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Glossary	INDIAN AFFAIRS RECORDS MANAGEMENT MANUAL, GLOSSARY	REPLACE
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This release prescribes a glossary of terms that appear in various chapters of the Indian Affairs Records Management Manual. Each term is defined to maintain consistency throughout the Manual.



Ethel Abeita
Director, Office of Trust Records

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GLOSSARY

The following glossary contains terms that appear in various chapters of the IARMM. Each term is defined to maintain consistency throughout the manual.

Activation. The result when all or a portion of a disaster “response plan” is implemented or set into motion. It can also apply to a portion of plan activation such as the activation of a command and control center during a disaster.

Active Records. Records necessary to conduct the current business of an office and therefore generally maintained in office space and equipment.

Administrative Records. Records relating to budget, personnel, supply, and similar housekeeping, or facilitative functions common to most agencies.

Alternate Site. A secondary location or facility used to conduct critical business operations in the event of a disaster.

American Indian Records Repository (AIRR). A records storage facility established for inactive Indian Affairs records. AIRR was built in accordance with strict National Archives and Records Administration (NARA) archival facility standards. The facility is located in Lenexa, Kansas.

Chain of Custody. The chain of custody documents the physical transfer/movement of records at a beginning location until the record(s) reach a final destination.

Continuity of Operations Plan (COOP). (1) The activities of individual departments and agencies and their sub-components to ensure that their essential functions are performed. This includes plans and procedures that delineate essential functions; specify succession to office and the emergency delegation of authority; provide for the safekeeping of vital records and databases; identify alternate operating facilities; provide for interoperable communications; and validate the capability through tests, training, and exercises. (2) Plans that ensure performance of essential activities and functions at offices, facilities, administrative units, and other locations and sites in the event of an emergency or disaster.

Corrective Action. Action necessary to correct findings or deficiencies identified in a site assessment.

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Corrective Action Plan (CAP). A plan developed by a program office, in compliance with records management requirements, to resolve any deficiencies identified in a site assessment.

Cut off. Breaking or ending files at regular intervals, usually at the close of a fiscal or calendar year. A cut off date permits the disposal or transfer of records in distinct blocks of time (regular intervals). Generally, case files are assigned a cut off date at the end of the year in which the case is closed. Cut off is abbreviated as 'COFF.' Cut off is also referenced as 'file cut off' or 'file break.'

Cycle. The periodic removal of obsolete copies of vital records and their replacement with copies of current vital records. This may occur daily, weekly, quarterly, annually, or at other designated intervals.

Damage Assessment. The process of assessing damage to computer hardware, vital records, office facilities, etc., and determining what can be salvaged or restored and what must be replaced following a disaster.

Destruction. In records management, the major type of disposal action. Methods of destroying records include selling or salvaging the record medium and burning, pulping, shredding, macerating, or discarding with other waste materials.

Disaster. (1) An unexpected occurrence inflicting widespread destruction and distress and having long-term adverse effects on agency operations. (2) An emergency event that progresses from the realm of standard operating procedures and moves to conditions requiring resources beyond the means of the organization. The event can pertain to only certain elements of the organization, such as records and information, to cause a disaster.

Disaster Management, Emergency Management, Disaster Planning. A planned approach for the prevention of disasters, preparedness and response to emergencies, and recovery following an emergency or a disaster.

Disposition. The actions taken regarding records no longer needed for current government business. These actions include transfer to the AIRR, transfer from one federal agency to another, transfer of permanent records to the National Archives, and disposal of temporary records. Disposition is the third stage of the records life cycle.

Disposition Authority. Legal approval empowering OST and Indian Affairs to transfer permanent records to the National Archives or carry out the disposal of temporary records and the approval of disposition instructions for nonrecord materials.

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Document. Recorded information, along with its associated descriptive data, that is (1) related to or describes activities, decisions, transactions, or other results of work at a particular point in time, (2) in a format that can be processed or handled as an individual object, and (3) intended to be unchanging in content. Documents created in electronic format may replace or supplement documents created on paper.

Duplication. Computer backup tapes created in the normal course of system maintenance or other electronic copies that may be routinely created in the normal course of business and may be used as the vital record copy. For hard copy records, agencies may choose to make microform copies, etc.

Electronic Information System. A system and associated subsystems that process all or part of automated transactions and contain and provide access to this automated information.

Electronic Records. Records stored in a form that only a computer can process. Electronic records are also referred to as machine-readable or ADP records.

Electronic Records Management System (ERMS). An electronic information system that performs or incorporates electronic records management functions (collection, classification, preservation, retrieval, use and disposition) and that meets the requirements of Department of Defense Standard DOD 5015.2 STD, Design Criteria Standard for Electronic Records Management Software Applications, or the corresponding DOI standard when it is approved.

E-Mail Message. A document created or received on an e-mail system and any attachments (such as word processing and other electronic documents) that may be transmitted with the message.

E-Mail System. An electronic information system used to create, send, receive, and store messages and other documents transmitted electronically between individual users or groups of users. Excluded from this definition are file transfer utilities that are used to retrieve documents from local or remote locations and data systems used to collect and process data organized into databases.

Emergency. A situation or an occurrence of a serious nature, developing suddenly and unexpectedly, and requiring immediate action. An emergency is of short duration—which may interrupt normal business operations. For example, electrical failure or minor flooding caused by broken pipes.

Emergency Operating Critical Period Vital Records. Type of vital records essential to the continuing function or reconstitution of an organization during and after an emergency. Emergency Operating Critical Period records consist of emergency plans

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and directives; delegations of authority; staffing assignments; building plans; directories; vital record inventories; orders of succession; emergency points of contact; and equipment inventories. These records are essential and shall be readily available in the event of an emergency or disaster.

Emergency Operating Recovery Period Vital Records. (1) Records needed to continue operations. Emergency Operating Recovery Period records consist of case files; program management files; and correspondence tracking systems. These records are required to conduct essential activities and functions and therefore shall be retrievable within a few days of an emergency or disaster. (2) Records that support the execution of an agency's essential functions.

Entrance Interview. A meeting or discussion conducted at the beginning of a site assessment to outline the procedures for the assessment.

Evidential Value. The usefulness of records in documenting the organization, functions, and activities of OST and Indian Affairs offices creating or receiving records. Considered by the NARA in appraising records for permanent retention.

Exit Interview. A meeting or discussion conducted at the end of a site assessment to review the result of the findings.

Federal Records Center (FRC). A records center operated by the NARA to store federal records pending their disposal or transfer to the National Archives.

File. Usually an accumulation of records or materials arranged according to a plan. These records or materials may be accumulated in units such as: (1) folders; (2) microform; (3) electronic medium; or (4) personal papers.

File Maintenance and Disposition Plan. A plan designating: (1) physical location(s) where a program's files are to be maintained; (2) specific types of files to be maintained at the location(s); and (3) organizational element(s) that have custodial responsibility. For files held in an office, a plan contains an identifying record, which consists of the following: (1) series number; (2) title; (3) description; and (4) disposition instructions. A 'File Maintenance and Disposition Plan' is also referred to as a 'filing system' or 'files plan.'

Finding Aids. Indexes or other lists, whether manual or automated, that are designed to make it easier to locate relevant files or retrieve information.

Frozen Records. In records disposition, those temporary records that cannot be destroyed as provided in the Indian Affairs Records Schedules and the General

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Records Schedule because special circumstances, such as a court order or an investigation, require a temporary extension of the approved retention period.

General Records Schedule (GRS) Records. Specified administrative records, which are common to several or all agencies; the disposition of which is governed by a NARA-issued schedule.

General Trust Programs. Include, but are not limited to: Budget, Contracts, Facility Management, Payroll, Personnel, Property, Safety, Acknowledgement, Housing, Tribal Government, and Education.

General Trust Records. Records that are created by an office that does not operate trust programs or manage Indian trust assets. Examples of general trust records offices are: (1) BIA Law Enforcement Services and (2) Bureau of Indian Education (BIE).

Inactive Records. Records no longer required to conduct OST/Indian Affairs day-to-day business, and therefore, are ready for disposition.

Index. A manual or automated listing arranged differently from a related record series or system to speed retrieval of relevant files.

Indian Affairs Records Management Manual (IARMM). A manual issued by the Office of Trust Records (OTR) that contains the policies and procedures used for records management by OST and Indian Affairs programs. The IARMM is available in both electronic and paper format.

Indian Affairs Records Schedule (IARS). A records retention schedule containing detailed procedures, guidelines, and instructions necessary to systematically maintain files and dispose of OST/Indian Affairs related program and administrative records as required by the Federal Records Act. Also includes the Indian Fiduciary Financial Trust Record Schedule.

Indian Fiduciary Trust Record. Federal records that document the existence of particular lands, natural resources, monies, or other assets held in trust at a particular time by the federal government for an Indian tribe, Alaska native or individual Indian. Decision trees for use in determining whether or not a record is an 'Indian Fiduciary Trust Record' are provided as appendices to Departmental Policy 303 DM 6.

Indian Trust Assets (ITA). Lands, natural resources, monies or other assets held in trust at a particular time by the federal government for an Indian tribe, Alaska native or individual Indian. ITA include some lands and other natural resources which are owned by an Indian tribe or individual Indian that are subject to restraints on alienation imposed by the federal government.

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Information System. The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual, also called a record system or system. Most often refers to a system containing electronic records, which involves input or source documents, records on electronic media, and output records, along with related documentation and any indexes.

Initial Damage Assessment. A cursory review of damage caused by an emergency or disaster that should be completed within the first few hours after the event has occurred. The information is collected by the local department of emergency management and forwarded to appropriate authorities.

Interfiles. Record files or boxes transferred to the AIRR that were excluded from the original transfer by an OST or Indian Affairs program office.

Inventory. A survey of OST/Indian Affairs records and nonrecord materials that is conducted primarily to develop records schedules.

Legal and Financial Rights Records. The type of vital records essential to protect the legal and financial rights of the government and the individuals directly affected by its activities. Legal and Financial Rights records consist of personnel records, grants and contracts, payroll and leave records, and legal proceedings or decisions. These records are not necessarily needed immediately in an emergency or disaster situation but are still essential and stored in a safe location.

Life Cycle of Records. A management concept that recognizes three (3) stages that records pass through in the records management process:

(1) Creation. This action is considered to be the first stage of the life cycle of records. It is the stage when information is made or received in the course of official duties. This stage of the life cycle applies to all information regardless of the method or medium involved in its creation (textual or electronic).

(2) Maintenance and Use. Any action involving storage, retrieval, and handling of records kept in an office. 'Maintenance and Use' is considered the second stage of the life cycle of records.

(3) Disposition. The actions taken regarding records no longer needed to conduct regular and current day-to-day business of OST/Indian Affairs. These actions include: (1) transfer to the AIRR; (2) transfer from one federal agency to another; (3) transfer of permanent records to the National Archives; and (4) disposition of temporary records. Disposition is considered the third stage of the life cycle of records.

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Medium. The physical form of recorded information. Includes paper, film, disk, magnetic tape, or other materials on which information can be recorded.

Metadata. Data or information about an electronic record. Metadata includes the attributes of electronic records – the structure, content, and context. For example, transmission and receipt dates, times, and destination user names, are all examples of metadata for an E-mail message.

Microform Records. Any form containing greatly reduced images, or micro-images, normally on microfilm.

Mitigation. A risk management term for preventative actions that reduce the impact of risks when they occur or the activities designed to reduce or eliminate risks to persons or property, or to lessen the actual or potential effects or consequences of an incident.

National Archives and Records Administration (NARA). The federal agency that serves as custodian of historical records for the federal government. It also provides guidance to federal agencies on records management activities and storage for federal records at its Federal Records Centers.

Nonrecord Materials. U.S. Government-owned materials that either: (1) are excluded from the legal definition of records or (2) do not meet the requirements of the definition of records. 'Nonrecord Materials' include: (1) extra copies of documents kept only for the convenience of reference; (2) stocks of publications; (3) blank Government forms; and (4) library or museum materials intended solely for reference or exhibition.

Off-Site Storage. A facility other than OST/Indian Affairs' normal place of business where copies of vital records are stored for protection to ensure they are not subject to the same damage or destruction from an emergency or disaster affecting the normal place of business.

Origination Responsible Official (ORO). An OST or Indian Affairs employee responsible for preparing the documentation for the transfer of inactive records to the AIRR.

OTR Accession Number. The number assigned by the Office of Trust Records to a shipment of boxes having the same series number for tracking purposes.

OTR Form 002, Transmittal Letter. A memorandum signed by the OTR Director for the purpose of issuing new or revised IARMM chapters. Each memorandum includes a brief description or explanation for the issuance and/or change to an IARMM chapter. A memorandum may also summarize or highlight the major changes to an IARMM chapter.

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Permanent Records. Records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the federal government beyond the time they are needed for administrative, evidential, fiscal, or legal purposes. They are also referred to as archival records. Note: It has been determined that all documents identified as records in the Indian Affairs Records Schedule are considered permanent for OST and Indian Affairs.

Personal Papers. Documentary materials belonging to an individual that are not used to conduct agency business. Personal papers are those which: (1) relate solely to an individual's own affairs or (2) are used exclusively for an individual's convenience. These documentary materials must be clearly designated as such and kept separate from agency records. These materials are also referred to as 'personal files' or 'personal records.'

Program Office Codes. A 2-digit code that is used to identify a specific Indian Affairs program. This code is used in the IARS as part of the 4-digit records series number. For example, in records series number 4401, the first 2 digits identify the specific program (Forestry) where the records are created or received. The last 2 digits correspond to the consecutive numbering of the series.

Program Records. Records documenting the unique, substantive functions for which a specific OST/Indian Affairs office is responsible, in contrast to administrative records.

Record. As defined in 44 U.S.C. 3101, the term includes:

“All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the information value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for the convenience of reference, and stocks of publications and of processed documents are not included.”

The term record as defined in 44 U.S.C. 3101 does not include Presidential records and records of the U.S. Congress. Records are also referred to as 'Federal records.'

Records in Jeopardy. Records in jeopardy are described as recorded information in any media as described below or already in a dangerous state of deterioration. Examples include records: worn in appearance; faded in print and/or discoloration of

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paper; molded; with unpleasant odor; brittle; torn; marked up with paint, ink, stains, etc.; torn and repaired with office transparent tape; water damaged; sufficient damage to threaten loss of the information recorded therein; and stored in physical locations where such storage may pose a potential threat to records (records stored near overhead water pipes, near electrical equipment, near excessive heat, cold and humidity or in locations where rodents or other insect infestation are known to exist).

Records Subject to Litigation Holds. Records that require specific handling as directed by a court order or other directive on how to manage these records.

Records Management. The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of federal policies and transactions and effective and economical management of agency operations.

Records Management Program. A planned, coordinated set of policies, procedures, and activities needed to manage an agency's recorded information. Encompasses the creation, maintenance and use, and disposition of records, regardless of media. Essential elements include issuing up-to-date program directives, properly training those responsible for implementation, publicizing the program, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency.

Recordkeeping Requirements. Requirements in federal statutes, regulations, or agency directives providing general and specific guidance on particular records to be created and maintained by an agency. Since each agency is legally obligated to create and maintain adequate and proper documentation of its organization, functions, and activities, the agency must issue recordkeeping requirements for all activities at all levels and for all media, and distinguish records from nonrecord materials and personal papers.

Records Contact. A staff person identified, within a specific OST or Indian Affairs program, as the first point of contact for providing information on records management.

Records of Value. For the purposes of establishing priorities for recovery in the aftermath of an emergency or disaster, these are records of permanent value and active records that are not duplicated elsewhere.

Records Recovery Response (RRR) Team. Individuals selected to serve as the core team for recovering vital records and/or records of value during an emergency or disaster situation.

Records Schedule. A document providing authority for the final disposition of records. Records schedule is also referred to as 'records disposition schedule,' 'records control

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schedule,' records retention schedule,' or 'schedule.' Included in this definition are General Records Schedule and Indian Affairs Records Schedule.

Record Series. File units or documents arranged according to a filing system, or kept together because they relate to a particular subject or function; result from the same activity; document a specific kind of transaction; take a particular physical form; or have some other relationship arising out of their creation, receipt, or use. An example would be a record series that has restrictions on 'access and use.'

Regional Records Liaison. An OTR employee who is responsible for providing records management technical assistance, training, etc., at a particular OST and/or Indian Affairs regional office.

Retention Period. The length of time that records are to be kept at an office as set forth in the IARS or the GRS.

Retirement. Records are considered "retired" when they are transferred to the AIRR for storage, retention, or destruction when they have met their disposition date.

Risk Analysis. The process of identifying the probabilities of risk of loss or damage to records and information.

Risk Assessment. The process of identifying existing risks to records and information.

Risk Management. The discipline that ensures an organization does not assume an unacceptable level of risk.

Series. File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function; result from the same activity; document a specific kind of transaction; take a particular physical form; or have some other relationship arising out of their creation, receipt, or use. An example would be a series that has restrictions on 'access and use.' Series is also referred to as 'schedule number,' 'item number' (GRS), or 'record series.'

Site Assessment. An on-site review conducted to determine if recordkeeping activities are in accordance with the Indian Affairs Records Management Program requirements, policies, procedures, criteria, and applicable federal requirements.

Site Survey. A review of a facility or location in which abnormal elements such as leaky roofs, fire hazards, lack of fire suppression, and insect infestation are documented. A site survey may be conducted for risk assessment, damage assessment, or other purposes.

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System of Records. The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual. A 'system of records' is also referred to as a 'record system' or 'information system.' The term 'system of records' most often refers to a system containing electronic records, which involves: (1) input or source documents; (2) records on electronic media, and (3) output records that include related documentation and indices.

Temporary Records. A temporary record is a record which has been determined by the Archivist of the United States to have insufficient value to warrant its preservation by NARA. Note: It has been determined that all documents identified as records in the IARS are considered permanent for Indian Affairs and OST.

The Privacy Act of 1974, 5 U.S.C. 552a (2000). The Act seeks to balance the federal government's need to maintain information about individuals with the right of individuals to be protected against unwarranted invasion of their privacy stemming from a federal agency's collection, maintenance, use, and disclosure of personal information about individuals.

Trust Programs. Include, but are not limited to: Forestry Management, Probate and Estate Services, Range Management, Real Estate Services, Transportation, Trust Funds and Individual Indian Monies, and other programs which involve the management of ITA.

Unscheduled Records. Any record: (1) that is not covered by a 'files maintenance and disposition plan', or (2) for which disposition has not been approved by NARA. OTR further defines unscheduled records as records that have not been identified according to a filing system or series, and disposition has not been approved by NARA. Unscheduled records may not be destroyed.

Vital Records. (1) Essential agency records that are needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions (emergency operating records) or to protect the legal and financial rights of the government and those affected by the government's actions (legal and financial rights records). (2) Electronic and hardcopy documents, references, and records needed to support essential functions during a COOP situation. The two basic categories of vital records are emergency operating records and legal and financial records. (3) Those records containing information essential to the continuation or survival of an organization in the event of a disaster. Such records are necessary to continue operations without delay under emergency conditions. They contain information necessary to recreate an organization's legal and financial status and to preserve the rights and obligations of employees, customers, stakeholders, and citizens.

Vital Records Inventory. Detailed listing of identified vital records that is included in the Vital Records Plan and provides: the name of the office responsible for the vital

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records series or electronic information system; the title of each vital record series or information system; identification of each vital records series or information system; and indication of the frequency with which the vital records series or electronic information system are to be cycled.

Vital Records Liaison. An individual designated to assist agency managers in the development, implementation and maintenance of an agency's vital records plan and program.

Vital Records Plan. Identifies the emergency operating records that the OST/Indian Affairs (Region, Agency, Field Operations Office) needs at an off-site location in order to perform their assigned responsibilities during a national or local emergency or disaster. The OST/Indian Affairs office must identify the specific off-site location where the emergency operating records will be needed. The rights and interests records the OST/Indian Affairs office determines are needed should be safeguarded at another off-site location.

Working Copies. Working copies are copies of the original record in jeopardy used in lieu of the original for day-to-day business activities to avoid further danger or additional damage.

Working Files. Documents such as rough notes, calculations, or drafts assembled or created and used to prepare and/or analyze other documents. Working files are also referred to as 'working papers.'

16 Bureau of Indian Affairs Manual (16 BIAM). A records schedule containing detailed procedures, guidelines, and instructions necessary to create, maintain files and dispose of records systematically as required by the Federal Records Act. Updated and now known as the IARS.