

# **INDIAN AFFAIRS RECORDS SCHEDULE**

**6200 Series**

**Appraisal Services**

## INDIAN AFFAIRS RECORDS SCHEDULE

### Appraisal Services

		INDIAN AFFAIRS RECORDS SCHEDULE (IARS)	
SERIES	TITLE	SERIES	TITLE
<b>Appraisal Services</b>		<b>Appraisal Services</b>	
<b>Unscheduled</b>	Program Correspondence Files - Official Files	<b>TR-6200a-P2</b>	Program Correspondence Files - Official Files <b>(New)</b>
<b>Unscheduled</b>	Program Policy/Directives Master Set with Case History Files - Official Files	<b>TR-6200b-P2</b>	Program Policy/Directives Master Set with Case History Files - Official Files <b>(New)</b>
<b>Unscheduled</b>	Appraisal Services Case/Work Files	<b>TR-6201-P5</b>	Appraisal Services Case/Work Files <b>(New)</b>
<b>Unscheduled</b>	Appraisal Request System - Input Files	<b>TR-6202a-P5</b>	Appraisal Request System - Input Files <b>(New)</b>
<b>Unscheduled</b>	Appraisal Request System - Master Data Files	<b>TR-6202b-P5</b>	Appraisal Request System - Master Data Files <b>(New)</b>
<b>Unscheduled</b>	Appraisal Request System - Archival Scanned Images	<b>TR-6202c(1)-P5</b>	Appraisal Request System - Archival Scanned Images <b>(New)</b>
<b>Unscheduled</b>	Appraisal Request System - Non-Archival Scanned Images	<b>TR-6202c(2)-P5</b>	Appraisal Request System - Non-Archival Scanned Images <b>(New)</b>
<b>Unscheduled</b>	Appraisal Request System - System Generated Documents in Case Files	<b>TR-6202d(1)-P5</b>	Appraisal Request System - System Generated Documents in Case Files <b>(New)</b>
<b>Unscheduled</b>	Appraisal Request System - System Generated Documents Organized by Program, Regional, Agency or Field Office	<b>TR-6202d(2)-P5</b>	Appraisal Request System - System Generated Documents Organized by Program, Regional, Agency or Field Office <b>(New)</b>
<b>Unscheduled</b>	Appraisal Request System - System Documentation	<b>TR-6202e-P5</b>	Appraisal Request System - System Documentation <b>(NEW)</b>

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6200-P5      Program Correspondence and Policy Directives Files

NARA JOB #  
N1-075-09-6  
Approved  
6/8/2011

a. Program Correspondence Files – Official Files

**Contents:** Records include program files that contain correspondence created, received and where action is taken; or have the primary responsibility for the documenting the activities which relate directly to the Office of the Special Trustee for American Indians Appraisal Services function. Correspondence consist of incoming and outgoing originals or copies of letters, memoranda, reports, forms, attachments and other materials that pertain to the program activities of the office in which these records are created or received and maintained. Also, included are records from electronic mail, documents created through word processing, spreadsheet software Applications and supporting documentation, regardless of media format.

**Filing Arrangement:** Arrange alphabetically by subject then chronologically.

**Official File:** Office of Record.

**Disposition Instructions: PERMANENT.** Cut off at fiscal year end. Maintain in office of record for a maximum of 2 years after cut off; and then retire paper records to the records center, and pre-accession electronic records to the National Archives. Subsequent legal transfer of the records will be as jointly agreed to between United States Department of the Interior and the National Archives and Records Administration (NARA), as specified in NARA standards applicable at the time of transfer.

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

**Contents:** Records include files related to the internal program policy, guidance and regulations of daily operations for the Office of the Special Trustee for American Indians Appraisal Services. Records consist of the preparation, review, documentation of design 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 records from electronic mail, documents created through word processing, spreadsheet software applications, supporting documentation and related correspondence, regardless of media format.

**Filing Arrangement:** Arrange alphabetically by subject then chronologically.

**Official File:** Office of Record.

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**Disposition Instructions: PERMANENT.** Cut off at fiscal yearend when superseded or rescinded. Maintain in office of record for a maximum of 5 years after cut off; and then retire paper records to the records center, and pre-accession electronic records to the National Archives. Subsequent legal transfer of the records will be as jointly agreed to between United States Department of the Interior and the National Archives and Records Administration (NARA), as specified in NARA standards applicable at the time of transfer.

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TR-6201-P5      Appraisal Services Case/Work Files (Trust)

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**Contents:** Records include trust case/work files that document real property appraisal services prepared by the Office of the Special Trustee for American Indians (OST) that are used by Bureau of Indian Affairs and/or Public Law 93-638 realty tribal programs (Note: The National Business Center (NBC) creates and maintains records that document real property appraisals but they are not, nor have they ever been, used by NBC to manage Indian trust assets). These records contain a complete history of the requested actions, along with all other data, information, and documentation necessary to support the appraiser's opinions and conclusions and to show compliance with all Uniform Standards of Professional Appraisal Practice (USPAP) applicable to the specific type of appraisal service and valuation product provided, along with any other applicable standards, regulations, or legal requirements, e.g., the Uniform Appraisal Standards for Federal Land Acquisitions (UASFLA) . Trust case/work files include, but are not limited to, copies of client requests for appraisal services, instructions for agency staff appraisers, contract appraisers or 3<sup>rd</sup> party appraisers; pre-appraisal conference (and other meeting) notes; field notes; subject data from realty specialists (legal descriptions, title reports, maps, zoning, land use descriptions, etc.); correspondence with realty specialists, owners/proponents, and/or appraisers; analyses, supplemental data; summaries of any written reports, testimony, or a transcript of testimony; and final signed (true) copies of valuation products, e.g., appraisal services reports, reviews, and consulting reports. **(Note: Outputs consisting of printable or exportable electronic statistical reports by region and/or bureau that are filed in an Appraisal Request System(s) are covered by TR-6202-P5).** Also included are records from electronic mail, documents created through word processing, spreadsheet software applications, and supporting documentation, regardless of media format.

**Filing Arrangement:** Arrange by reservation or an Alaskan region and then by Appraisal Request System number.

**Official File:** Office(s) with primary responsibility.

**Disposition Instructions: PERMANENT.** Cut off at fiscal year end in which final report or other valuation product/service requested has been completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire paper records to the records center, and pre-accession electronic records to the National Archives. Subsequent legal transfer of the records will be as jointly agreed to between the United States Department of the Interior and the National Archives and Records Administration (NARA), as specified in NARA standards applicable at the time of transfer.

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TR-6202-P5

#### Appraisal Request Systems

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**Contents:** The Appraisal Request System(s) provide Indian trust land appraisal request tracking capabilities to Indian Affairs employees and users from tribes and other government offices.

The application(s) are designed to follow an appraisal request electronically, from assignment to completion, allowing users to initiate and track the request in all stages of the process. The systems supply statistical capability, standardize the submission of the requests and offer a number of search variables, while improving management of appraisal activities.

System users key in the appraisal request's information; the specialist conducting the appraisal; the name of the requestor (Tribes, a consortium or agency personnel) and contractor information. Information maintained in the appraisal tracking system are appraisal requests, land information, appraisal data, appraisal award information, appraisal amount estimates and requestor data. A history is created and a variety of appraisal reports are compiled such as, a report on appraisal backlogs complete with count and an indication of timeframes.

a. Input Files

The inputs to the system include: Name data; Townsite data; Allotment data; Legal Description and Tract data; Assigned appraiser and reviewer information, Dates appraised; Market value information; Land Usage data; Inspection data; Location codes; Award dates; Appraisal estimates; Contractor data; Sale data and report data.

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

**Data restricted in accordance with Privacy Act Notice as required.**

b. Master Data Files

The Appraisal Request System's database(s) are compiled logically in tables containing appraisal service and real property data. Records include: Information/data captured within the Appraisal Tracking System(s); appraisal approving and reviewing official information; data relating to the owner and location (state, county, and legal description); specification of property rights to be appraised; appraisal results; appraisal funding information; cost of services associated with appraisals and contractors and historical data. Master files contain data related to request records and a unique number is assigned to each individual request. Some of the appraisal request case file tracking systems contains images of documents associated with appraisal requests.

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**Disposition: PERMANENT.** Create duplicate copy of records off-line and physically transfer to the National Archives in accordance with NARA instructions and guidance. Subsequent legal transfer of the records will be as jointly agreed to between DOI and NARA, as specified in NARA standards applicable at the time of transfer.

**Data restricted in accordance with Privacy Act Notice as required.**

c. Scanned Images

1. Archival Scanned Images. Record include images of appraisal request related documents scanned at accepted archival standards for preservation and placed on correspondence paper case files such as the Appraisal Services Case/Work Files and Realty files scheduled for permanent retention.

**Disposition Instructions: Permanent.** Transfer to the National Archives with related Master Data Files (TR-6200b-P2) as specified in NARA standards applicable at the time of transfer.

**Data restricted in accordance with Privacy Act Notice as required.**

2. Non-Archival Scanned Images. Record include images of appraisal request related documents scanned below minimum archival standards for preservation and placed on correspondence paper case files such as the Appraisal Services Case/Work Files and Realty files scheduled for permanent retention.

**Disposition Instructions: Temporary.** Destroy or delete scanned images when no longer needed for business or reference purposes.

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d. System Generated Documents/Outputs:

1. System Generated Documents in Case Files: Queries, sorts, reports, tables, and related records and data compilation reports (e.g., management reports and plans), studies, inquiries, inspections, and related program files. Records include outputs consisting of printable or exportable (electronic) statistical reports summarizing appraisal services workload by region and/or bureau and acreage appraised by month or quarter, as well as completed and in-process appraisal services request summaries and copies of scanned images linked to requests. (Note: Those copies of completed appraisal services request summaries that are filed in Appraisal Services Case/Work Files (Trust) are covered by TR-6201-P5). Also included are records from electronic mail, documents created through word processing, spreadsheet software applications, and supporting documentation, regardless of media format.

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

**Data restricted in accordance with Privacy Act Notice as required.**

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.

**Filing Arrangement:** Printed Report Files. File by System Report Name, Program, Region, Agency or Field Office, Job Run Date and Fiscal Year.

**Disposition: PERMANENT.** Cut off at the end of the fiscal year. Maintain in office of record for a maximum of 5 years after cut off; then retire paper records to the records center, and pre-accession electronic records to the National Archives. Subsequent legal transfer of the records will be as jointly agreed to between United States Department of Interior and the National Archives and Records Administration (NARA), as specified in NARA standards at the time of transfer.

**Data restricted in accordance with Privacy Act Notice as required.**

d. System Documentation

Indian Affairs Appraisal Systems data dictionary or system catalog with data definitions and record layouts; System Data specifications; system design and analysis; business process analysis charts; file specifications; code books; system, file or record layouts; user guides and manuals; flow charts; training manuals; output specifications; final reports; all data conversion including mapping documentation; system training files; all system documentation regardless of medium, relating to a master file, a database or series of tables.

**Disposition Instructions: PERMANENT.** Transfer to the National Archives with Data Files identified in item b above.