

INDIAN AFFAIRS RECORDS SCHEDULE

9900 Series

Electronic Systems

(Office of Historical Trust Accounting (OHTA) Only)

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 9900

Historical Trust Accounting (OHTA Only)

TR-9901-P System Title: Accounting Reconciliation Tool (ART)

NARA JOB #
N1-075-06-08
Approved
9/28/2006

System Description:

In *Cobell v. Norton*, 226 F. Supp. 2d 1, 148 (D.D.C. 2002), the United States District Court for the District of Columbia (Court) directed the Department of the Interior (DOI) to conduct a historical accounting for about 260,000 Individual Indian Monies (IIM) accounts. In July 2001, DOI established the Office of Historical Trust Accounting to support this task. The Accounting Reconciliation Tool (ART) is the information technology system used to facilitate the historical accounting of IIM and tribal accounts. Historical data are based on data received from the Trust Fund Accounting System (TFAS) managed by DOI's Office of Special Trustee for American Indians, the predecessor Integrated Records Management System (IRMS), and other Bureau of Indian Affairs Real Property Systems. ART is a closed system containing private and confidential trust data on individual Indian and tribal accounts utilized to facilitate the reconciliation of selected trust accounts and/or transactions against supporting records. There is no public access to the ART data. ART operates out of OHTA's office in Washington, DC, and connects through a private network to professional accounting firms located in Albuquerque, NM, Los Angeles, CA, and at OHTA's facility within the American Indian Records Repository (AIRR) in Lenexa, KS. In addition to IIM accounts, ART includes a module for the reconciliation of tribal accounts. Information in ART includes beneficiary name and address, transaction history, investments, receipts, disbursements and imaged records necessary to reconcile account transactions through fiscal year 2000. The system is also used for statistical sampling to verify account accuracy and to support quality control audits of reconciled transactions.

The operating system is Microsoft Server 2003, the database is Microsoft SQL Server 2000. ART has a full backup on a weekly basis with incremental daily backups.

a. Source Data

a.1 BIA and OST Data

ART's historical record is populated by electronic land records obtained from BIA's Trust Asset Accounting Management System (TAAMS), OST's (TFAS), and the predecessor IRMS. Records received from these systems are validated to insure completeness and correctness before they are entered into ART. The records represent trust transactions and refer to ownership, transaction type, basis, and amount. Also, OST's Box Index Search System (BISS) is included in ART to assist in the identification of relevant records stored in the AIRR that are needed for the accounting reconciliation process.

Disposition Instructions: Apply disposition instructions approved for paper, microfilm and electronic records in NARA Job Nos.

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a.2. Department of Justice (DOJ) Concordance Data

DOJ provides OHTA with Concordance hard drives containing .tif images and data of tribal transactions. This data (images) are coded and entered into ART for use in IIM and tribal accounting.

Disposition Instructions: PERMANENT. Create duplicate copy of data off-line and transfer to the National Archives at the end of every three fiscal years in accordance with NARA regulations, such as those currently cited in 36 CFR 1228.270, and related NARA instructions and guidance. Subsequent legal transfer of the records to the National Archives of the United States will be jointly agreed to between DOI and NARA.

b. Master Data Files

The Master Data File contains information on individual Indian and tribal accounts and account holders: transactions, ownership and references to supporting documents; missing transactions (digitized data); statistical tables; data tables; accountant work papers/files; and documentation on the analyses conducted and the tables used to determine and identify sample transactions. ART includes images of supporting paper official records such as leases, financial documents, etc., where the images are obtained from searches of IIM paper records, BIA Agency working files, archived files, and third-party (e.g., tribal) sources.

Disposition: PERMANENT. Create duplicate copy of data off-line and transfer to the National Archives at the end of every three fiscal years in accordance with NARA regulations, such as those currently cited in 36 CFR 1228.270, and related NARA instructions and guidance. Subsequent legal transfer of the records to the National Archives of the United States will be jointly agreed to between DOI and NARA.

c. Outputs

Outputs support historical account reconciliations for OHTA program projects, including, but not limited to: Judgment and Per Capita IIM Accounts, Land-based IIM Accounts, and Tribal Trust accountings. Outputs include but are not limited to (1) reconciled transactions, (2) samples for quality control review or statistical analysis, (3) reconciliation work papers, (4) quality control review work papers, (5) account holder statements, (6) imaged financial documents relating to account holder transactions, (7) reports, (8) tables, and related program files. Outputs are in XML and PDF format and paper.

c.1. Paper Outputs

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

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c.2. Electronic Outputs. XML and PDF files on DVDs.

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

d. Documentation

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 above.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT

Additional Information for: Accounting Reconciliation Tool (ART)

Users: Department of the Interior
Office of Historical Trust Accounting
Tribes
Department of Justice
Department of the Treasury
Various other Federal Agencies

Program: Office of Historical Trust Accounting

Function: Accounting Management

Related Scheduled Series/Systems: 4871 TFAS
IRMS
TAAMS
4851 IIM Cases Files
4802 Tribal Case Files

Location of the two servers: 1801 Pennsylvania Ave., Washington, DC, 20006, and the Federal Records Center, AIRR, Lenexa, KS.

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Historical Trust Accounting (OHTA Only)

TR-9902-P

System Title: Special Deposit Account (SDA) Plus

NARA JOB #
N1-075-06-08
Approved
9/28/2006

System Description:

SDA Plus is a comprehensive project tracking system developed to assist the Office of Historical Trust Accounting (OHTA) contractors in the historical Special Deposit Account (SDA) distribution project. SDA plus is designed to:

- Automate several tasks that are required as part of the distribution project;
- Maintain data integrity of both source transaction data and data created throughout the distribution process;
- Control and standardize the capture of specific additional information obtained;
- Facilitate comprehensive status reporting at the project, account, document, transaction, and task level;
- Integrate all aspects of the project, from source transaction analysis to the posting of distributions and transfers resulting from final Recommended Action Forms (RAF); and
- Ensure and often automate the quality control of each task in the distribution process.

SDA Plus is a Microsoft Access 2002 application and requires Microsoft Word and Microsoft Excel to realize full functionality. SDA Plus is fully backed up on a daily basis.

a. Source Data

a.1 OST Data

SDA Plus' historical record is populated by electronic account transactions obtained from the Office of the Special Trustee's (OST) current Trust Funds Accounting System (TFAS) and historical Indian Records Management System (IRMS). Records received from these systems are validated to insure completeness and correctness before they are loaded into SDA Plus. The records represent financial Trust transactions relating to Special Deposit (House) Accounts maintained by the OST.

Disposition Instructions: PERMANENT. Apply disposition instructions approved for paper, microfilm, and electronic records. (See OST/BIA records schedules for TFAS.)

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a.2. Supporting Data

Additional information derived from official Trust records such as leases, financial documents, transaction ledgers, and ownership records is key punched or electronically imported into and stored within the application's database.

Disposition Instructions: PERMANENT. Apply disposition instructions approved for paper, microfilm, and electronic records. (See OST/BIA records schedules for TFAS.)

b. Master Data Files

The Master data files contain certain TFAS-derived information on specific special deposit accounts, the status of the distribution effort conducted for each particular account, and additional information on each financial transaction added to the application. In addition, a control file of all Recommended Action Forms created is maintained which reflects certain information pertaining to the final product of the distribution efforts.

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.

c. Outputs

Outputs support historical (pre-1/1/2003) SDA distributions and include the following: TFAS, IRMS, and manual ledger account activity details; residual balance summaries; Recommended Action Forms (RAF); document request listings; and various status reports at both a detailed and summary level.

c.1. Paper Outputs

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

c.2. Electronic Outputs Document account listings can be produced in Microsoft Excel format.

Disposition Instructions: PERMANENT. Apply disposition instructions approved for paper, microfilm, and electronic records. (See OST/BIA records schedules for TFAS.)

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d. Documentation

Documentation to be sent with Master Data Files (item b) include: file specifications, data specifications, table and record layouts, user guides, technical documentation, and output specifications.

Disposition: PERMANENT. Transfer to the National Archives with items identified in item b above.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT

Additional Information for: **SDA Plus**

Users: **Department of the Interior Contractors**

Program: **Office of Historical Trust Accounting**

Function: **Accounting Management**

Related Scheduled Series/Systems: 4871 TFAS
IRMS

Location of the server: Various DOI contractor locations as determined by Office of Historical Trust Accounting

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