: Trust funds Accounting System (TFAS)

NARA JOB #
N1-075-04-7
Approved
12/17/2003

System Description:

The Trust Funds Accounting System (TFAS), with complete implementation beginning in March 2000, is used to manage investments of the individual and tribal accounts. It is used to manage the trust accounting requirements of approximately 252,000 individual Indian and 1,300 tribal accounts (number of accounts as of date February 2002). The system stores the information necessary for the Office of the Special Trustee for American Indians to fulfill its trust fiduciary responsibilities to the beneficiaries. This information includes beneficiary name and address, transaction history, investments, receipts and disbursements. TFAS receives periodic data from the Integrated Records Management System (IRMS) and other Bureau of Indian Affairs Real Property Systems, Royalty Distribution and Reporting System (RDRS), and People legacy systems to conduct the disbursement of trust monies for leases, judgment awards, and related disbursement activities.

The Trust Reform Act of 1994 further supported the management of trust assets:

The American Indian Trust Fund Management Reform Act of 1994 (Reform Act), Public Law 103-412, Oct 25, 1994, 108 Stat.4239, Section 5.i. states "Maintain a verifiable system of records that is capable, at a minimum, of identifying: (1) the location, the beneficial owners, any legal encumbrances (i.e., leases, permits, etc.), the user of the resource, the rents and monies paid, if any, and the value of trust or restricted lands and resources; (2) dates of collections, deposits, transfers, disbursements third party obligations (i.e., court ordered child support, judgments, etc.), amount of earnings, investment instruments, and closing of all trust fund accounts; (3) documents pertaining to actions taken to prevent or compensate for any diminishment of the Indian trust assets; and (4) documents that evidence the Secretary's actions regarding the management and disposition of Indian Trust assets;"

The current system is a commercial off-the-shelf trust funds accounting system with the most recent 16 ½ months of data stored at one time. The Open Data Replication (ODR) database (a SQL Server/Microsoft product) serves as an adhoc reporting tool for selected data elements as of the previous day's processing cycle.

a. Inputs:

The inputs to Trust Funds Accounting System (TFAS) include investments, schedules of collections, earnings accrual statements, overnight distributions, escrow funds, judgment awards, daily batch files, journal vouchers, routine/maintenance files, financial document transaction files, IIM posting and control records file, voucher and standard of withdrawals and credits file, public voucher for refunds, and related information.

Disposition: Apply disposition instructions approved for paper and microfilm records.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

b. Master Data Files:

The Master data files contains information on individuals including cash and account summaries which are: account number, name, and balances; date of last transactions; area trust accountant or IIM technician; management codes; date account opened in TFAS; calculated 18th birthday, if a minor; and transactions including: cash receipts, disbursements, asset income, buys, sales/maturities, capital changes, fees, ticker/CUSIP, minor asset type and check register. This data is captured in a SQL database format. It is proposed that the copy of the data for transfer can be extracted from this SQL database into a flat file for transfer to NARA.

b.1. History File

Disposition: PERMANENT. Create duplicate copy of data off-line and transfer to the National Archives upon approval of this schedule in accordance with NARA regulations currently cited in 36 CFR 1228.270, and related NARA instructions and guidance. Data restricted in accordance with Privacy Act Notice: Indian Individual Monies Trust Funds-OS-02 (previously Individual Indian Monies – Interior, BIA – 3); Indian Land Records – Interior, BIA – 4; Indian Land Leases – Interior, BIA – 5; Integrated Records Management System Interior, BIA – 25.

b.2. Current Data File

Disposition : PERMANENT. Create duplicate copy of data off-line and transfer to the National Archives at the end of each fiscal year in accordance with NARA regulations, such as those currently cited in 36 CFR 1228.270, and related NARA instructions and guidance. Data restricted in accordance with Privacy Act Notice: Indian Individual Monies Trust Funds-OS-02 (previously Individual Indian Monies – Interior, BIA – 3); Indian Land Records – Interior, BIA – 4; Indian Land Leases – Interior, BIA – 5; Integrated Records Management System Interior, BIA – 25.

c. Outputs:

c.1. Case file specific queries, sorts, reports, tables and related records that are created for case files, studies, inquiries, inspections, and related program files.

Disposition: Apply disposition instructions approved for paper and microfilm records.

c.2. Data compilation reports (e.g., StrataVision (a Computer Output to Laser Disk (C.O.L.D.)) reports) that are not case file specific but are created daily, weekly, bi-weekly, monthly, quarterly, and annually as a result of program reporting requirements.

Disposition: Apply disposition instructions approved for paper and microfilm records.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

d. Documentation:

d.1. Documentation to be sent with History File (item b.1)

System Data specifications, file specifications, code books, record layouts, user guides, output specifications, final reports, regardless of medium, relating to a master file or data base.

Disposition: PERMANENT. Transfer to the National Archives with system data as identified in item b.1 above.

d.2. Documentation to be sent with Current Data File (item b.2)

System Data specifications, file specifications, code books, record layouts, user guides, output specifications, final reports, regardless of medium, relating to a master file or data base.

Disposition: PERMANENT. Transfer to the National Archives with system data as identified in item b.2 above.

Additional Information for: **Trust Funds Accounting System (TFAS)**

Users:	Department of Interior Office of the Special Trustee for American Indians Bureau of Indian Affairs Office of Hearing and Appeals Office of Historical Trust Accounting Minerals Management Service Tribes Various other Federal Agencies
Program:	Office of the Special Trustee for American Indians
Function:	Accounting Management

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

Related Scheduled Series/Systems:

4851 IIM Case Files
4852 IIM Ledgers and Cards
4853 IIM Posting and Control Records
4854 IIM Duplicate Posting and Control Records
4855 IIM Name File
4856 IIM Balance Forward Files
4859 IIM Deposit Ticket Files

Tribal Series

NARA Job No.:

N1-75-89-1 for textual records

Related Unscheduled Series/Systems:

IRMS, ODR and CSS

Location: Oaks, Pennsylvania - location of the mainframe/system managers

Points of contact: Chief Information Officer, Office of the Special Trustee for American Indians

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6172-P2 System Title: Daily Account Distribution System (DADS)

NARA JOB #
N1-075-04-7
Approved
12/17/2003

System Description:

The system is an in-house developed system, implemented August 1998, and is used to electronically process distribution of funds between accounts within the Trust Funds Management System (TFAS). Information on the disbursing account is used to adjust the account's average daily balance for interest calculation purposes. The data spans from August 1998 to the present. The system resides only in Albuquerque, NM and is used only by Trust Funds Management, Albuquerque, NM.

The system stores the information in MS Access format and is necessary for the Office of the Special Trustee (OST) to fulfill its trust fiduciary responsibilities to the beneficiaries. The system stores current month information on the disbursing account. After each month the disbursing information is stored in a separate table in the MS Access database. The data is sorted by post date and account ID – up to 12 characters and could be the Individual Indian Monies account number.

The Trust Reform Act of 1994 further supported the management of trust assets:

The American Indian Trust Fund Management Reform Act of 1994 (Reform Act), Public Law 103-412, Oct 25, 1994, 108 Stat.4239, Section 5.i. states "Maintain a verifiable system of records that is capable, at a minimum, of identifying: (1) the location, the beneficial owners, any legal encumbrances (i.e., leases, permits, etc.), the user of the resource, the rents and monies paid, if any, and the value of trust or restricted lands and resources; (2) dates of collections, deposits, transfers, disbursements third party obligations (i.e., court ordered child support, judgments, etc.), amount of earnings, investment instruments, and closing of all trust fund accounts; (3) documents pertaining to actions taken to prevent or compensate for any diminishment of the Indian trust assets; and (4) documents that evidence the Secretary's actions regarding the management and disposition of Indian Trust assets;"

a. Inputs:

The inputs to the system include receipts with deposit date and dollar amount.

Disposition: Apply disposition instructions approved for paper and microfilm records.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

b. Master Data Files:

The master data file contains name, account, pad date, deposit date, deposit amount, old interest, new interest, batch id, batch sequence number and user id.

b.1. History File – Copy of all data currently residing on the system.

Disposition: PERMANENT. Create duplicate copy of data off-line and transfer to the National Archives upon approval of this schedule in accordance with NARA regulations currently cited in 36 CFR 1228.270, and related NARA instructions and guidance. Restrictions include: FOIA exemptions: (4) Trade Secrets & Commercial or Financial Information – financial information received in connection with contracts and bids. (6) Personal Information Affecting an Individual's Privacy – personal information such as SSN, home address, performance appraisals, identities and qualifications of unsuccessful job applicants.

b.2. Current Data File

Disposition: PERMANENT. Create duplicate copy of data off-line and transfer to the National Archives at the end of each calendar year in accordance with NARA regulations, such as those currently cited in 36 CFR 1228.270, and related NARA instructions and guidance. Data restricted in accordance with Privacy Act Notice: Indian Individual Monies Trust Funds-OS-02 (previously Individual Indian Monies—Interior, BIA—3). Restrictions include: FOIA exemptions: (4) Trade Secrets & Commercial or Financial Information – financial information received in connection with contracts and bids. (6) Personal Information Affecting an Individual's Privacy – personal information such as SSN, home address, performance appraisals, identities and qualifications of unsuccessful job applicants.

c. Outputs:

c.1. Case file specific queries, sorts, reports, tables and related records that are created for case files, studies, inquiries, inspections, and related program files.

Disposition: Apply disposition instructions approved for paper and microfilm program records.

c.2. Data compilation reports (e.g., management reports and plans) that are not case file specific but are created bi-weekly, monthly, quarterly, and annually as a result of program reporting requirements.

Disposition: Apply disposition instructions approved for paper and microfilm records.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

d. Documentation:

d.1. Documentation to be sent with History File (item b.1)

System Data specifications, file specifications, code books, record layouts, user guides, output specifications, final reports, regardless of medium, relating to a master file or database.

Disposition: PERMANENT. Transfer to the National Archives with system data as identified in item b.1 above.

d.2. Documentation to be sent with Current Data File (item b.2)

System Data specifications, file specifications, code books, record layouts, user guides, output specifications, final reports, regardless of medium, relating to a master file or database.

Disposition: PERMANENT. Transfer to the National Archives with system data as identified in item b.2 above.

Additional Information for: **Daily Account Distribution System (DADS)**

Users: **Department of Interior
Office of the Special Trustee for American Indians**

Program: **Office of the Special Trustee for American Indians**

Function: **Accounting Management**

Related Series/Systems: **NONE**

NARA Job No.: **N1-75-89-1 for textual records**

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

Related Unscheduled Series/Systems: TFAS
ODR
PADSCAPS
SEI Security

Location: **Albuquerque, New Mexico**

Points of contact: **Chief Information Officer, Office of the Special Trustee for American Indians**

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6173-TFR Lockbox/Trust Funds Receivable Application (TFR)

The Lockbox receipting process includes receipt of funds from individuals or entities as payment transactions and posting of those funds to the appropriate beneficiary accounts. Once a payment is received at the Lockbox, the payment is deposited with the U.S. Treasury and the payment, the envelope and all other documentation submitted are imaged and posted to the Trust Funds Receivable System.

The data within the system begins 7/1/05 to the present, and is entered into the system from the Lockbox Payment Desk. A TFR record number is given by the system to each check received. Data which is also keyed into TFR by the Lockbox Payment Desk staff, BIA program staff and DTFA/BIC staff. The payment information is posted to the Trust Funds Accounting System (TFAS). Records in TFR are arranged by CT number, then Alpha, by region then by agency.

A. Source Records/Inputs

1. **Source Records (Paper):** Data inputs to the system from the lockbox staff are imaged payments consisting of invoice coupons and other payment documentation received. Manually keyed information consist of envelope P.O Box number, check amount, deposit date, remitter name and an SF-215 number. The BIA program staff and OST Field Operations staff will make modifications (if needed) to the TFR Check Worksheet and the DTFA/BIC staff: posts batch numbers for each posted payment.

Disposition Instructions: Apply disposition instructions approved for paper and microfilm records. (Reference Indian Affairs Record Schedule record series for specific program records)

2. **Source Records (Electronic):** Electronic files or records used to create or update a master file, including, but not limited to , work files, valid transaction files, and intermediate input/output records. (GRS-20/1b)

Disposition Instructions: TEMPORARY. Delete after information has been transferred to the master file and verified.

B. Master Data File

TFR is a relational database web application accessed through the Trust Portal, utilizing Microsoft SQL Server version 8 and Cold Fusion and MS Access. The application resides on a separate server with a Windows 2000 Server Operating System and is approximately 2 gigabytes in size. Data is backed up daily. TFR contains privacy act information and does not produce a public version of the data. A TFR system generated record number is assigned to each check received.

Disposition Instructions: PERMANENT. Create duplicate copy of records off-line and physically transfer to the National Archives upon approval of this schedule in accordance with NARA instructions and guidance. Subsequent legal transfer of the records will be as jointly agreed to between DOI and NARA, in accordance with regulations currently cited in 36 CFR 1228.270. (N1-075-07-6)

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

C. System Generated Documents/Outputs

1. System Generated Documents in Case Files: Case files specific queries, sorts, reports, tables, and related records and data compilation reports (e.g., management reports and plans) that are created for case files, studies, inquiries, inspections, and related program files.

Disposition Instructions: Apply disposition instructions approved for paper and microfilm records. (Reference Indian Affairs Record Schedule record series for specific program records)

2. System Generated Documents organized by Program, Regional, Agency or Field Offices: Data compilation reports (e.g. management reports and plans) that are not case file specific and generated bi-weekly, monthly, quarterly, and annually. These reports can not be easily separated and filed in case specific files. (N1-075-07-6)

Disposition Instructions: PERMANENT. Printed Report Files. File by System Report Name, Program, Region, Agency or Field Office, Job Run Date and Fiscal Year. Cut off at the end of the fiscal year. Maintain in office of record for a maximum of 2 years after cut off or when no longer needed for current business operations; 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 United States Department of Interior and the National Archives and Records Administration.

3. Data Verification Reports or Screen Prints, Data Verification – Non case/subject file specific screen prints, test reports, data validation reports and system diagnostics.

a. Electronic files or records created solely to test systems performance, as well as hard-copy printouts and related documentation for the electronic files/records. (GRS-20/1a)

Disposition Instructions: TEMPORARY. Delete/Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

b. Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records. (GRS-20/1b)

Disposition Instructions: TEMPORARY. Delete after information has been transferred to the master file and verified.

c. Electronic files and hard-copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use. (GRS-20/1c)

Disposition Instructions: TEMPORARY. Delete/Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

d. Records create and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to: Data and detailed reports on implementation of systems, applications, and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management. (GRS-24/3b1)

Disposition Instructions: TEMPORARY. Destroy/delete 1 year after termination of system.

D. Documentation

1. System Data specifications, file specifications, code books, record layouts, user guides, output specifications, final reports, regardless of medium, relating to a master file or database. (N1-075-07-6)

Disposition Instructions: PERMANENT. Transfer to the National Archives with Master Data file as identified above.

2. Copies of Records relating to system security, including records documenting periodic audits or reviews and re-certification of sensitive applications, disaster and continuity plans, and risk analysis, as described in OMB Circular No. A-130. (GRS-20/11b)

Disposition Instructions: TEMPORARY. Destroy or delete when superseded or obsolete.

E. Backups/Vital Record Backups

Backups are intended for making a copy of computer files for use if the original is lost, damaged or destroyed. The Backup process includes copying recorded information from internal storage to an external storage medium, such as magnetic tape, cartridges, CDs, and Optical disk. The Disposition of Backups is Temporary because they are intended to restore a system in case of failure. Backups do not meet NARA requirements for long term retention or preservation of permanent data. (GRS-20/8a)

Disposition Instructions: TEMPORARY. File identical to records scheduled for transfer to the National Archives: Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

TR-6174-TBCC [Trust Beneficiary Call Center Database \(TBCC\)](#)

The Trust Beneficiary Service Center system was created to track and document all beneficiary contacts whether they are inquiries about trust assets or requests for general information. The shared beneficiary contact database allows Trust Beneficiary Call Center staff (TBCC), Whereabouts Unknown (WAU) Project staff and Field Operations staff to: make more informed responses; provide consistent responses and eliminate duplicate transactions. The TBCC system allows for documentation of beneficiary's name and contact information. Updates and resolution to inquiries received by the Call Center are documented within the system. Implementation of the tracking system has allowed OST to provide better accountability to Indian beneficiaries by ensuring that all documented inquires are resolved on a timely basis and with accurate information.

A. Source Records/Inputs

1. **Source Records (Paper):** Beneficiary name, address, IIM account number, and other personal identifiers are imported and manually input from ODR on a nightly basis. The inquiry category, description, updates and resolution and other ticket information and supporting documents must be keyed into ServiceCenter by the user. Scanned letters sent to the beneficiary may also be attached to a beneficiary contact record in ServiceCenter.

Disposition Instructions: Apply disposition instructions approved for paper and microfilm records. (Reference Indian Affairs Record Schedule record series for specific program records)

2. **Source Records (Electronic):** Electronic files or records used to create or update a master file, including, but not limited to , work files, valid transaction files, and intermediate input/output records. (GRS-20/1b)

Disposition Instructions: TEMPORARY. Delete after information has been transferred to the master file and verified.

B. Master Data File

The master data files contain beneficiary's name and contact information, personal information (i.e., SSN, Tribal Affiliation), and inquiry and resolution of inquiry. Each inquiry is assigned a unique call number or incident number that be queried, as well as queried by any field (i.e., account number, status, contact name, etc.).

Disposition Instructions: PERMANENT. Create duplicate copy of records off-line and physically transfer to the National Archives upon approval of this schedule in accordance with NARA instructions and guidance. Subsequent legal transfer of the records will be as jointly agreed to between DOI and NARA, in accordance with regulations currently cited in 36 CFR 1228.270. (N1-075-07-7)

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

C. System Generated Documents/Outputs

1. System Generated Documents in Case Files: Case files specific queries, sorts, reports, tables, and related records and data compilation reports (e.g., management reports and plans) that are created for case files, studies, inquiries, inspections, and related program files.

Disposition Instructions: Apply disposition instructions approved for paper and microfilm records. (Reference Indian Affairs Record Schedule record series for specific program records)

2. System Generated Documents organized by Program, Regional, Agency or Field Offices: Data compilation reports (e.g. management reports and plans) that are not case file specific and generated bi-weekly, monthly, quarterly, and annually. These reports can not be easily separated and filed in case specific files. (N1-075-07-7)

Disposition Instructions: PERMANENT. Printed Report Files. File by System Report Name, Program, Region, Agency or Field Office, Job Run Date and Fiscal Year. Cut off at the end of the fiscal year. Maintain in office of record for a maximum of 2 years after cut off or when no longer needed for current business operations; 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 United States Department of Interior and the National Archives and Records Administration.

3. Data Verification Reports or Screen Prints, Data Verification – Non case/subject file specific screen prints, test reports, data validation reports and system diagnostics.

a. Electronic files or records created solely to test systems performance, as well as hard-copy printouts and related documentation for the electronic files/records. (GRS-20/1a)

Disposition Instructions: TEMPORARY. Delete/Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

b. Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records. (GRS-20/1b)

Disposition Instructions: TEMPORARY. Delete after information has been transferred to the master file and verified.

c. Electronic files and hard-copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use. (GRS-20/1c)

Disposition Instructions: TEMPORARY. Delete/Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100

Indian Fiduciary Financial Trust

d. Records create and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to: Data and detailed reports on implementation of systems, applications, and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management. (GRS-24/3b1)

Disposition Instructions: TEMPORARY. Destroy/delete 1 year after termination of system.

D. Documentation

1. System Data specifications, file specifications, code books, record layouts, user guides, output specifications, final reports, regardless of medium, relating to a master file or database. (N1-075-07-7)

Disposition Instructions: PERMANENT. Transfer to the National Archives with Master Data file as identified above.

2. Copies of Records relating to system security, including records documenting periodic audits or reviews and re-certification of sensitive applications, disaster and continuity plans, and risk analysis, as described in OMB Circular No. A-130. (GRS-20/11b)

Disposition Instructions: TEMPORARY. Destroy or delete when superseded or obsolete.

E. Backups/Vital Record Backups

Backups are intended for making a copy of computer files for use if the original is lost, damaged or destroyed. The Backup process includes copying recorded information from internal storage to an external storage medium, such as magnetic tape, cartridges, CDs, and Optical disk. The Disposition of Backups is Temporary because they are intended to restore a system in case of failure. Backups do not meet NARA requirements for long term retention or preservation of permanent data. (GRS-20/8a)

Disposition Instructions: TEMPORARY. File identical to records scheduled for transfer to the National Archives: Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied.