INDIAN AFFAIRS RECORDS SCHEDULE

100 Series
GENERAL ADMINISTRATIVE

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
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<thead>
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<th>SERIES: 100</th>
<th>General Administrative Files</th>
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<tr>
<th>101-T0</th>
<th>Files Maintenance and Disposition Plans</th>
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<tbody>
<tr>
<td>NARA JOB #: N1-075-05-1</td>
<td>Refer to GRS 16/7 Records Management</td>
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<td>3/31/2005</td>
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<th>SERIES: 100</th>
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<tr>
<td>102-T1</td>
<td>Reading or Chronological Files</td>
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<td>3/31/2005</td>
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RESERVED
Indian Affairs Records Schedule

SERIES: 100 General Administrative Files

103-T0 Suspense (Tickler) Files

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

Refer to GRS 23/6a Suspense Files

RESERVED
SERIES: 100  General Administrative Files

104-T0  Temporary Correspondence

NARA JOB #  Refer to GRS 23/7 Transitory Files
N1-075-05-1
Approved
3/31/2005

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<td>105-T1</td>
<td>Requisition Files (Office Copies)</td>
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<tr>
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<td>Refer to GRS 3/8a Inventory Requisition File</td>
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RESERVED
### Indian Affairs Records Schedule

**SERIES: 100**

<table>
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<tr>
<td>106-T0</td>
<td>Office Organization Reference Files</td>
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</tbody>
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**NARA JOB #** N1-075-05-1

**Approved** 3/31/2005

Refer to the [Program Correspondence and Policy/Directives Files](#) for your program (program specific)

**RESERVED**
107a-T1  Time and Attendance Reports (T&A) (Carbon copies of timesheets, include leave request (SF-71) forms when timesheet has been initiated by employee)

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

Refer to GRS 2/6a Leave Application Files

RESERVED
<table>
<thead>
<tr>
<th>Series: 100</th>
<th>General Administrative Files</th>
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</table>

**107b-T3**  
Time and Attendance Reports (T&A) (Leave request (SF-71) forms when time sheet has not been initiated by employee)

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

Refer to GRS 2/6a Leave Application Files

**RESERVED**
SERIES: 100 General Administrative Files

108-T0  Supplementary Employee Personnel Folders (SEPF)

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

Refer to  GRS 1/18a Supervisors Personnel Files and Duplicate OPF Documentation

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<th>General Administrative Files</th>
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<td>109-T4</td>
<td>Employee Travel Files (Duplicates)</td>
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<tr>
<td><strong>NARA JOB #</strong></td>
<td>Refer to GRS 9/3a Noncommercial, Reimbursable Travel Files (</td>
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<td>Approved 3/31/2005</td>
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<td><strong>110-T0</strong></td>
<td><strong>Trip Reports</strong></td>
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<tr>
<td>NARA JOB #</td>
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| 111-T0 | Policy Files |

**NARA JOB #**
Refer to the Program Correspondence and Policy /Directives Files for your program (program specific)

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

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<table>
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<td>112-T0</td>
<td>Directives – Reference Copies</td>
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</tbody>
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NARA JOB #
N1-075-05-1
Approved
3/31/2005

No longer used (non-record material)

RESERVED
SERIES: 100  General Administrative Files

113-T0  Confidential Document Access Files

NARA JOB #  Refer to GRS 18/7a Classified Document Container Security Files
N1-075-05-1
Approved
3/31/2005

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<table>
<thead>
<tr>
<th>SERIES: 100</th>
<th>General Administrative Files</th>
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</table>

| 114a-T3     | Annual Records Report (Reports prepared by Central Office) |

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

RESERVED
114b-T2  Annual Records Report (Area and agency reports)

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

Refer to GRS 16/4 Records Holdings Files (Use applicable item)

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<table>
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<tr>
<th>SERIES: 100</th>
<th>General Administrative Files</th>
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</thead>
</table>

**115-T0**  
Records Disposition Authorization Files

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

Refer to GRS 16/2 Records Disposition Files (Use applicable item)

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<table>
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<tr>
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SERIES: 100 General Administrative Files

117-T0 Equipment Manuals and Operating Instructions

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

No longer used (non-record material)

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<tr>
<td>Payroll Detail Reports (Office Copies)</td>
<td>Refer to GRS 2/22b Payroll System Reports</td>
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<tr>
<th>SERIES:  100</th>
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| 119a1-P3 | Program "Mission" Correspondence Files (Division Level or above) |

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

Refer to the Program Correspondence and Policy/Directives Files for your program (program specific)

RESERVED
Indian Affairs Records Schedule

SERIES:  100 General Administrative Files

119a2-T3 Program Mission Correspondence Files (Branch Level or below)

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

Refer to the Program Correspondence and Policy/Directives Files for your program (program specific)

RESERVED
119b1-T3 Administrative Mission Correspondence Files (Division Level and above)

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

Refer to GRS 23/1 Office Administrative Files

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SERIES: 100 General Administrative Files

119b2-T3 Administrative Mission Correspondence Files (All other levels)

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

Refer to GRS 23/1 Office Administrative Files

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INDIAN AFFAIRS RECORDS SCHEDULE

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Executive Management

INDIAN AFFAIRS RECORDS SCHEDULE

1000 Series

EXECUTIVE MANAGEMENT
SERIES:  1000  Executive Management

1200-P5  Program Correspondence and Policy/Directives Files

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

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 documentation of the activities which relate directly to the Executive Management program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement:  Arrange alphabetically by subject.

Official File:  Office(s) with primary responsibility.

Disposition Instructions:  PERMANENT.  Cut off at fiscal year end.  Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center.  Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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 Executive Management 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 of record for a maximum of 5 years after cut off; and then retire to records center.  Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Assistant Secretary Correspondence Files

Contents: Records include copies of incoming and outgoing Assistant Secretary's correspondence, significant letters, memoranda, and/or manuals dispatched by other offices but forwarded to the Assistant Secretary for information as well as correspondence pertaining to individual Indians and tribes on various Bureau of Indian Affairs programs and other subjects. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by region or tribe.

Official File: Record copy maintained by the Central Office program office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT – BIA-20.
Congressional and White House Correspondence Files

Contents: Records include copies of correspondence, reports, and other papers issued in response to Congressional, White House and tribal inquiries, includes papers containing policy which document relations with the Executive Office of the President and Congress. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange chronologically then alphabetically by subject.

Official File: Record copy maintained by program office originating correspondence.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-20).
**INDIAN AFFAIRS RECORDS SCHEDULE**

**SERIES: 1000  Executive Management**

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<thead>
<tr>
<th>Number</th>
<th>Description</th>
<th>Contents</th>
<th>Filing Arrangement</th>
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<th>Disposition Instructions</th>
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<tr>
<td>1203-P5</td>
<td><em>Bureau Controlled Correspondence Office Files</em></td>
<td>Records include copies of priority correspondence to U.S. Senators, Congressmen, and Indian leaders. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.</td>
<td>Arrange numerically by control number.</td>
<td>Record copy maintained by Central Office.</td>
<td>PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.</td>
</tr>
</tbody>
</table>

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-21).**
Regional Director Reports to Central Office Files

Contents: Records include annual narrative reports prepared by Regional Directors to Central Office, with related data on regional activities and programs to include narrative and statistical accounts of the history of regional and agency/field offices as well as significant, special or non-recurring reports concerning direction of the Bureau of Indian Affairs program operations, reports, maps of building locations on agency compounds. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange chronologically then alphabetically by subject or location.

Official File: Record copy maintained by Central Office unit requesting report and/or maintained by office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when report is issued. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
SERIES: 1000

Executive Management

1205-P3  BIA Historical Reports

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

Refer to 1204-P5 Regional Director Reports to Central Office Files

RESERVED
## area and Field Office History files

**NARA JOB #**
N1-075-05-1

**Approved**
3/31/2005

**RESERVED**
1207-P5 Bureau Committee Management Files

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

Contents: Records include documents created in Central Office, Regional and field offices for the establishment of committees, including task forces, councils, boards, commissions, panels, and special projects or initiatives as well as committee establishment proposals, approvals, reports, minutes, papers reflecting changes in committee membership, committee charters, and terminating issuances. 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 committee topic.

Official File: Record copy maintained by office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when committee is discontinued. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
1208-T3  Area and Field Office Committee Management Files

NARA JOB #  Refer to 1207-P5 Bureau Committee Management Files
N1-075-05-1
Approved
3/31/2005

RESERVED
1209-P5  Bureau Directives – Master Set with Case History Files

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

Refer to 1200b-P5 Program Policy/Directives Master Set with Case History Files – Official Files

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1211-T5    Forms and Reports Numerical Files

NARA JOB #  Refer to GRS 16/3 Forms Files and GRS 16/6 Reports Control Files (Use applicable item)
N1-075-05-1
Approved  3/31/2005

RESERVED
SERIES: 1000

Executive Management

1212-T0 Forms and Reports Registers

NARA JOB # Refer to GRS 23/9 Finding Aids (or Indexes)
N1-075-05-1
Approved
3/31/2005

RESERVED
Reorganization Planning Files

Contents: Records include documents relating to change in organization structure or function that affect the management and operation of the Bureau of Indian Affairs as well as staffing studies, minutes of meetings, study reports, organizational charts and copies of policy implementing approved changes. 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 organization.

Official File: Record copy maintained by Central Office, Office of Management and Administration.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when change is completed or withdrawn. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
SERIES: 1000  Executive Management

1214-P5  Long-Range Development Plan Files

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

Contents: Records include long-range development plans for 10 and 20 years such as Tribal Plans, Fund Distribution Plans and other types of comprehensive development plans prepared by the Bureau or the tribe or jointly and having importance to Bureau mission accomplishments. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangements: Arrange alphabetically by tribe.

Official File: Record copy retained by office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when change is completed or withdrawn. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
1215-T3  Program Evaluation Plans

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

Refer to GRS 16/14 Management Control Records

RESERVED
SERIES: 1000  Executive Management

1216-T3  Management Improvement Case Files

NARA JOB #  Refer to GRS 16/14 Management Control Records
N1-075-05-1
Approved  3/31/2005

RESERVED
1217-P5  Strategic Plan Files

Contents: Records include documents accumulated to develop short and long range plans for Bureau programs that include fund distribution plans in accordance with the Government Performance Results Act (GPRA) Chief Financial Officer’s Act (CFOA) Government Management Reform Act (GMRA), Federal Manager’s Financial Integrity Act (FMFIA), Information Technology Management Reform Act (ITMRA), and other pertinent legislation. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained by Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when plan is completed or superseded. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
1218-P5  Biographical Files

**NARA JOB #** N1-075-05-1

**Approved** 3/31/2005

**Contents:** Records include biographies, photographs, newspaper clippings, and related items pertaining to Bureau of Indian Affairs Assistant Secretary. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

**Filing Arrangement:** Arrange chronologically.

**Official File:** Biographical file for the Assistant Secretary-Indian Affairs (AS-IA) is maintained by the Department.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
**1219-P5 Speech Files**

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

**Contents:** Records include originals of speeches delivered by Bureau of Indian Affairs officials such as the Assistant Secretary and heads of Central and Regional Offices. 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 topic or title of speech then chronologically.

**Official File:** Record copy maintained by Central Office.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when speech is given. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
SERIES: 1000  Executive Management

1220-P5  News and Press Releases

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

Contents: Documents pertaining to the preparation and dissemination of information to any public communications media. The files include drafts, clearance documents, formal press releases, and related papers. Record set is retained by the Public Affairs Office. 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 topic then chronologically.

Official File: Records copy maintained by Central office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of records for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
INDIAN AFFAIRS RECORDS SCHEDULE

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1221a-T3 Freedom of Information Act Request Files (Approved and denied requests which do not result in appeals or litigation)
NARA JOB # N1-075-05-1
Approved 3/31/2005

1221b-T6 Freedom of Information Act Request Files (Denied requests resulting in appeals or litigation)
NARA JOB # N1-075-05-1
Approved 3/31/2005

RESERVED
1222-T5  Freedom of Information Act Report Files

NARA JOB #  Refer to GRS 14/14 FOIA Reports Files
N1-075-05-1
Approved
3/31/2005

RESERVED
| 1223-T3 | Privacy Act Records Systems |

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

Refer to GRS 14/25 Privacy Act Reports Files  

RESERVED
1224-T5  Privacy Act Disclosure Files

NARA JOB #  Refer to GRS 14/23 Privacy Act Accounting of Disclosure Files
N1-075-05-1
Approved
3/31/2005

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<td>3/31/2005</td>
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RESERVED
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 1000  Executive Management

1226-T2  Privacy Act Report Files

NARA JOB #     Refer to GRS 14/25 Privacy Act Reports Files
N1-075-05-1
Approved
3/31/2005

RESERVED
1227-P5 Congressional Investigative Case Files

Contents: Records include results of investigations and studies of Bureau of Indian Affairs (BIA) activities by Congressional committees as well as papers relating to the conduct of the investigation, activities of Investigating Committees committee reports, recommendations, and BIA replies. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange numerically by case number or alphabetically by report type.

Official File: Record copy maintained by office of origin.

Disposition Instructions: PERMANENT: Cut off at fiscal year end when case is closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
SERIES: 1000  
Executive Management

1228-P5  
Litigation Case Files

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

Refer to 1401-P5  
Investigative and Litigation Case Files

RESERVED
1229-P5  
**Legal Activity Reports to Central Office**

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

Refer to 1402-P5 Legal Activity Report Files

**RESERVED**
1230-P5 Legislative Review Files

Contents: Records include original documents created in preparing, reviewing, and commenting on proposed legislation, Executive Orders, proclamations, and reports relating to Bureau of Indian Affairs activities as well as background materials, drafts, reviews, minutes of meetings and position papers. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange numerically by Act number.

Official File: Record copy maintained by office/location completing review for Bureau.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when legislation is enacted or withdrawn. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
SERIES: 1000

Executive Management

1231-T5 Information Collection Files

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

Reserved

Refer to GRS 16/12 Information Collection Budget Files
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 1000  Executive Management

1232a-T0  Internal Audit Case Files (Office working/informational copies)

NARA JOB #  Refer to GRS 16/14 Management Control Records (Use applicable item)
N1-075-05-1
Approved
3/31/2005

1232b-T3F  Internal Audit Case Files (Office copy maintained by office responsible for audit control at Central Office)

NARA JOB #  Refer to GRS 16/14 Management Control Records (Use applicable item)
N1-075-05-1
Approved
3/31/2005

RESERVED
External Audit Report Files

Contents: Records include copies of the final audit report files of any tribal operation or tribal contract as well as correspondence and related papers concerning the review reconciliation of recommendations and other responses/clearance documents, and planned corrective actions. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by tribe then numerically by audit number.

Official File: Record copy maintained by originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when corrective actions are completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
1233a-T0  
**External Audit Report Files (Office working/informational copies)**  
NARA JOB # N1-075-05-1  
Approved 3/31/2005  
Refer to 1233-P5 External Audit Report Files

1233b-T3F  
**External Audit Report Files (Official copy maintained by office responsible for audit control at Central Office)**  
NARA JOB # N1-075-05-1  
Approved 3/31/2005  
Refer to 1233-P5 External Audit Report Files

**RESERVED**
Government Accounting Office (GAO) Audit Coordination Files

Contents: Records include coordination arrangement for GAO audits in making replies to and performing follow-up actions on reports of audits; notifications of forthcoming audits; draft and final audit reports; informal inquiries; and comments on findings and recommendations. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange numerically by GAO audit number.

Official File: Record copy maintained by office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when final audit is complete. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
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<tr>
<th>NARA JOB #</th>
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<tr>
<td>N1-075-05-1</td>
<td><strong>1234a-T0</strong> Government Accounting Office (GAO) Coordination Files (Office working/informational copies)** Refer to 1234-P5 General Accounting Office (GAO) Audit Coordination Files</td>
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<td><strong>1234b-T3F</strong> Government Accounting Office (GAO) Audit Coordination Files (Office copy maintained by office responsible for audit control at Central Office)** Refer to 1234-P5 General Accounting Office (GAO) Audit Coordination Files</td>
</tr>
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<td>Approved 3/31/2005</td>
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</tbody>
</table>
Federal Register Notices Files

Contents: Records include Agency documentation relating to the development, preparation, review, clearance, and processing of proposed and final rules for publication in the Federal Register which are not covered by the General Records Schedule. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange chronologically by publication date.

Official File: Record copy retained in office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when notice is published. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Administrative Appeal Files

Contents:  Records include documents relating to an individual's right to appeal an administrative decision in accordance with 25 CFR § 2 – Appeals from Administrative actions. 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 program then alphabetically by name.

Official File:  Record copy maintained by office of origin.

Disposition Instructions:  PERMANENT.  Cut off at fiscal year end when decision on appeal is made.  Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center.  Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
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| 1237-T5 | Alcohol and Substance Abuse Case Files |

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

Refer to GRS 1/26a Personnel Counseling Records

RESERVED
SERIES:  1000

Executive Management

1238-T5 Alcohol and Substance Abuse Reports

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

Refer to GRS 1/26b Personnel Counseling Records

RESERVED
Special Project Case Files

Contents: Records include documents relating to special projects or initiatives by the Bureau as well as information on project, project guidelines, participant applications, determinations on approval, budget levels, and other related documents. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange numerically by project number.

Official File: Record copy maintained by originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when project is completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
### INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES: 1000 Executive Management**

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<td><strong>1239a-T0</strong></td>
<td>Special Project Case Files (Files on applicants not selected to participate in project)</td>
<td>N1-075-05-1 Approved 3/31/2005 Refer to 1239-P5 Special Project Case Files</td>
</tr>
<tr>
<td><strong>1239b-T1</strong></td>
<td>Special Project Case Files (Files on successful applicants)</td>
<td>N1-075-05-1 Approved 3/31/2005 Refer to 1239-P5 Special Project Case Files</td>
</tr>
</tbody>
</table>

**RESERVED**
1240a-P5  Record Disposition Forms (Master sets of forms and detailed inventories maintained by Area or Bureau Records Officers for shipments sent under their jurisdictions)

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

Refer to GRS 16/2a(2) Records Disposition Files

1240b-T5  Records Disposition Forms (Other office copies)

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

Refer to GRS 16/2a(2) Records Disposition Files

RESERVED
1241-P5  
**Overdue Correspondence Report Files**

**NARA JOB #:** N1-075-05-1  
**Contents:** Records include reports of bi-weekly overdue list of the Bureau’s Controlled Correspondence assigned to program offices for priority responses as well as a list of program offices with overdue correspondence. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

**Filing Arrangement:** Arrange chronologically.

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

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when report is printed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
1242-P5  Tribal Leaders Directory Files

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

Contents: Records include the current name, address, telephone and fax number of tribal leaders for each federally recognized tribe and Bureau of Indian Affairs (BIA) Regional Director with listing of BIA regional/agency offices. 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 tribe name or office location.

Official File: Record copy maintained by Central Office, Office of Tribal Services.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when superseded. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
1243-P5

**Public Information Fact Sheet Files**

**NARA JOB #:** N1-075-05-1

**Contents:** Records include fact sheets of historical, cultural, and other information pertaining to various tribes as well as guidance relating to genealogical research and tracing ancestry, and disseminated to public upon request. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

**Filing Arrangement:** Arrange chronologically.

**Official File:** Record copy maintained by Central Office, Office of Tribal Services.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
INDIAN AFFAIRS RECORDS
SCHEDULE

1300 Series
INDIAN GAMING

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
1300-P5  Program Correspondence and Policy/Directives Files

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 documentation of the activities which relate directly to the Indian Gaming program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by subject.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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 Indian Gaming 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 of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
1301-P5  Indian Gaming Management Files

Contents: Records include Tribal-State Compact Agreement – an agreement between a tribe and a state for the conduct of Class III Gaming; approved tribal-state compact and comments to/from the Solicitor of Indian Affairs (SOL-IA); recommendations from the Regional Office; tribal documents; tribal resolutions; proposed gaming ordinances and management contracts; liquor ordinances; case law; state law; comments from tribal and state officials; approval letter; Federal Register notice; Attorney-Client protected, commercial and financial information from tribe; tribal organic documents exempt from disclosure under the Freedom of Information Act, and list of tribes with an approved tribal-state compact for Class III (Casino) gambling. 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 state then by tribe.

Official File: Central Office Indian Gaming Management Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
| NARA JOB # | Contents: Records include tribal plans for distribution of net revenue from gaming to tribal members as well as attorney-client protected commercial and financial information exempt from disclosure under the Freedom of Information Act and relative to a tribal-state compact. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence. |
| Approved | Filing Arrangement: Arrange chronologically. |
| Disposition Instructions: PERMANENT. Cut off at fiscal year end when planning is completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration. |
Recommendation on Determination or Approval Files

**Contents:** Records include Section 20 determinations on using off-reservation land for Indian gaming; and Section 81 approval of agreement, leases for Indian gaming use, land acquisitions for Indian gaming and may contain commercial and financial information exempt from disclosure under the Freedom of Information Act. 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 tribe.

**Official File:** Central Office Indian Gaming Management Office.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when determination or approval is made. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
1304-P5  National Environmental Policy Act Compliance Files

NARA JOB #  Contents: Records include draft environmental documents that are not part of a recommendation from a Regional Director, but subject to review by the Office, and cultural, archaeological, and natural resource information exempt from disclosure under the Freedom of Information Act and other statutes. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

N1-075-05-1  Filing Arrangement: Arrange alphabetically by tribe.

Approved  Official File: Central Office Indian Gaming Management Office.

3/31/2005  Disposition Instructions: PERMANENT. Cut off at fiscal year end when environmental documents are superseded. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
1305-P5  Federal Rule Making and Regulations Files

Contents: Records include documents on formulation of federal rules and regulations. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Central Office Indian Gaming Management Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when documents are superseded. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
1306-P5  Office of the Inspector General (OIG) Audit Files

Contents: Records include documents responding to any OIG audit regarding Bureau of Indian Affair’s roles and responsibilities in implementing and regulating the Indian Gaming Regulatory Act. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Central Office Indian Gaming Management Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when audit is completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Series: 1300  

1307-P5  Indian Gaming Purchase Contract or Agreement Files

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

Contents: Records include contracts or agreements for procurement of service, material and/or supplies subject to the regulations under the Indian Gaming Regulatory Act. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arranged chronologically.

Official File: Central Office Indian Gaming Management Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when contract or agreement is completed, canceled or terminated. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Indian Gaming Security Clearance Files

Contents: Records include security clearance and confidential information of a director and other management officials managing an Indian Gaming Casino (name, other names used, date and place of birth, citizenship, social security number, drivers license number, physical description and fingerprints), and listing of individuals obtaining clearance, referral document to the Federal Bureau of Investigation, Information Management Division, and notification of findings to the Regional Director. 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 tribe, then alphabetically by individual.

Official File: Central Office Indian Gaming Management Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when security clearance is completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (5 USC 552b).
INDIAN AFFAIRS RECORDS SCHEDULE

1400 Series

LEGAL

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
## 1400-P5 Program Correspondence and Policy/Directives Files

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

Records include program correspondence files that are created; received and where action is taken; or have the primary responsibility for documentation of the activities which relate directly to the Legal program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

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

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

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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

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

Records include files created and related to the internal program policy, guidance and regulations of daily operations for the Legal 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 of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
1401-P5 Investigative and Litigation Case Files

Contents: Records include documents for legal proceedings affecting the Bureau of Indian Affairs as well as investigation report, statement of claim, limitation report, pleading, deposition, supporting document and other related correspondence. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications.

Filing Arrangement: Arrange numerically by case number.

Official File: Record copy maintained by Central Office, Congressional & Legislative Affairs Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when case is closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
SERIES: 1400  

Legal Activity Report Files

NARA JOB # N1-075-05-1

Approved 3/31/2005

Contents: Records include periodic reports on legal activities at the Regional Office level. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained by Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when the report is printed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
1403-P5    Court of Indian Appeals Case Files

Contents: Records include documents relating to the Court of Indian Appeals under 25 CFR 111 – Annuity and other per capita payments, as well as appeal decisions of Court of Indian Offenses established at the agency within the jurisdiction of the Regional Office. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange numerically by case number.

Official File: Record copy maintained by originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when case is closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
1404-P5 Litigation Support Funding Files

Contents: Records include tribal applications and requests to provide funding for litigation support and funds to hire a private attorney as well as narratives describing the intended use of funds, tribal resolution, copy of court decision, correspondence from Bureau/Department official, tribal financial statements and other relevant information. 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 tribe then chronologically.

Official File: Record copy maintained by Central Office, Office of Trust Responsibilities.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when application decision is made. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
INDIAN AFFAIRS RECORDS
SCHEDULE

1500 Series
INDIAN SELF-DETERMINATION

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
# INDIAN AFFAIRS RECORDS SCHEDULE

## SERIES: 1500  
### Indian Self-Determination

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<td>N1-075-05-1</td>
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<td><strong>Disposition Instructions:</strong> PERMANENT. Cut off at fiscal year end when superseded or rescinded. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.</td>
</tr>
</tbody>
</table>
**Indian Self-Determination (ISD) Contract Files**

Contents: Records include official contracts made with tribes in accordance with Title I, Section 102 of P.L. 93-638, applications, correspondence, instrument awards, special conditions, fiscal program review check lists, adjustment notices, financial and narrative progress reports, financial payment record monitoring reports, Model Contract and Annual Funding Agreements, modifications and/or amendments, and corrective action plans. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications and supporting documentation.

Filing Arrangement: Arrange numerically by contract number.

Official File: Record copy maintained by Indian Self-Determination office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when final payment has been made and contract is officially closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
SERIES: 1500

Indian Self-Determination

1502-P5  
Indian Self-Determination (ISD) Grant Files

NARA JOB #  
N1-075-05-1

Approved  
3/31/2005

Contents: Records include official grants made to tribes in accordance with Title I, Section 103 of P.L. 93-638, applications, correspondence, instrument awards, special conditions, fiscal program review check lists, adjustment notices, financial and narrative progress reports, financial payment record monitoring reports, Model Grant and Annual Funding Agreements, modifications and/or amendments, and corrective action plans. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications and supporting documentation.

Filing Arrangement: Arrange numerically by grant number.

Official File: Record copy maintained by Indian Self-Determination office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when final payment has been made and grant is officially closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Indian Self-Determination (ISD) Self-Governance Grants and Cooperative Agreements Files

Contents: Records include official grant or cooperative agreements made with tribes in accordance with Title I, Section 9 of P.L. 93-638, in lieu of a contract and/or grant contained in Sections 102 and 103, applications, correspondence, instrument awards, special conditions, fiscal program review check lists, adjustment notices, financial and narrative progress reports, payment record monitoring reports, Model Grant/Cooperative and Annual Funding Agreements, financial modifications and/or amendments, and corrective action plans. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications and supporting documentation.

Filing Arrangement: Arrange numerically by contract or grant number.

Official File: Record copy maintained by Indian Self-Determination office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when final payment has been made and grant is officially closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
<table>
<thead>
<tr>
<th>1504-P5</th>
<th><strong>Indian Self-Determination (ISD) Self-Governance Demonstration Project Planning Grant Files</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NARA JOB #</strong></td>
<td><strong>Contents:</strong> Records include official grants made to tribes in accordance with Section 302 of Title III, Tribal Self-Governance Demonstration Project of P.L. 93-638, as amended by P.L. 100-472, applications, correspondence, instrument awards, special conditions, fiscal program review check lists, adjustment notices, financial and narrative progress reports, financial payment record monitoring reports, Model Grant and Annual Funding Agreements, modifications and/or amendments, and corrective action plans. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications and supporting documentation.</td>
</tr>
<tr>
<td><strong>Approved</strong></td>
<td><strong>Filing Arrangement:</strong> Arrange numerically by grant number.</td>
</tr>
<tr>
<td><strong>3/31/2005</strong></td>
<td><strong>Official File:</strong> Record copy maintained by Indian Self-Determination office.</td>
</tr>
<tr>
<td><strong>Disposition Instructions:</strong> PERMANENT. Cut off at fiscal year end when final payment has been made and grant is officially closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.</td>
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</tr>
<tr>
<td>SERIES: 1500</td>
<td>Indian Self-Determination</td>
</tr>
<tr>
<td>-----------</td>
<td>---------------------------</td>
</tr>
</tbody>
</table>

**1505-P5**  
**Indian Self-Determination (ISD) Self-Governance Compact Files**

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

**Contents:** Records include official compact made with tribes in accordance with Section 402 of P.L. 93-638, as amended, P.L. 103-413, applications, instrument awards, special conditions, fiscal and program review checklists and memoranda, adjustment notices, financial and narrative progress reports, financial payment records, corrective action plans, and monitoring reports. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange numerically by compact/grant number.

**Official File:** Record copy maintained by Indian Self-Determination office.

**Disposition Instructions:** **PERMANENT.** Cut off at fiscal year end when final payment has been made and compact is officially closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
| 1506-P5 | Indian Self-Determination (ISD) Construction Contract Files |
|________________|_________________________________________________________|
| **NARA JOB #** | Contents: Records include official contracts made with tribes in accordance with the contract process provided in Section 102 of P.L. 93-638, as amended, applications, correspondence, instrument awards, special conditions, fiscal program review check lists, adjustment notices, financial and narrative progress reports, financial payment record monitoring reports, Model Contract and Annual Funding Agreements, modifications and/or amendments, and corrective action plans. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence. |
| **N1-075-05-1** | **Filing Arrangement:** Arrange numerically by contract number. |
| **Approved** | **Official File:** Record copy maintained by Indian Self-Determination office. |
| **3/31/2005** | **Disposition Instructions:** PERMANENT. Cut off at fiscal year end when final payment has been made and contract is officially closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration. |
SERIES: 1500

Indian Self-Determination

1507-P5 Indian Self-Determination (ISD) Architect and Engineering (A&E) Contract Files

NARA JOB # N1-075-05-1

Approved 3/31/2005

Contents: Records include construction design and surveys, criteria for rating proposals, task orders, contractor cost estimate agreements, evaluation for the construction prerequisites, and are issued under Indefinite Delivery Contracts or formally advertised for competitive bidding, and corrective action plans. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange numerically by contract number.

Official File: Record copy maintained by Indian Self-Determination office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when final payment has been made and contract is officially closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Indian Self-Determination (ISD) Audit Files

Contents: Records include documents created during contract audits conducted by the Office of the Inspector General or a Certified Public Accounting firm, bill of collection documents, audit resolution documents, findings, recommendations, and planned corrective actions by the contractor as well as official audit reports maintained by the Department and Office of the Inspector General. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange numerically by audit number.

Official File: Record copy maintained by Indian Self-Determination office.

Disposition Instructions: PERMANENT. Cut off at fiscal year when corrective actions are completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
<table>
<thead>
<tr>
<th>SERIES: 1500</th>
<th>Indian Self-Determination</th>
</tr>
</thead>
<tbody>
<tr>
<td>1509-P5</td>
<td>Indian Self-Determination (ISD) Appeals Files</td>
</tr>
<tr>
<td><strong>NARA JOB #</strong></td>
<td><strong>Contents:</strong> Records include decision appeals, correspondence, administrative records, and dispute litigation documents. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications and supporting documentation.</td>
</tr>
<tr>
<td><strong>Approved</strong></td>
<td><strong>Filing Arrangement:</strong> Arrange numerically by judicial case number.</td>
</tr>
<tr>
<td>3/31/2005</td>
<td><strong>Official File:</strong> Record copy maintained by Indian Self-Determination office.</td>
</tr>
<tr>
<td></td>
<td><strong>Disposition Instructions:</strong> PERMANENT. Cut off at fiscal year end when appeal decision is made. Maintain in office of record for a maximum of 5 years after cut off, and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.</td>
</tr>
</tbody>
</table>
### Indian Self-Determination (ISD) Delegation of Authority Files

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

**Contents:** Records include documents involving the appointment and training of personnel which are designated under Delegation of Authority as an Awarding Official Representative (AOR), Awarding Official Technical Representative (AOTR), and a Subordinate Awarding Official Technical Approved Representative (SAOTR). 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 designation then alphabetically by name.

**Official File:** Record copy maintained by Indian Self-Determination office.

**Disposition Instructions:** **PERMANENT.** Cut off at fiscal year end when authority is superseded or rescinded. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
SERIES: 1500  
Indian Self-Determination

1511-P5  
High-Risk Files

NARA JOB # N1-075-05-1

Contents: Records include documentation of Tribes placed on high risk status due to non-compliance issues of contracts; correspondence, request for technical assistance, meetings, resolutions, assigned work group meeting(s), and plan of action to address high-risk as well as the memorandum of agreements between Tribes, the Bureau of Indian Affairs, and the Tribes’ bank and transfer information of P.L. 93-638 funds from the bank to the Tribe. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications and supporting documentation.

Filing Arrangement: Arrange alphabetically by tribe.

Official File: Record copy maintained by Indian Self-Determination office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when corrective actions to reduce risk issues are completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
1512-P5  Public Law 93-638 Contract Support Funds (CSF) Distribution Log Files

Contents: Records include compilation of information necessary to provide for distribution and award of contract support funds (CSF); total amount of funding available, date of award, contractor/program, contract number, modification number, initial award, direct base amount, approved CSF rate, CSF rate year, prior year CSF carryover; CSF distribution allowable, CSF distribution @ 75 percent, and the balance remaining to be distributed to vendors. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Instructions: Arrange chronologically by fiscal year.

Official File: Record copy maintained by Indian Self-Determination office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Indian Self-Determination

Public Law 93-638 Contract Support Funds (CSF) Need Report Files

Contents: Records include compilation of information providing an estimate of tribal contractor's contract support fund (CSF) award, summary report showing the tribe/tribal organization fiscal year program funds, total direct program funds eligible for CSF, indirect cost rate, total CSF need at 100 percent, total CSF paid to date, and the total remaining CSF need; notices within the Federal Register, policy memorandums for distribution, and directives. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained by Indian Self-Determination office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when report is printed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
| 1514-P5 | **Indirect Cost Agreement Files** |
| NARA JOB #: N1-075-05-1 | **Contents:** Records include signed agreements negotiated between tribes and the National Business Center (NBC). Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence. |
| 3/31/2005 | **Filing Arrangement:** Arrange alphabetically by tribe. |
|  | **Official File:** Record copy maintained by Indian Self-Determination office. |
|  | **Disposition Instructions:** PERMANENT. Cut off at fiscal year end when agreement is superseded or rescinded. Maintain in office of record for a maximum of 5 years after cut off, and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration. |
Federal Property Acquired by Indian Self-Determination (ISD) Contract or Grant Files

Contents: Records include documents relating to government-furnished property acquired by tribal contract or grantee in accordance with P.L. 93-638, Indian Self-Determination and Education Assistance Acts, as amended as well as disposition of property transaction by loan, sale, donation, or related form lists, and screener identification holder; SF-122, Transfer Order, Excess Property, SF-129 and BIA-4335; and donations of Personal Property to Indian Tribes or Tribal Organizations. Also included are printouts of electronic mail, documents created through word processing and spreadsheets software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange alphabetically by tribe or grantee name.

Official File: Record copy maintained at Indian Self-Determination office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
INDIAN AFFAIRS RECORDS SCHEDULE

2100 Series
BUDGET

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
2100-P5  Program Correspondence and Policy/Directives Files

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

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 Budget program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by subject.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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

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 Budget 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 of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
2101-P5  Congressional District Report Files
NARA JOB # N1-075-05-1  Approved 3/31/2005

Contents: Records include recapitulation printout reports showing the distribution of Bureau of Indian Affairs (BIA) funds by state and congressional districts for each BIA Regional Office; reports are separated by state and congressional districts for each funding source including documents, forms, and working papers. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence. The original is forwarded to the Department of Interior.

Filing Arrangement: Arrange alphabetically then numerically by state and congressional district order.

Official File: Official record copy maintained by Central Office, Budget Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when report is printed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
## 2102-P5  Quarterly Reprogramming Report Files

### NARA JOB 
N1-075-05-1

### Approved
3/31/2005

#### Contents:  Records include quarterly report summary printouts on all funding activities which occurs in the operation of Indian programs and construction appropriations. Reports are cumulative by quarter and by program sub-activities; reports are reconciled with the total appropriation funding which are provided Congress; departmental requests, memoranda, spreadsheet computations; reprogramming requests submitted to the Central Office and recorded into the U.S. Treasury Federal Finance System (FFS) documenting transferred funding among programs or organizations. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence. The original record copy is forwarded to the Department.

#### Filing Arrangement:  Arrange chronologically.

#### Official File:  Official record copy maintained by Central Office, Budget Office.

#### Disposition Instructions:  PERMANENT. Cut off at fiscal year end when report is printed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
2103-P5  Operating Budget Files

Contents: Records include monthly computer printouts which show the financial program and actual obligations including cost account, descriptions and unobligated balances. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained by originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when report is printed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
2104-P5  

**Budget Status Report Files**

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

**Contents:** Records include monthly computer printouts of SF-133, Report on Budget Execution, giving current year budget status by account, amounts available, unobligated balances, advances, reimbursements, accrued expenditures, and undelivered orders and net disbursements. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange chronologically.

**Official File:** Record copy maintained by Division of Accounting Management (DAM).

**Disposition Instructions:** **PERMANENT.** Cut off at fiscal year end when report is printed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
2105-P5  
Cost Recovery Report Files

Contents: Records include general ledger report of the bureau-wide trial balance fund (BIA 300) and the request for letter of apportionment from the budget office as required by the Chief Financial Officer's Act. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained by Division of Accounting Management (DAM).

Disposition Instructions: PERMANENT. Cut off at fiscal year end when report is printed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
2106-P5  Facilities Management Program Budget Files

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

Contents: Records include short-range tactical and annual plans, project descriptions, cost accounting data, project commitment listings, estimates of work time, reprogramming action and priority ranking of project; associated legislation and copies of hearings or committee reports. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange numerically by project number.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
## Daily Transaction Register Files

### Contents:
Records include Input Transaction Register, which is a computer printout listing of all documents input into the fiscal system daily; shows batch number, document reference number, area, agency, location, fiscal year, appropriation, accounting information, description, other identification, and amount of transaction used to correct input errors. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

### Filing Arrangement:
Arrange chronologically.

### Official File:
Record copy maintained at originating office.

### Disposition Instructions:
**PERMANENT.** Cut off at fiscal year end when register is printed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
2108-P5

**Monthly Transaction Register Files**

**Contents:** Records include computer printouts with a line item entry for each transaction by appropriation and activity and show document reference number, area, agency, location, fiscal year, appropriation, activity, cost code, work order number, object class, description, transaction code and amount; general ledger accounts debited or credited date, and Government Auditing Office (GAO) site audit records. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

**Filing Arrangement:** Arrange chronologically.

**Official File:** Record copy maintained at originating office.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when printout was generated. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Accounts Payable and Undelivered Orders Files

Contents: Records include monthly computer printouts which show document number, area, location, appropriation, activity, cost code, work order number, object class description (number of schedule), other identification, undelivered order amount, accounts payable amount, amount disbursed, transaction code; amount and date of last transaction. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when printout is generated. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
2200-ABC  Activity Based Costing: Used for creating and distributing surveys and collecting, analyzing and reporting results. Common survey applications include customer and employee satisfaction surveys, course evaluations, and opinion polls. Other applications include lead-generation forms, technical-support inquiry forms, and cost surveys. ABC measures the cost and performance of activities performed and the products. This system helps in implementing new business practices, improve performance, and reduce costs.

A. Source Records/Inputs

1. Source Records (Paper): The inputs to the system include: Survey results

   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. Subject to Multiple Record Freezes and/or Litigation holds.

B. Master Data File

The master data files contain information on the costs of performing activities within an organization.

1. Expenditures Accounting General Correspondence and Subject Files. Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration. (GRS 7/1)

   Disposition Instructions. TEMPORARY. Destroy when 2 years old.

2. General Accounting Ledgers. General account ledgers, showing debit and credit entries, and reflecting expenditures in summary. (GRS 7/2)

   Disposition Instructions: TEMPORARY. Destroy 6 years and 3 months after the close of the fiscal year involved.

3. Expenditure Accounting Posting and Control Files. Records used as posting and control media, subsidiary to the general and allotment ledgers, and not covered elsewhere in this schedule. Original records. (GRS 7/4a)

   Disposition Instructions: TEMPORARY. Destroy when 3 years old.
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. Expenditures Accounting General Correspondence and Subject Files. Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration. (GRS 7/1)

Disposition Instructions. TEMPORARY. Destroy when 2 years old.

3. General Accounting Ledgers. General account ledgers, showing debit and credit entries, and reflecting expenditures in summary. (GRS 7/2)

Disposition Instructions: TEMPORARY. Destroy 6 years and 3 months after the close of the fiscal year involved.

4. Expenditure Accounting Posting and Control Files. Records used as posting and control media, subsidiary to the general and allotment ledgers, and not covered elsewhere in this schedule. Original records. (GRS 7/4a)

Disposition Instructions: TEMPORARY. Destroy when 3 years old.

5. 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.  

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

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.  

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

**D. Documentation**

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

**Disposition Instructions: TEMPORARY.** Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

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.

**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.

**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.
2200-REM  Anadarko Real Estate Module (REM):  a dbase V file format (DOS), is used for transaction processing and land management. The individual modules contained in REM are targeted at reducing the most labor intensive tasks performed at field level. These are issuance of conveyance documents, grants of easements for rights-of-way, and agricultural leases, development of payment schedules contracts, issuance of 90 day notices, and report generation.

REM was first implemented in the early 1990’s and ran on standalone personal computers (PCs) at each agency/field office. Over the years, the platform has been upgraded and currently operates on both Local Area Networks (LANs) and standalone PCs. Because the REM operates at the local level, the data stored at those locations only pertains to that location. The data is not propagated to or commingled at the regional level. This system is resident on a LAN at several BIA locations or a standalone PC at Tribal locations.

This system contains information about Indian individuals (account numbers, names, addresses) and the trust/restricted land(s) they hold an interest (property legal descriptions, ownership interests). It also contains information about lessees. The primary keys are tract number, account number, and lease number.

REM includes the following modules: easements, deeds, lease development, lease distribution, lease management, 90 day notices. The Agency/IIM Address and Lease Development Modules include landowner and lessee names and addresses.

A. Source Records/Inputs

1. Source Records (Paper):  The inputs to the system include: land tract and ownership information; leases (renewal, approval, modifying, amending, cancellation/expiration, compliance, rental rates, and landowner stipulations); permits; bonds; consent of land owners; lease advertisements; payment documentation; and names and addresses of current lessees.  Collection and payment documents and data, such as bills for collection, money orders from lessees, and journal vouchers, are acquired from such sources as the lessees through BIA offices.  Other inputs of consist of tract and owner of land information from such sources as probates, deeds, and other such instruments of conveyance.

Disposition Instructions:  Apply disposition instructions approved for paper and microfilm records.  (Reference Indian Affairs Records 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.  Subject to Multiple Record Freezes and/or Litigation holds.
B. Master Data Files

The master data files contain information on leases identified by lease number, tract (legal description – section, township, range and tract identification number), and ownership, rental rates, dates, lessor and lessee information, addresses, and land types (tribal lands, individual Indian land allotments).

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. *(N1-075-05-2)*

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 Records 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. *(N1-075-05-2)*

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.

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. (N1-075-05-2)

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.
The CREUMS system is designed to provide billing and collections, service orders, meter reading, managing customer accounts, accounting, and tracking service/customer history at the Colorado River Indian Reservation. CREUMS enables the Colorado River Agency, as an electric utility provider, to meet its responsibility of supplying reliable electric utility service to the Colorado River Indian Reservation.

A. Source Records/Inputs

1. **Source Records (Paper):** Inputs to the system include manually keyed data and uploaded meter data such as: meter reading information, customer data, property information, power connect and disconnect orders, equipment change orders, and other service data.

   **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

Users from the Power Billing office manually key in customer information data, power connect and disconnect orders, equipment change orders and meter information is manually migrated from a standalone Meter reading computer that periodically queries the installed electric meters. Meter readings obtained by handheld meter reading devices are also uploaded on a daily basis. Customer account records are maintained in a customerumber sequence as a primary key. Information is also available by customer name, Service Location, Property Number, Meter Number, Phone Number, and Social Security Number. Data from CREUMS is subject to the Privacy Act.

**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. (N1-075-07-10)

Data restricted in accordance with Privacy Act Notice.
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. (N1-075-07-10)

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.

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. (N1-075-07-10)

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.
Continuous Forest Inventory (CFI):

The function of Continuous Forest Inventory (CFI) system, stored in a MS Access database format and written in Visual Basic and Visual FORTRAN, is to provide for the collection and analysis of the forest resources using scientifically based data for the monitoring and management of resources on Indian forest land. The CFI computer system is designed to facilitate the processing and analysis of the data collected. The system has been implemented at all reservations that have a major forest resource, what is called a Category 1 forest (See 25CFR Sec. 163.36 for definitions of the forest categories). The system resides at the Division of Forestry – Branch of Forest Resources Planning (BOFRP) in Lakewood, Colorado and at individual reservations, with copies given to the agency and regional offices. See attached diagram for system design.

The CFI is a forest-wide sample of the forest resources that will provide a statistically reliable estimation of the forest resource. Contained in a CFI database is data on the measurement plot site and individual sample trees. Plot data includes information on the location, site quality and administrative classifications. Individual tree data includes tree size (diameter, height) and condition (problems, vigor). The plots are re-measured periodically, which allows for the estimation of forest change. Since the forest resource is a trust asset, the BIA must ensure that the condition and volume of the forest is sustained or improved. Most CFI inventories have at least three measurements, with some having up to 6 measurements. The CFI system maintains all previous measurement information so that trends in the resource can be evaluated. With the individual tree samples and plot summaries, statistics are produced to show the structure, growth, harvest and mortality that have occurred over the measurement period. Field guides defining the procedures and data definitions are developed for each project and are maintained for future reference. Past data for a reservation’s CFI are migrated to the database from ASCII formatted data files at the time of re-measurement.

Since each reservation has specific needs beyond the basic data collected on all reservations, the forest inventory is tailored as needed. Because of this tailoring and the different measurement dates, each individual forest inventory is maintained in its own database. While each database is unique, it is required to follow the standard CFI database format. The format is defined in the "Data Organization Guide" developed by BOFRP. All inventories must follow this database format for integration with standard processing programs that generate summary tables for the inventory. Because of the individualization of the database data fields, there is little application on a bureau-wide basis as a “one-size-fits-all” application.

A. Source Records/Inputs

1. Source Records (Paper): The inputs are preprinted on tally sheets or loaded into electronic field data recorders and taken to the plot. The field crew then measures the same trees at the same point and records the new information. Any past data provided is also verified in the field. Data is entered and error checked through an application written in Visual Basic. This application is modified as needed for each reservation inventory. Original input forms are maintained at the reservation level.

Disposition Instructions: Apply disposition instructions approved for paper and microfilm records. (Reference Indian Affairs Records 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. Subject to Multiple Record Freezes and/or Litigation holds.

**B. Master Data File**

The master data file is stored in a MS Access database. There are five different data tables generated for each measurement:

- Plot Classification - the collected field data for the plot;
- Plot Summary - tree data summaries (stocking, growth, harvest, etc);
- Tree Measurement - collected tree information, plus any calculated data;
- Regeneration data - data on the measured regeneration trees on plot;
- Fuels data - data collected on wild land fire fuels present; and,
- Additional data tables needed for the administration and processing of an inventory are also maintained in the database. See Data Organization Guide for details.

The individual reservation that is doing the analysis determines what sorting and summaries it wants to create. The CFI programs are designed to allow the user the ability to sort on any plot variable.

**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. *(N1-075-05-3)*

**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 Records 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 cannot be easily separated and filed in case specific files. (N1-075-05-3)

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. DeleteDestroy 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.

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. (N1-075-05-3)

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.
**Document Management Program (DMP)**. The purpose of this system is to document the recording of each incoming land title document and to document the disposition of each recorded or unrecorded document.

**A. Source Records/Inputs**

1. **Source Records (Paper)**: The inputs to the system include: Land title documents.

**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. Subject to Multiple Record Freezes and/or Litigation holds.

**B. Master Data File**

The master data files contain information including: year, reservation code, tract ID number, document type, document number, lease or permit number, beginning and ending year, grantor and grantee names, grantor and grantee identification numbers (if applicable), date of order or document, and date recorded.

**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. *(N1-075-07-005)*

**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 cannot be easily separated and filed in case specific files.  (N1-075-07-005)

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 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.

   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. Data Systems specifications, file specifications, code books, record layouts, user guides, output specifications, and final reports, regardless of medium, relating to a master file or data base.  (N1-075-07-005)

Disposition Instructions: TEMPORARY.  Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

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.
2200-FMIS  

**Facilities Management Information System (FMIS).** The FMIS is a tool to help facility staff manage all Bureau facilities. FMIS is used to manage inventory, deferred maintenance, health and safety issues, construction projects, and provides for budget distribution and tracking.

**A. Source Records/Inputs**

1. **Source Records (Paper):** The inputs to the system include: Non-electronic documents designed and used to create, update, or modify records in an electronic medium.

   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. Subject to Multiple Record Freezes and/or Litigation holds.

**B. Master Data File**

The master data files contain inventory data: detailed information on Bureau funded structures (schools, jails, housing, offices, etc.) and site data. This data is used to generate Operations and Maintenance funds for each location and provides life cycle status of inventory and condition of the inventory. Backlog data: detailed information on deferred maintenance deficiencies and improvements for all buildings and sites. Also provides detailed health & safety inspection reports. This data is used to prioritize and create construction projects and is also used to fund supplemental programs and to fund emergencies. Project Management data: detailed information on construction projects, including new school construction, major facilities improvement and repair, portables, and roofing. This data is used to track construction projects through all phases. Budget data: detailed information on budget allotments, allocations, and expenditures for facility funding programs. This data is used to record budget allotments and allocations generate funding documents, and to track where the money has been expended. Work Ticket data: detailed information on day to day routine, unscheduled, and preventive maintenance tasks performed at locations. This data provides facility manager ability to schedule staff and is used to provide historical maintenance repair data for planning.

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. (N1-075-07-009)
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 cannot be easily separated and filed in case specific files. (N1-075-07-009)

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 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.
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. Data Systems specifications, file specifications, code books, record layouts, user guides, output specifications, and final reports, regardless of medium, relating to a master file or data base. (N1-075-07-009)

Disposition Instructions: TEMPORARY. Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

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.
Facility Management System (MAXIMO™). The capstone Facilities Management System (FMS) is an automated maintenance management system which tracks materials, labor, and tools estimated dollars for maintenance performed against irrigation canals and structures, motor vehicles and heavy equipment at 15 BIA irrigation projects. Data captured is tracked and reported in accordance with GPRA goals to OMB. MAXIMO™ addresses deficiencies noted in previous IG reports relating to BIA irrigation, power and safety of dam projects. This computerized maintenance management program has been proposed to answer deficiencies such as: lack of comprehensive and accurate inventories of projects facilities and equipment, and to address the minimal scheduling of work.

A. Source Records/Inputs

1. Source Records (Paper): The inputs to the system include: work orders for maintenance to be performed are created, planned, and scheduled and data is encoded into the system. Source records include maintenance work orders against irrigation project canals and structures, irrigation project motor vehicle and heavy equipment.

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. Subject to Multiple Record Freezes and/or Litigation holds.

B. Master Data File

The master data files contain information including maintenance history on irrigation canals and structures; dams in the safety of dams program, motor vehicles and heavy equipment located at the irrigation projects.

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. (N1-075-09-001)
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 cannot be easily separated and filed in case specific files. (N1-075-09-001)

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 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.
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. Data Systems specifications, file specifications, code books, record layouts, user guides, output specifications, and final reports, regardless of medium, relating to a master file or data base. (N1-075-09-001)

Disposition Instructions: TEMPORARY. Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

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.
GIS technology provides a tool for effective trust asset management and has been used since 1984. Sites, linear features and boundaries are represented by points, lines and polygons that have spatial coordinates, names and other descriptive attributes. The data is organized by category or layer (e.g. hydrography, transportation, reservation boundaries). Each layer of data represents the best available information. Most layers cover Indian lands in Alaska and the contiguous US. Data is updated as new information becomes available.

Files are generally stored by reservation in directories that are further organized by BIA region.

A. Source Records/Inputs

1. Source Records (Paper): Include map data from various map sources that is digitized, keyed, scanned and migrated into the system.

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 data is organized by category or layer (e.g. hydrography, transportation, reservation boundaries).

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. (N1-075-06-10)

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. 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. (N1-075-06-10)

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.
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. (N1-075-06-10)

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. Delete 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.
**2200-GET RESOURCES**

**Get Resources:** Used by OCIO personnel as an architecture review and IT expenditure tracking system. The creation of this system was based upon division E of Public Law 104-106, and OMB A-130 Circular tasking the CIO to advise Indian Affairs senior managers of the best and most efficient means of choosing and acquiring information technology. Get Resources collects and retains the information necessary to formulate that legally required advisory.

**A. Source Records/Inputs**

1. **Source Records (Paper):** The inputs to the system include: IT requisition information consisting of item, purpose and costs.

   **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. Subject to Multiple Record Freezes and/or Litigation holds.

**B. Master Data File**

The master data files contain information on IT requisition data such as purchaser, organization, purpose, information technology and resources used to procure system.

1. **Routine Procurement Files.** Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in items 1 and 12). Procurement or purchase organization copy, and related papers. (GRS 3/3a)

   a. Procurement or purchase organization copy, and related papers.

      (1) Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining “simplified acquisition threshold”).

      (a) Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding $2,000.

      **Disposition Instructions:** TEMPORARY. Destroy 6 years and 3 months after final payment.

      (b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below $2,000.
Disposition Instructions: **TEMPORARY.** Destroy 3 years after final payment.


(a) Transactions that utilize other than small purchase procedures and all construction contracts exceeding $2,000.

Disposition Instructions: **TEMPORARY.** Destroy 6 years and 3 months after final payment.

(b) Transactions that utilize small purchase procedures and all construction contracts under $2,000.

Disposition Instructions: **TEMPORARY.** Destroy 3 years after final payment.

2. Inventory Requisition File. Requisitions for supplies and equipment for current inventory.

a. Stockroom copy (GRS 3/8a)

Disposition Instructions: **TEMPORARY.** Destroy 2 years after completion or cancellation of requisition.

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. Routine Procurement Files. Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in items 1 and 12). Procurement or purchase organization copy, and related papers. (GRS 3/3a)

a. Procurement or purchase organization copy, and related papers.

(1) Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining “simplified acquisition threshold”).

(a) Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding $2,000.

Disposition Instructions: **TEMPORARY.** Destroy 6 years and 3 months after final payment.

(b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below $2,000.
Disposition Instructions: TEMPORARY. Destroy 3 years after final payment.


   (a) Transactions that utilize other than small purchase procedures and all construction contracts exceeding $2,000.

Disposition Instructions: TEMPORARY. Destroy 6 years and 3 months after final payment.

   (b) Transactions that utilize small purchase procedures and all construction contracts under $2,000.

Disposition Instructions: TEMPORARY. Destroy 3 years after final payment.

3. Inventory Requisition File. Requisitions for supplies and equipment for current inventory.

   a. Stockroom copy (GRS 3/8a)

Disposition Instructions: TEMPORARY. Destroy 2 years after completion or cancellation of requisition.

4. 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.

   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. Data Systems specifications, file specifications, code books, record layouts, user guides, output specifications, and final reports, regardless of medium, relating to a master file or data base. (GRS 20/11a)

Disposition Instructions: TEMPORARY. Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

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: 2200

Information Management and Information Technology Operations

**2200-GLADS**  
**Great Lakes Agency Database System (GLADS)**

The Great Lakes Agency Land Database, programmed using dBASE V, provides current and accurate information pertaining to land title and is used to account for all Land Consolidation Project transactions and collections. An inventory for a potential land sale can be recalled and printed on demand. Data is entered by realty staff, which includes probates, deeds to restricted Indian land for land consolidation as well as the acquisition and disposal sections. The database is capable of printing multiple reports when requested, including statistical information regarding tribal allotted, unallotted and fee interest.

The purpose of the system is to produce land inventories, summaries, deeds to restricted Indian land, exhibits “A’s”, and tract LCP transfers.

**A. Source Records/Inputs**

1. **Source Records (Paper):** The inputs are keyed into the system and include: probates, deeds to restricted Indian land for land consolidation, acquisition and disposal.

   **Disposition Instructions:** Apply disposition instructions approved for paper and microfilm records. (Reference Indian Affairs Records 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.  

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

**B. Master Data File**

The master data file contains land title information.

**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.  

**N1-075-06-3**
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 Records 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.  

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.
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. (N1-075-06-3)

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.
Identity Information System (IIS): The IIS is a central repository composed of three sub-systems that provide an automated tool for human resources to track data and action to fill a position and for security officers to track the security screening action for new hire. Systems users request access via IIS. IIS is also used to track a position announcement opening and closing, human resource activities, security officer’s activities, revoke system access privileges, training, office and location data on employees and contractors. Information maintained include contact information, employee personal identification, office of assignment, office location, badge information, supervisor name, training taken, and information system access requests. Each BIA government employee and contractor has a record in the IIS eProfile system.

A. Source Records/Inputs

1. Source Records (Paper): The inputs to the system include: Data derived from Human Resource, Security, management, and employee activities.

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. Subject to Multiple Record Freezes and/or Litigation holds.

B. Master Data File

The master data files contain information on position announcement, position closing, date hired, date terminated, receiving of security screen packages, package status, screening activities, system access request and responses including approval and disapproval, employee name, social security number, mother’s maiden name, types and dates of training, assigned office and location, badge information, supervisor, IIS system roles, system approval information and other security information collected.

Routine systems, i.e., those not covered by item 6a (Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records). (GRS 24/6b)

Disposition Instructions: TEMPORARY. (See GRS 20, item c) Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.
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. Routine systems, i.e., those not covered by item 6a (Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records). (GRS 24/6b)

Disposition Instructions: TEMPORARY. (See GRS 20, item c) Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.

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.

   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. Data Systems specifications, file specifications, code books, record layouts, user guides, output specifications, and final reports, regardless of medium, relating to a master file or data base. (GRS 20/11a)

Disposition Instructions: TEMPORARY. Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

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.
The function of InfoDat system is to keep track of the forest resources and the status of forest management inventory and planning (FMIP) projects and funding needs on all reservations. The InfoDat system is stored in a MS Access database with a Visual Basic Application front end for processing and reporting. The system also is used to maintain the reservation codes used in other forestry databases and to supplement other forestry projects, such as the Forestry Funding and Position analysis. The system is used and maintained at the Division of Forestry – Branch of Forest Resources Planning (BOFRP) and used by all regional forestry offices. The Database was developed in 1999 and is kept updated every September 30th. The regional forestry staff can keep their database current throughout the year if desired, but the Central Office database is updated only once a year. The database and associated documentation is archived each year at the end of the reporting cycle.

A. Source Records/Inputs

1. Source Records (Paper): The data inputs to this system are entered by regional forestry staff directly into the database via the InfoDat application. Updates are reported to the region via paper copies of previous year’s reports. Two electronic data entry forms exist for the entry of the forest acreage and planning status data. Another three electronic data forms exists for the maintenance of the reservation, agency and regional data. The national database updates are done through the transfer of regional data to the BOFRP office for processing. See attached users manual.

Disposition Instructions: Apply disposition instructions approved for paper and microfilm records. (Reference Indian Affairs Records 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 file is stored in a MS Access database and contains information on the forest acreage on each reservation, acreage available for timber harvest, current status of the eight segments of the forest management inventory and planning, funding needs for future FMIP projects from the special non-recurring FMIP funding, valid reservation codes. Records are stored by reservation code (see attached data structure diagram).

The data is stored in the following tables:

- Catalog of Forest Acres - keeps track of the acres by administrative categories;
- Status of Forest Management Inventories and Planning - Keeps track of the eight different segments of the FMIP process, along with basic timber harvest information;
Funding Needs by FMIP category - 10 year needs for each of the eight FMIP segments;
Reservation Info - Reservation codes, names and other forestry-related information; and
Agency and Region Info - Codes and names of the BIA agencies and regions.

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. (N1-075-05-3)

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 Records 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. (N1-075-05-3)

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.

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. (N1-075-05-3)

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.
2200-IDEAS-PD  Interior Department Electronic Acquisition System – Procurement Desktop (IDEAS-PD): The IDEAS-PD standardizes procurement activities.

A. Source Records/Inputs

1. Source Records (Paper): The inputs to the system include: Contracts, requisition, purchase orders, receipt, and statement of work.

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. Subject to Multiple Record Freezes and/or Litigation holds.

B. Master Data File. The master data files contain information on program offices, contract and vendor information.

1. Routine Procurement Files. Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in items 1 and 12). Procurement or purchase organization copy, and related papers. (GRS 3/3a)

   a. Procurement or purchase organization copy, and related papers.

      (1) Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining “simplified acquisition threshold”).

         (a) Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding $2,000.

         Disposition Instructions: TEMPORARY. Destroy 6 years and 3 months after final payment.

         (b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below $2,000.

         Disposition Instructions: TEMPORARY. Destroy 3 years after final payment.


            (a) Transactions that utilize other than small purchase procedures and all construction contracts exceeding $2,000.

            Disposition Instructions: TEMPORARY. Destroy 6 years and 3 months after final payment.
(b) Transactions that utilize small purchase procedures and all construction contracts under $2,000.
Disposition Instructions: TEMPORARY. Destroy 3 years after final payment.

2. Data submitted to the Federal Procurement Data System (FPDS). Electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS. (GRS 3/3d)
Disposition Instructions: TEMPORARY. Destroy or delete when 5 years old.

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. Routine Procurement Files. Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in items 1 and 12). Procurement or purchase organization copy, and related papers. (GRS 3/3a)
   a. Procurement or purchase organization copy, and related papers.
      (1) Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining “simplified acquisition threshold”).
         (a) Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding $2,000.
Disposition Instructions: TEMPORARY. Destroy 6 years and 3 months after final payment.
         (b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below $2,000.
Disposition Instructions: TEMPORARY. Destroy 3 years after final payment.
         (a) Transactions that utilize other than small purchase procedures and all construction contracts exceeding $2,000.
Disposition Instructions: TEMPORARY. Destroy 6 years and 3 months after final payment.
(b) Transactions that utilize small purchase procedures and all construction contracts under $2,000.

Disposition Instructions: TEMPORARY. Destroy 3 years after final payment.

3. Data submitted to the Federal Procurement Data System (FPDS). Electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS. (GRS 3/3d)

Disposition Instructions: TEMPORARY. Destroy or delete when 5 years old.

4. 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.

   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. Data Systems specifications, file specifications, code books, record layouts, user guides, output specifications, and final reports, regardless of medium, relating to a master file or data base. (GRS 20/11a)

   Disposition Instructions: TEMPORARY. Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

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.
National Indian Oil and Gas Evaluation and Management System (NIOGEMS): The NIOGEMS is designed under Tribal self-determination guidelines to assist Indian resource managers locate and display production, lease information, and well data in map form. The system contains commercially available production/well information and production data.

A. Source Records/Inputs

1. Source Records (Paper): The inputs to the system include: spatial data, leases, agreements, maps and commercial data. Textual data is entered using Oracle's SQL Loader utility. Spatial data files copied to NIOGEMS folders from commercial and government sources. The user is also given edit capabilities to manually key-in certain data.

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. Subject to Multiple Record Freezes and/or Litigation holds.

B. Master Data File

The master data files contain well location and drilling information; well production data; lease and agreement information; reservation boundary and public land survey (PLS) information; surface and subsurface ownership information (this contains only type; fee; tribal, allotted, etc. and does not include personal information); survey data, and other spatial data as available such as seismic line location; geology—surface, subsurface, structural maps; location of industrial minerals such as gypsum, bentonite, sand and gravel.

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. (N1-075-07-016)
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 cannot be easily separated and filed in case specific files. (N1-075-07-016)

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 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.
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. Data Systems specifications, file specifications, code books, record layouts, user guides, output specifications, and final reports, regardless of medium, relating to a master file or data base. (N1-075-07-016)

Disposition Instructions: TEMPORARY. Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

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.
**Quarters Management Information System (QMIS)**. QMIS is used to calculate housing rental rates on a yearly basis.

A. **Source Records/Inputs**

1. **Source Records (Paper)**: The inputs to the system include: survey, housing unit inventory, Base Rent Computation Schedule.

   **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. Subject to Multiple Record Freezes and/or Litigation holds.

B. **Master Data File**

The master data files contain information including: rental rates, unit, the size, age, number of bedrooms, bathrooms, condition, appliances, and other items to determine rental rate.

Housing Management Files. Reports pertaining to housing management, including expenditure, survey, collection, and other statistical and narrative data. *(GRS 15/3)*.

   **Disposition Instructions**: TEMPORARY. Destroy when 2 years old.

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. Housing Management Files. Reports pertaining to housing management, including expenditure, survey, collection, and other statistical and narrative data. (GRS 15/3).

Disposition Instructions: TEMPORARY. Destroy when 2 years old.

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.

   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. Data Systems specifications, file specifications, code books, record layouts, user guides, output specifications, and final reports, regardless of medium, relating to a master file or data base. (GRS 20/11a)

Disposition Instructions: TEMPORARY. Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

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.
2200-RDRS Royalty Distribution and Reporting System

The Royalty Distribution and Reporting System (RDRS) was designed in the mid 1970s as the main system that reports and distributes monies from oil and gas revenues collected by the Minerals Management System (MMS). Mineral Management Service (MMS) office is responsible for collecting and processing royalties for mineral production for both individual Indians and Tribal leases. The system also tracks tribal and individual landowners, and oil and gas leases including billing, lease rental distribution, and compiling data for annual reports related to oil and gas producing lease activities. The data spans from 1985 to the present. The system consists of several modules including Distribution and Reporting, Leasing (subsurface) and RDRS Owner (subsurface). The Trust Reform Act of 1994 further supported the management of trust assets, and to create and maintain a verifiable system of records that documents the management of trust assets.

RDRS resides on a Unisys NX Server and operates Unisys mainframe base applications. The software application that is used is in-house programs using Cobol 74, in addition to Unisys system support and utility software that is proprietary to Unisys. Tape cartridges are used for backup and offsite storage.

1. RDRS – Payment Module: The function of the Royalty Distribution and Reporting System (RDRS), an ISAM (indexed sequential access method) file format, is to calculate and distribute payments, and report information with respect to mineral processing for tracts of Indian land that have producing subsurface leases. These activities include interfacing with data provided by the Minerals Management System (MMS), processing statements and checks, creating check registers and verification reports, producing mailing labels, and creating distribution reports for the Office of Trust Funds Management (OTFM) and the Bureau of Indian Affairs (BIA). Seven BIA regions including Southern Plains Regional Office, Southwest Regional Office, Western Regional Office, Navajo Regional Office, Eastern Oklahoma Regional Office, and Great Plains Regional Office use this database.

A. Source Records/Inputs

1. Source Records (Paper): The inputs of the Royalty Distribution and Reporting System (RDRS) Payment module consist of faxes from BIA Regional offices for purposes of verification and requests for distributions of royalty income.

Disposition Instructions: Apply disposition instructions approved for paper and microfilm records. (Reference Indian Affairs Records Schedule record series 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 individual ID number and corresponding address, third party name and address, processed date, debit or credit amount, JV number, payment amount, agency code, check number, interest and principal amounts, and management code. The primary key unit of analysis is the individual ID number.

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. (N1-075-03-3)


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 Schedule record series 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. (N1-075-03-3)

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.

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. (N1-075-03-5)

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.
2. RDRS – Lease\Owner Module: The function of the Royalty Distribution and Reporting System (RDRS), Lease\Owner module, an ISAM (indexed sequential access method) file format, is to capture producing subsurface leasing activities. These activities include advertising oil and gas leases, processing application for oil and gas research and drilling; tracking expired leases, renewing leases, initiating new leases; approving, modifying, amending, and canceling leases; removal of tracts from leasing activities (land withdrawal), and tracking tract acreage and payment information (money collection from lessees and distribution of money to landowners). Six BIA regions including Southwest Regional Office, Western Regional Office, Navajo Regional Office, Eastern Oklahoma Regional Office, and Great Plains Regional Office use this module. The seventh BIA region, Southern Plains Regional Office, uses Royalty Distribution and Reporting System (RDRS) for royalty payment processing but does not use it for the Lease\Owner module.

A. Source Records/Inputs

1. **Source Records (Paper):** The inputs of the Royalty Distribution and Reporting System (RDRS) Lease\Owner module include land tract information; leases (renewal, approval, modifying, amending, cancellation/expiration, compliance and complaints, royalty and rental rates, and landowner stipulations); mineral permits; drilling permit; land management plans and appraisals; bonds; land owner consent; lease advertisements; payment documentation; names and addresses of current lessees; and interest factor (interest calculation used to determine monies owed to land owners). Collection and payment documents and data, such as bills for collection, money orders from lessees, and journal vouchers, are acquired from such sources as the lessees through BIA offices and financial distribution report from Minerals Management System (MMS). Supporting documentation includes: Indian mineral development agreements (e.g., tribal resolution information, mineral exploration agreements that are approved by the Bureau of Indian Affairs, and related information required by the Indian Mineral Development Act of 1982); Communitization/Unitization agreements (agreements to consolidate multiple tracts into a unit); Environmental Impact Statements in accordance with the National Environmental Protection Act; Archaeological Studies in accordance with National Historic Preservation Act; farm management plans relating to crops and livestock for which the leased land will be utilized. For oil and gas exploration and drilling, some of the input information includes corporate articles of incorporation, articles to do business in the state, corporate qualifications, and bonds approved by a surety. Other inputs of the Royalty Distribution and Reporting System (RDRS) Lease\Owner module are tract and owner of land information from such sources as reports from the Land Record Information System (LRIS) Title Status Report (TSR).

   **Disposition Instructions:** Apply disposition instructions approved for paper and microfilm records. (Reference Indian Affairs Records Schedule record series 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 file contains information on leases that have been identified by lease number, reservation code, allotment number, acres, communitization/unitization, rate, section, township, and range. The primary key unit of analysis is the lease number.

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. (N1-075-03-3)


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 Schedule record series 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 cannot be easily separated and filed in case specific files. (N1-075-03-3)

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.

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. (N1-075-03-5)

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.
2200-SGDB  **Self-Governance Management Database (SGDB).** The SGDB is a financial management system for tribal compact funding data for federal and tribal users. SGDB enables the Office of Self-Governance to achieve budget execution, accounting, federal and customer reporting, and contracting duties. SGDB manages and maintains tribal compact financial data providing users with the ability to report on the status of funds negotiated under the Annual Funding Agreements (AFA). It also generates funds awards (Authority to Obligate), which are the source documents used for obligation input into the BIA accounting system, the Federal Financial System.

**A. Source Records/Inputs**

1. Source Records (Paper): The inputs to the system include: Contact name and address, email address and phone numbers; Area, Agency, and State IDs, organization and project data; codes and names; project information; company name and address, tax percentage and shipping information; compact funding information; program data; obligation amounts; base changes and adjustments and ATO and AFA data.

**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. Subject to Multiple Record Freezes and/or Litigation holds.

**B. Master Data File**

The master data files contain information including contact data; company data; funding data; class data; compact data; account data; cost code and allocation data; obligation data; ATO and AFA data; user organization data; and project data. Data maintained within the system includes data from 1997 to present.

**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. (N1-075-09-05)
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 cannot be easily separated and filed in case specific files. (N1-075-09-05)

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 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.
d. Records create and retain 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. Data Systems specifications, file specifications, code books, record layouts, user guides, output specifications, and final reports, regardless of medium, relating to a master file or data base.  (N1-075-09-05)

Disposition Instructions: TEMPORARY. Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

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.
Integrated Transportation Information Management Systems (ITIMS)

The Bureau of Indian Affairs (BIA) Division of Transportation (BIA/DOT) jointly administers the Indian Reservation Roads (IRR) and the Indian Reservation Roads Bridge (IRRBP) programs with the Federal Highway Administrations' (FHWA) Federal Lands Highway Office (FLHO). The BIA IRR program employs more than 1,000 people and is responsible for 50,000 + miles of roads, and 805 + bridges. The BIA/DOT uses a specific set of software tools and manual processes to provide oversight and management of the IRR programs. These processes are used to manage road construction, road maintenance, contracting, inventories of assets, project planning, and fund allocation and tracking. All these processes are linked together within a logical flow of work and defined business processes specific to the IRR programs.

Currently the BIA/DOT owns a Management System known as Integrated Transportation Information and Management Systems (ITIMS). The ITIAMS system is modular and relational. The system is currently under development with some of the modules in place and in production, while other modules are in various states of development. The BIA/DOT is also responsible for management of its General Support Systems.

- Improve communications with the tribes, tribal governments and regions.
- Make available to customers all the data used to make decisions and manage the IRR program.
- Improve support, technical assistance and overall data management with the Tribes and Regions.
- Improve communications with Congress, Bureaus, Offices and Departments to justify budgets, document accomplishments, and justify the need for both maintenance and construction funds.
- Establish standardized and consistent processes to be used by all customers to manage and oversee the IRR program.
- Improve and establish data quality and integrity among the various data systems that support the IRR program.
- To enforce the business rules established by the laws and policies governing the IRR program.
- To provide a secure environment for the ITIMS system as defined by the CIO's office and the industries best security practices.
- To manage a completed ITIMS including support, software updates, documentation, and changes in requirements due to policy and or changes in the law governing the IRR program.

The system was designed and is capable of agency wide implementation. ITIMS system is being operated on a standalone system located in Albuquerque.

A. Source Records/Inputs

1. Source Records (Paper): Inputs to the system are specific to: roads and bridges, their routes, their size, conditions, region-agency-reservation codes, legal description data, county locations, congressional districts, state codes, owners, constructions needs, surface status/conditions and terrain data, surface rating factors, funding categories, CTC percentages, incidental costs, traffic information, safety statistics, design standards,
construction costs, railway and right of way information, latitude/longitude and Atlas map numbers, maintenance levels, snow and ice controls, deficiencies, road purpose data and Adequate Standard Characteristics data.

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 information including bridge inventory, road inventory, directory of regions/agencies/reservations, a control schedule, safety management, congestion management and pavement management.

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. (N1-075-07-1)

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. 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. (N1-075-07-1)
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.

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.  (N1-075-07-1)

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.
The Keyfile system is a document imaging system. The application contains the database that allows the indexing, storing, and retrieving of electronic images of lease files. The images are stored on optical disk utilizing Write Once Read Many (WORM) technology in a Hewlett Packard 120T Jukebox.

The content of the system is the electronic images of lease file folders. The images are used to provide copies to applicable parties. Since the images can be printed on a laser printer, this decreases the amount of time it takes to Xerox the files repeatedly. We provide copies of leases on a daily basis to Indian beneficiaries, real estate brokers, developers, lawyers, etc. The release of this information is necessary to ensure timely processing of lease related matters. The subjects of the information are Indian allottee landowners and their subject property that has been leased. The time span for the records is 1955 to 1995. The geographic area the records pertain to is the Agua Caliente Indian Reservation, Palm Springs, California. The update cycle of this system is to scan additional documents/correspondence that must be maintained in the physical file. Since the technology used is WORM technology, the additional documents that are scanned are just added to the file room. It is basically an electronic file room. The images contained in the system are exact copies of the original physical file and cannot be written over or changed. The images are acceptable in court as original documents.

A. Source Records/Inputs

1. Source Records (Paper): The inputs are scanned images and include lease files.

Disposition Instructions: Apply disposition instructions approved for paper and microfilm records. (Reference Indian Affairs Records 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 file contains a database that allows the indexing, storing, and retrieving of electronic images of lease.

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. (N1-075-06-4)
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 Records 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. (N1-075-06-4)

   **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. DeleteDestroy 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. DeleteDestroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.
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.  (N1-075-06-4)

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.
Land Records Information System

System Description: The Land Records Information System (LRIS), which functions as a centralized database, was designed in the early 1970s as the primary system that maintains the legal description of land held in trust for Tribes and Individual Indian owners. The data spans from 1973 to the present. LRIS is the system used to support the Federal responsibility to record, provide custody, and maintain records and information that affect titles to Indian lands, provide information to examine titles, and provide title status reports. LRIS maintains and reports information on land status, such as encumbrances, and legal ownership in accordance with Probate documents. LRIS also provides Bureau of Indian Affairs (BIA) Title Plants and Agency Realty Officers with instant access to current status information. LRIS is used bureau-wide with the exception of the Alaska Regional Office, the Eastern Oklahoma Regional Office, and the Eastern Regional Office.

LRIS resides on an IBM platform in Denver, Colorado and supported by the BIA OIRM Office in Reston, Virginia. LRIS was developed using software AG products as the front end for data entry and SAS products for storing current and historical records in a system 2000 database.

A. Source Records/Inputs

1. Source Records (Paper): There are two categories of input source documents to LRIS: Title and Non-Title Documents. Title documents are documents that affect title to or encumbers Tribal and Individual Allotted lands, and that are required to be recorded by regulation and bureau policy.


Probate Modifications that adds lands, deletes land, redetermines Heirs, corrects Interest, corrects Land Description, corrects Name, corrects Person, and Probate Defect Sheets. Rights of Way: Railroad; Telephone-Telegraph; Pipelines, Water and Canals; Roads, Highways, and Condemnations; Pipelines – Oil and Gas; Electric and Power; and Flowage. Leases: Assignment – Tribal Lands; Business; Homesite; Subsurface; Timber; and Cancellation. Acts of Congress: Irrigation Unit.

Disposition Instructions: Apply disposition instructions approved for paper and microfilm records. (Reference Indian Affairs Records 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 legal description by tract, then section, township, range and meridian. Document types with documents are encoded into LRIS by using a reservation code, document number (which is the number assigned to a document during recordation) document type and document modification. Ownership data is identified by either Tribal or Allotted land. Grantor/Grantee identifies whether the grantor and grantee are either Indian or Non-Indian and the relationship between the Grantor/Grantee. The primary key unit of analysis is the tract number.

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. (N1-075-03-5)


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. Reports generated from LRIS include: Title Status Reports; individual and Tribal Interest Tract File (188’s); Land Index File (125’s); Tract activity reports; Special Interest reports; Owner Document reports, Land History and Tract History reports, and related records.

Disposition Instructions: Apply disposition instructions approved for paper and microfilm records. (Reference Indian Affairs Records 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. (N1-075-03-5)
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.

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. (N1-075-03-5)

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: 2200

Information Management and Information Technology Operations

2200-LTM

**Land Title Mapper (LTM)** contains information from 1997 through the present. The system stores geographic databases and provides a simple interface for producing standardized trust land status maps of Indian Country.

The data contains trust parcel boundaries, represented as polygons that have spatial coordinates, identifiers and other associated attribute data. The parcels are organized by reservation, and the parcels for a reservation are further organized in by region. Authorized users can request five varieties of maps for specified reservations.

The original database creation took place in 1997-1999 for four regions. Database creation and updates are currently taking place. Once all databases have been created, the update cycle might get down to 1-3 months.

Files are generally stored by reservation in directories that are further organized by BIA region.

**A. Source Records/Inputs**

1. Source Records (Paper): The inputs to the system include: background geographic data gathered from various map source and parcel information produced from LRIS database downloads.

   **Disposition Instructions:** Apply disposition instructions approved for paper and microfilm records. (Reference Indian Affairs Records 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. Subject to Multiple Record Freezes and/or Litigation holds.

**B. Master Data File**

The master data file contains attribute fields for all geographic data layers. These data layers are organized by reservation and have metadata which describe the attributes and the spatial data, the source, date, geographic projection, methods of creation, and applicable data standards.

**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. (N1-075-06-5)
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 Records 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. (N1-075-06-5)

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.

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. (N1-075-06-5)

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.
The function of the Management Accounting and Distribution System (MAD), a dbase IV file format, is to capture leasing activity information. These activities include the management of lease contracts (90 Day Notices and creation of new contracts), billing of lease rentals, posting of accounts receivable, posting collections, post payment to payment ledger, calculates owner payment.

MAD was developed to allow Regional and Agency Realty Officers better control and access to their data. MAD replaces the NX (A-17), Integrated Records Management System, for the Great Plains Regions, only. MAD is compatible with the NX IRMS so that the data can be up-loaded for pay-out purposes, through Integrated Records Management System, Lease Distribute System.

The Lease module contains data from 1993 to present and includes the following information: lease and range ownership data, probate, real estate inventories, ownership interests, lessees, leases, collection schedules, bank deposits, accounts receivables, owner trust accounts real estate bills, payment and distribution, late payments, utility programs, and land owner information.

A. Source Records/Inputs

1. Source Records (Paper): The inputs to MAD system include: land tract and ownership information; leases (renewal, approval, modifying, amending, cancellation/expiration, compliance and complaints, royalty and rental rates, and landowner stipulations); permits; land management plans and appraisals; bonds; consent of land owners; lease advertisements; payment documentation; names and addresses of current lessees; and interest factor (interest calculation used to determine monies owed to land owners). Collection and payment documents and data, such as bills for collection, money orders from lessees, and journal vouchers, are acquired from such sources as the lessees through BIA offices. Other inputs of consist of tract and owner of land information from such sources as Title Status Reports (TSR) from the Land Record Information System (LRIS).

Disposition Instructions: Apply disposition instructions approved for paper and microfilm records. (Reference Indian Affairs Records 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 information on leases identified by tract (legal description – section, township, range and tract identification number) and ownership, rental rates, dates, leaser and lessee information, addresses, and land types (tribal lands, individual Indian land allotments). The Lease Master data
file is used to identify and adjust leases; and to issue, modify, and cancel leases for agricultural and range activities. Collection and payment data elements include debits from permittees accounts, credits of landowners’ accounts, tract share and rental information, and money apportionment. Additional information includes land tract division upon death of landowner or sale of land. The primary key unit of analysis is the lease number for leases and schedule date for payment data.

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. (N1-075-06-6)

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 Records 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. (N1-075-06-6)

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.

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. (N1-075-06-6)

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.
National Irrigation Information Management System (NIIMS) is written in NATURAL programming language using the software A/G ADABAS for storage. The NIIMS application provides standardization of irrigation billings and collection processing procedures. Use of the system by the Irrigation Projects provides accurate billing and accounting for customers and the Bureau of Indian Affairs (BIA). The NIIMS application operates on the Z800 computer at the National Business Center (NBC) in Lakewood, Colorado.

The BIA has trust responsibility for over one million acres of irrigable land, with gross income of more than 200 million dollars. These lands are supervised by six Regional Offices. At each Regional Office, there is an Irrigation Project which currently maintains their billing and collection records in individual formats. Recent audits of the Irrigation Projects have identified a need to standardize and automate the billing and collection procedures.

NIIMS is an application that supports billing and collection for the Bureau of Indian Affairs’ irrigation projects which have costs that are reimbursable to the federal government. The application is limited to BIA Irrigation personnel and management.

The system contains data from 1960 to present and contains the land and owner/operator information, irrigation account information such as bills/receipts, collections and payments received.

A. Source Records/Inputs

1. Source Records (Paper):

The inputs to the system include land ownership, leases and documents related to land transactions.

The database files contain information on irrigation bills, ownership, project, financial information from collections.

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 file structure contains all ADABAS database files, data sets, and file layouts that allow the indexing, storing and retrieving of irrigation data. There are multiple master files within the NIIMS and currently 48 database files that comprised NIIMS.

**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. *(N1-075-07-4)*

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. 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. *(N1-075-07-4)*

**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.

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. (N1-075-07-4)

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.
Native American Student Information System: NASIS is a web based school and student information tracking system that captures student demographics, attendance, grades, tribal identification, medical and health information, and other information. Data may be input directly or uploaded as a PDF scanned image (generally for health information). The goal is for NASIS to serve as a student data management system used to improve student achievement and determine the number of eligible Indian School Equalization Program (ISEP) students for the equitable distribution of Congressional appropriated funds to meet their identifiable instructional and/or residential program needs. Through this system, BIE gathers the data necessary for required reporting under the No Child Left Behind Act of 2002 (NCLBA) and the Individuals with Disabilities Education Act (IDEA) as well as other funding programs. As a centralized system for supporting teachers, other school staff, students, parents, and Central Office staff, NASIS contains the source data that provides the statistical reports for the various funding programs and analytical reports required by Federal and State agencies.

There is a District Edition and State Edition software application that users set up locally or regionally as applicable for NASIS access via the web. Each BIE school, about 183 schools, has their own NASIS site (District Edition) database. Data entered on each district edition is stored in a corresponding database containing separate tables linked via primary and foreign keys. A subset of the District Edition data is synchronized to a centralized database (State Edition) for BIE reporting purposes. All of the NASIS District Editions and the State Editions databases are housed on the same database server in Albuquerque. Uploaded PDFs, such as Special Ed and Health Documents, are stored in separate folders on an application server, one for each district edition. NASIS contains data from the legacy systems Web-ISEP and School Statistics Initiative (SSI). This set of disposition authorities are functional and will apply to a superseding electronic system if function and record content generally remains the same.

a. Input Files.

Inputs into NASIS may include student demographics, tribal identification, medical, and health information.

Textual Input Files: Apply disposition instructions approved for paper and microfilm records identified in the 5400 and 5500 Education Records Schedules.

Scanned Input Files: For inputs scanned into NASIS, apply disposition identified in items 2 and 3 of this schedule.
b. **District Edition Level Database.**

NASIS/DE is a fully featured Student Information System which is used by public school districts across the country to manage student enrollments, attendance, behavior, grades, transcripts, census, parent portal, Special Ed IEPs, and many more functional areas of a student’s career between pre-school and their graduation. Contains electronic data filed to the following paper record series 5401 Student Cumulative Files, 5409 Indian School Equalization Program (ISEP), 5410 Student Attendance Files, 5411 Student Enrollment/Attendance Report Files, 5413 Education and Statistics Report Files, 5418 Exceptional Child Case Files, 5419 Individual Education Program (IEP) Service Plan Files, 5426 Student Enrollment Files, 5427 Residential Logs Files, 5428 Residential Document Files, 5430 Student Health Files, and other files. Each school district creates and maintains its own insular database housed on BIE server in Albuquerque. There are approximately 183 schools and each school database serves as an index for the corresponding paper record series in its school.

1. **District Edition Level Master Data Files.**

   **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, as specified in NARA standards applicable at the time of transfer.

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

2. **NASIS/DE Archival Standard Scanned Images and Documents.**

   Uploaded PDFs, such as Special Ed and Health Documents and corresponding metadata are stored in separate folders on an application server, one for each district edition. Each school using the system may not be scanning the documents at archival standard resolution (300-600 dpi) levels that ensure permanent preservation. The documents are captured for permanent retention in the corresponding paper student files.

   **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
3. **NASIS/DE Non-Archival Standard Scanned Images and Documents.**

Uploaded PDFs, such as Special Ed and Health Documents, and corresponding metadata are stored in separate folders on an applicable server, one for each district edition. Each school using the system may not be scanning the documents at archival standard resolution (300 dpi) levels that ensure permanent preservation. The documents are captured for permanent retention in the related paper student files.

**Disposition Instructions:** TEMPORARY. Cutoff at end of school year in which the student completes or terminates his/her school career. Retain student data a minimum of 5 years and destroy /delete when no longer needed for reference, whichever is later.

Data restricted in accordance with Privacy Act Notice as required.

c. **State Edition Level Database Master Data Files.**

The NASIS/SE application captures data elements required by legislation for funding of Bureau Funded Schools. A number of programs such as ISEP as well as Special Education, Free and Reduced, Title I, and other programs mandated by the US Department of Education (DOEd) are tracked. A subset of each school’s (District Edition) data is synchronized at the State Edition level in an insular database that feeds the data to BIE for reporting purposes. There are about 183 schools operated on 64 reservations in 23 states.

**Disposition Instructions:** PERMANENT. Create duplicate copy off-line and 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, as specified in NARA standards applicable at the time of transfer.
d. **NASIS Master Data Files.**

NASIS is a data warehouse that contains all data input via the NASIS/STATE through to the BIE Electronic Line Officers (ELO) to certify accuracy. This system contains demographic and statistical data as well as personal student identifiers. Also contains the data subject to analysis for report outputs (paper and electronic). Tracking trends needed for DOEd School System, and the particulars for the BIE school system reporting.

**Disposition Instructions:** PERMANENT. Create duplicate copy 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, as specified in NARA standards applicable at the time of transfer.

e. **System Generated Documents/Outputs.**

System Generated Documents Organized by Program, Regional, Agency or Field Office' 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 cannot be easily separated and filed in case specific files. Subject files filed by system report name, Program, Region, Agency or Field Office, job run date and fiscal year.

**Disposition Instructions:** PERMANENT. Cutoff at end of fiscal year. Transfer paper records to the records center and electronic records to the National Archives 2 years after cutoff or when no longer needed for current business operations, whichever is less. Subsequent legal transfer of the records will be as jointly agreed to between DOI and NARA, as specified in NARA standards applicable the time of transfer.

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

   Contents: Records include system data specifications, file specifications, code books, record layouts; user guides and manuals; output specifications, and final reports relating to the Native American Student Information System.

   **Disposition Instructions:** **PERMANENT.** Transfer to the National Archives with the permanent electronic records to which the documentation relates. [Disposition Authority GRS 20/11a(2)].

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**Additional Information for:** Native American Student Information System (NASIS)

**Superseded Records and Authorities:** None – new unscheduled electronic system.

**Related Records:**

<table>
<thead>
<tr>
<th>BIA Series/System Number</th>
<th>Description</th>
<th>Permanent Notes</th>
<th>NARA Job Numbers</th>
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<td>IARS 5401</td>
<td>Student Cumulative Case Files, Permanent.</td>
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<td>N1-75-05-5/Item 5401</td>
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<td>5409</td>
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<td></td>
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<tr>
<td>5410</td>
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<td>5411</td>
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<td></td>
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<td>5413</td>
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<td>5418</td>
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<td>5419</td>
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<td></td>
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<td>5420</td>
<td>Intensive Residential Log Files, Permanent.</td>
<td></td>
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<td>5426</td>
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<tr>
<td>5427</td>
<td>Residential Log Files, Permanent.</td>
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<td>5428</td>
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<tr>
<td>5430</td>
<td>Student Health Files, Permanent.</td>
<td></td>
<td>N1-75-05-5/Item 5430</td>
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</table>
Supplementary System Description:


Program: Office of Indian Education

Function: Student Data Management

Location: Albuquerque, New Mexico

Point of Contact:

- Kevin Moore, Business Owner, Acting Director OIEP, Washington, D.C. - (202) 208-6123
- Thomas Dowd, Director BIE, Washington, D.C. - (202) 208-6123
- Denise Salyers, NASIS Implementation Specialist, Washington, D.C. – (202) 208-4781
Operations Inventory (OPINV): manages records of forest stands containing descriptive information, history, and project planning; and records of timber sales and forest permits containing descriptive information, buyers, volumes, values, collections, and sale administration inspections from 1986 to present.

OPINV consists of two databases and a number of shared tables within Microsoft’s Access Database Manager. The software is used only within the Bureau’s Midwest Region, however the Region makes the software available to all Bureau and tribal entities involved in forest management, but it is not mandatory.

A. Source Records/Inputs

1. Source Records (Paper): The inputs to the system include: logger information, forest products, forest stand descriptions that include: location, acres, ownership, cover type, accessibility, etc. Document and reports that identify insect and disease; tree species, product and volume, stand planning, fire information and stand activity history; truck tickets and accounting documents.

Disposition Instructions: Apply disposition instructions approved for paper and microfilm records. (Reference Indian Affairs Records 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 file consists of shared tables used by OPINV and Timber Sale Reporting and Accounting (TSR) databases. Tables include: code tables, logger information, forest products, and product unit conversions. OPINV is a series of tables linked by a unique forest stand number. The main table consists of data describing the forest stand such as location, acres, ownership, cover type, accessibility, operability, etc. Other tables include data on insect and disease; tree species, product and volume, site index measurements, stand planning, fire information, and stand activity history. TSR is a series of tables linked by a unique timber sale contract or permit number. The main table describes the timber sale contract or permit and the species, projects, and values to be harvested from the sale area. Other tables include all the products removed from the sale area. The sale area removed from the sale area. Other tables include all the products removed from the sale area and all the receipts received from the purchaser of the sale.

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. (N1-075-07-13)
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 Records 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. (N1-075-07-13)

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.
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. (N1-075-07-13)

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.
The Osage Annuity Payment system, which functions as a distributed database, was programmed in 1997 as the main system that is used to pay annuitants their interest amounts based upon head-right share on Indian land for services rendered such as oil and gas production, sand and gravel, lease bonus amounts, lease rentals, and gross production; to make lake-fund payments - distribution for loss of use of land flooded; to make third party payments to collection companies; and to report interest income to the IRS. The Osage Annuity Payment module shares annuitant information with the Lake-Funds, 1099-IRS modules and Realty, Land systems. Need to also go to Minerals for land drags on reservation land.

The Osage Annuity Payment data resides on an NT Server and operates under a Windows environment. The software application consists of in-house programs using Visual Basic and Microsoft Access. Backups are created through the NT Server.

Item 1: Osage Annuity Payment Module - The function of the Osage Annuity Payment module, a Microsoft Access database format, is to capture the Osage allotment annuitant information, maintain and report payment information for annuitants on Indian land. Only the Osage Agency uses this module.

Item 2: Lake-Funds Module - The function of the Lake-Funds module, a Microsoft Access database format, is to capture information on annuitants that are recipients for lands lost as a result of flooding of Indian lands. The database implementation is limited to the Osage Agency annuitants that have inherited lake-fund allotments. The Lake Fund System imports the information from the Annuity System for deaths and address changes.

Item 3: 1099-IRS Module - The function of the 1099 IRS-Module, a Microsoft Access database format, is to capture information on annuitants for reporting to tax information to the annuitants and to the Internal Revenue Service (IRS).

A. Source Records/Inputs

1. Source Records (Paper):

The inputs to the Osage Annuity Payment Module consists of the ownership of head-right shares updating as required of probates, gdn’s Rev. CC’s, addresses, annuitant information, probates, change of name or address, and third party payment information forms.

The inputs of the Lake-Funds Module include documents used to verify allotment inheritance such as probate, terminations and distributions of estates. Other inputs include collection and payment documents such as journal vouchers.

The inputs of the 1099-IRS Module consist of the interest factor amount for oil and gas, sand and gravel, lease bonus, lease rental, interest income, gross production and miscellaneous expenses from the Osage Agency used to calculate reportable interest amounts to the annuitants and the Internal Revenue Service (IRS).
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 Files**

The master data file for the **Osage Annuity Payment Module** contains information on annuitants, including name and social security number, rev. date, miscellaneous interest, estate history, addresses, date of birth, date of death, quarterly payment amounts, head-right share *used to calculate payment amount), type of account (life estate), and Indian status (Indian/Non-Indian/Osage). The primary key unit of analysis is the annuitant number.

The master data file for the **Lake-Funds Module** contains information including annuitant name and address, billing address (retrieved by the Osage database), and lake-fund payment amounts. The primary key unit of analysis is the annuitant number.

The master data file for the **1099-IRS Module** contains information including annuitant name and address, 1099 interest amounts and 1099 miscellaneous amounts. The primary key unit of analysis is the annuitant number.

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- 03-6)

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. 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 cannot be easily separated and filed in case specific files. (N1-075-03-6)

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.

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. (N1-075-03-6)

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.
**PC Lease (PCLease) System:** is a lease management system used by the Palms Springs Area Field Office. The system, a SQL Server database, is used to manage and track Indian land leases and compliance activities (i.e., lease payment due, insurance, bonding, and development clauses) that pertain to the Agua Caliente Indian Reservation, Palm Springs, California. The subjects of the information are Indian landowners and their subject property that have been leased in the geographic area. The time span for the records is 1998 to present.

**A. Source Records/Inputs**

1. **Source Records (Paper):** Information about a specific lease is keyed into the PCLease system from paper records, such as lease documents, insurance, lessee name and address, development clauses, cost of living adjustments and bonding documents.

   **Disposition Instructions:** Apply disposition instructions approved for paper and microfilm records. (Reference Indian Affairs Records 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 file contains lease terms, payment terms, insurance, lessee name and address, bonding, development classes, and cost of living adjustments. The primary key/unit would be the lease number.

**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. (N1-075-07-3)

**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 Records 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. (N1-075-07-3)

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.

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.  \(\text{(N1-075-07-3)}\)

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. \(\text{(GRS-20/11b)}\)

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. \(\text{(GRS-20/8a)}\)

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.
San Carlos Irrigation Project Continental Billing System (CBS)

The purpose of the system is to collect detailed customer data regarding the usage of and payment for electrical power as provided by the project to its customers.

The contents of the system are detailed customer records showing electrical usage, charges, billing history, locations of service, billing addresses, payments, social security numbers or other identification data. The records are sorted by account numbers, names, dates, service locations and revenue classifications. Data on customers dates from approximately January 1991.

Customer data is maintained for: customers’ prior billing history for determining whether services will be provided, and determining if a deposit is required. Customer data is also maintained for customer accounts where customers no longer use services and abandon security deposits. These accounts are maintained with the goal of returning those security deposits. Finally, permission granted from the Secretary of the Interior allows for maintaining data on uncollectible accounts, either through the age of the account or other circumstances (death). Data is appended, not overwritten.

The database is in a FoxPro format in Windows NT. IBM Netfinity 5500 is the hardware for the system (two servers – one dial-in and one main server).

A. Source Records/Inputs

1. Source Records (Paper): Data from Itron handheld devices used by meter readers and uploaded via interface files, payment detail input by tellers and accounting technicians to record customer payments received, and data input by billing clerks and accounting technicians to correct or adjust erroneous data.

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 contains the following information including customer names, addresses, meter reading dates, billing dates, payment dates, kilowatt hours used, dollar amounts billed and paid, customer account balances, social security numbers and other identification data, service locations, service ID numbers, meter numbers, revenue classifications, demand recorded, route numbers, billing cycle, read sequence, meter size, installation date, and type of transaction.
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. *(N1-075-07-2)*

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. 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. *(N1-075-07-2)*

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.

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. (N1-075-07-2)

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.
The function of the Social Services Automated System (SSAS), an adabase file format, is to provide monetary assistance for families in need. The data spans from 1995 to the present. The SSAS is a system that contains financial, budgetary, and statistical data used to generate Treasury checks for public assistance, and maintain individual files for authorized reporting purposes. The system provides support to social workers and clients for general assistance and child welfare payments. Other activities include a direct Federal Finance System (FFS) interface to produce checks, Agency/Tribal authorization of payments, for Regional Offices that wish to delegate the authority, Bureau-wide cross-reference of clients by Social Security Number, to prevent duplicate payments and to accurately identify all clients, automatic warning letters and cut-off of payments to clients that have exceeded their review dates and grace period, historical tracking of payments, for audit and review purposes, a standard method for calculating monthly budget/grant amounts, a multi-fiscal year capability. All BIA Regions use this system.

The SSAS resides on an IBM 7060-H30 mainframe computer in Denver, Colorado, with remote access through 3720 terminal emulation software at over 80 locations to support operational interface.

A. Source Records/Inputs

1. Source Records (Paper): The inputs to SSAS system include: Applications for assistance, family profiles, certificates of Indian blood, address, assurance of residence, case plans, court orders, correspondence and narratives of entries of contacts with clients.

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

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 Files:

The master data files contain information on cases including the data fields persons served, payee/head of household, address line, city, state, zip code, on reservation, client tribe code, client first name, social security number, client last name, client birth date, sex case worker number, case status, case worker number, case status, cost code, payment type, application date, effective date, and fiscal year. There is a master file for storing data on foster care, payment, institutions and workers. The primary key unit of analysis for the payment data is the area, agency, tribe, case type and last name.
Disposal 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. (N1-075-07-15)

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.

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

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. (N1-075-07-15)

Disposal 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)

Disposal 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)

Disposal 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.

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. (N1-075-07-15)

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.
Trust Accountability and Performance System (TAPS): The Trust Accountability Performance System is used to manage case and workload associated with the branch of Trust Services. The system enhances the ability to manage workload associated with the trust functions performed and to assure responsibilities for the various Trust Reform projects and Cobell v. Salazar litigation are accomplished timely and efficiently. Data in the system also supports Branch reporting under the Governmental Performance Results Act (GPRA), Activity Based Costing (ABC), and Risk Management.

A. Source Records/Inputs

1. Source Records (Paper): The inputs to the system include: Request documents received. Scanned documents of requested information (i.e., Rights of Way, Farming and Grazing Lease, and Deed documents).

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. Subject to Multiple Record Freezes and/or Litigation holds.

B. Master Data File

The master data file is used to manage case and workload associated with Trust Services. The data file contains case numbers, dates, status updates, employee names, and agency names.

Office Administrative Files: Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications, including facsimile machine logs; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office. (GRS 23/1)

Disposition Instructions: TEMPORARY. Destroy when 2 years old.
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. Office Administrative Files: Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications, including facsimile machine logs; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office. (GRS 23/1)

Disposition Instructions: TEMPORARY. Destroy when 2 years old.

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.
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. Data Systems specifications, file specifications, code books, record layouts, user guides, output specifications, and final reports, regardless of medium, relating to a master file or data base. (GRS 20/11a)

Disposition Instructions: TEMPORARY. Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to project legal rights, whichever is latest.

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**

**2200: Series Information Management and Information Technology Operations**

**2200-TAAMS Trust Asset and Accounting Management System (TAAMS)**

**System Description:** The Trust Asset Accounting Management System (TAAMS) was acquired and modified to provide a comprehensive national trust information system for title and land resource management for use across the Department of Interior (DOI) that replaces duplicative and obsolete legacy systems including, Land Records Information System (LRIS), Integrated Records Management System (IRMS) Lease, Range, Lease Distribute, and Ownership, Royalty Distribution and Reporting System (RDRS), also referred to as Oil and Gas, PC Lease (lease management system), Keyfile (lease tiles Images), Great Lakes Agency Database System (GLADS), Alaska Title (AKTitle), Management Accounting and Distribution System (MAD), Document Management Program (DMP)/Docstar, Real Estate Module (REM), OST Trust Funds Receivable (the Lockbox still resides with OST), and other related functional systems in the field that may be subsumed by TAAMS. TAAMS may also add business line function related modules to replace the legacy systems and further enhance the processing system.

TAAMS has a multi-database structure with multiple system modules, the Trust Image Repository (TIR), and system Interfaces. The title management function module maintains and tracks land title documents, including supporting revenue distribution, invoicing, acquisitions, and all legal details relating to land transactions, and providing easy access to title information. TAAMS includes a Production Library with historical title content and transactional history. The data changes and modification within TAAMS are kept permanently (including expired transactions) and are not overwritten.

The land resources management function (leasing module) establishes, tracks, and manages various contracts such as surface area, mineral, oil and gas leasing, surface and business leasing, timber sales contracting, Right of Way and range leases, and automates invoicing, collections, and revenue distributions using captured payment information. Other modules supporting the title and leasing functions include Surface Document, Mineral Document, Right of Way Document, Range Document, Forestry Document, Indian Land Consolidation Act (ILCA) module, Mineral Royalty and Accounting Distribution (MRAD) Module, and the Business Leasing Modules. Imaged documents also support the title and leasing functions.

The accounting module manages the receipt and distribution of all Trust Funds with features that include automated invoicing, online collections, Mineral Management Services (MMS), interfacing, landowner distributions, receivable sub ledgers, and supporting financial details. TAAMS also has a Reports Module that provides for customized reports such as areas as land utilization, tract title status, title abstracts, owner inventory, and certifiable probate inventories; lands available for leasing, chain
of title history, distribution of income, and issuances of certified reports required for Indian title, including information on historical transactions. These modules provide a foundation for the addition and integration of other modules (e.g. Probate, Name and Address, and other functions that support fiduciary trust responsibilities) in developing an Integrated trust management system.

a. **Input Files.** May contain original documents scanned and uploaded into TAAMS. File to appropriate paper or electronic record series/system.

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

b. **Master Data Files.** Data entered into TAAMS is the most up-to-date record of trust land ownership and use status that includes the current, past, and new owners. Data content includes name and address for individual Indians, Tribes, non-Indians, business, agencies, and government; payment data; title tract and ownership information; conveyance documents, encumbrances, document maintenance for surface, mineral, right-of-way, range, forestry and receivable documents. Further data content includes tract identification and document identification, tract lands legal description, location, acreage, coordinates, parcels, grid and input Survey/ Abstract information, ownership data, partitioning a tract, renaming a tract and creation of a Surface/Mineral tract, probates information, encumbrances, appraisals, deeds and other instruments of conveyance, contractor data, current name and address of Lease information (renewal, approval, modifying, amending, cancellation/expiration, compliance, rental rates, and landowner stipulations); permits, bonds and consent of land owners, lease advertisements and names and addresses of current lessees Accounting data includes collection and billing, payment documents such as bills for collection, money orders from lessees, payment and distribution data, and other related information TAAMS interfaces with the Trust Fund Accounting System (TFAS) nightly for name/address/account updates and Trust Fund Accounts Receivable (TFAR) The system saves superseded changes and an audit trail of changes IS recorded An account closes when the land status changes to 100% Fee Status meaning the land status changes from being held in Trust to private ownership. Data encoded into TAAMS dates from about 2000 to present. Dates for content within TAAMS could date back to the 1800s for data that was converted from LRIS for lands in trust status at the time of conversion from LRIS. Supersedes NARA Job Numbers N1-075-03-001/b and d (IIM); N1-075-03-002/1b,1d, 2b, 2d, 3b, 3d, 4b and 4d (IRMS Lease, Range, Lease Distribute and Owner); N1-075-03-003/1b, 1d, 2b and 2d (RDRS -Oil and Gas); N1-075-03-005/b and d (LRIS); N1-075-05-002/b and d (REM); N1-075-06-001/b and d (AK Title); N1-075-06-003/b and d (GLAD); N1-075-06-004/b and d
Record Copy Master Data Files.

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 jointly agreed to between DOI and NARA, as specified in NARA standards applicable at the time of transfer. (N1-075-09-8)

c. Trust Imaging Repository (TIR). Records include images of title and deed documents, probate documents, encumbrances, real appraisals, instruments of conveyance, leases, contractor data and other related documents scanned for preservation and placed in the corresponding paper case files such as the Land Assignments (BIAM-16, 4603), Patents, Fees and Certificates of Competency (BIAM-16, 4604), Land Gift Conveyance (BIAM-16, 4605, Land Plat Books (BIAM-16, 4606), Land Tract Books (BIAM-16, 4607), Land Title/Deed Files (BIAM-16, 4610), Cadastral Survey Files (BIAM-16, 4612), Land Right-of-Way (BIAM-16, 4616), Indian Land Lease Case Files (BIAM-16, 4618), Individual Indian Probate Case Files (BIAM-16, 4631), Master Land Description File (BIAM-16, 4634), and other related record series scheduled for permanent retention. Earlier images may be scanned below archival standard (300 dpi), but scanning practice will be updated to meet archival standard (NEW Item).

Disposition Instructions: PERMANENT. Transfer to the National Archives for pre-accessioning with related Master Data files as specified in NARA standards applicable at the time of transfer. Subsequent legal transfer of the records will be jointly agreed to between DOI and NARA, as specified in NARA standards applicable at the time of transfer. (N1-075-09-8)

Data restricted in accordance with Privacy Act Notice as required.

d. System Generated Documents/Outputs:

1. System Generated Documents in Case Files. TAAMS reporting system has the capability to query all fields to compile data, create management and other reports for case files, studies, inquires, reference, inspections and related program files. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software
 applications and supporting documentation.

**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 Office 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 cannot be easily separated and filed in case specific files. Subject files are filed by system report name, Program, Region, Agency, or Field Office, job run date and fiscal year. Because TAAMS supersedes the electronic systems listed in item b of this schedule, this item will also cover (output only) subject files that may have been created by the superseded systems (NEW Item).

**Disposition Instructions**: **PERMANENT**. Cut off at the end of the fiscal year. Transfer records to the records center 2 years after cutoff or when no longer needed for current business operations, whichever is less, and electronic record copies to the National Archives for pre-accessioning. 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. *(N1-075-09-8)*

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

e. **System Documentation.**

Contents: Records include system data specifications, file specifications, code books, record layouts, user guides and manuals, output specifications, and final reports relating to the Indian Affairs Appraisal Request Systems.

**Disposition Instructions**: **PERMANENT**. Transfer to the National Archives with related data files identified in Items b1, b2 and c, above. *(GRS 20/11a2)*
Additional Information for: TAAMS

BIA Series/System Number: 2200

Users: All Bureau of Indian Affairs Land Title Records Offices, Realty Offices and Contractors

Program: BIA – Office of Trust Services, Washington, D.C.

Function: Trust Services and Realty Management

Related Series/Systems: IARS – 4000 Series

Location: CGI – Government Business Systems
15305 Dallas Parkway
Suite 1100
Addison, TX 75001

Business Owner/Contacts:
Bryan C. Rice, Deputy Bureau Director for Trust Services, Washington, D.C. - 202-208-5831
Stephan Graham – Associate Deputy Bureau Director – Trust Services –505-816-1209
Tammy Harris, BIA TAAMS Liaison (505) 796-3181
INDIAN AFFAIRS RECORDS SCHEDULE

2300 Series

CONTRACTS
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 2300  Contracts

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**2300-P5 Program Correspondence and Policy/Directives Files**

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

- **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 documentation of the activities which relate directly to the Contract program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

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

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

  **Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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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 Contracts program. Records consist of the preparation, review, documentation of decision related to policy development, regulation case history, public comment, proposed and final regulation, clearance, publication and final distribution of a directive in a manual, bulletin or handbook format outlining internal policy, procedure, organization, instruction and delegation of authority. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

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

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

  **Disposition Instructions:** PERMANENT. Cut off at fiscal year end when superceded or rescinded. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
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Reserved
## INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES:** 2300

### Contracts

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Refer to GRS 3/5 *Solicited and Unsolicited Bids and Proposals Files* (use applicable item)

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**NARA JOB #**
N1-075-05-1

**Approved**
3/31/2005

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**RESERVED**
SERIES: 2300

Contracts

2303-T3F Unsolicited Proposal Files

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

Refer to GRS 3/5 Solicited and Unsolicited Bids and Proposals Files (use applicable item)

RESERVED
**Series: 2300 Contracts**

2304-P5 Interagency Agreement Case Files

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

Contents: Records include formal agreements between Federal entities to perform services on a reimbursable basis as well as original copies of pre-award data such as basic interagency agreement, modifications with supporting papers, cost estimates, voucher transfers between appropriations, schedules of withdrawals, credits, and reports. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange numerically by case or agreement number.

Official File: Record copy maintained at originating contract office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when agreement is superseded or rescinded. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
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**RESERVED**
| 2307-T10 | Construction Contract Case Files |
| NARA JOB # | Refer to GRS 3/3a Routine Procurement Files (use applicable item) |
| Approved | 3/31/2005 |

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**SERIES: 2300 Contracts**

**2308-T10 Architect and Engineering (A&E) Contracts**
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N1-075-05-1
Approved
3/31/2005

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

Refer to GRS 3/3a Routine Procurement Files (Use applicable item)

RESERVED
SERIES: 2300

Contracts

2311-P5  Buy Indian Act Contract Audit Files

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

Contents: Records include documents created in an audit of a contract award regardless of award authority (except PL 93-638) after competitive bidding under the Buy-Indian Act, findings, recommendations and contractor’s plan of corrective actions. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange numerically by contract number.


Disposition Instructions: PERMANENT. Cut off at fiscal year end when all corrective actions are completed or closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 2300

Contracts

2312-T3F  Contract or Purchase Transaction Files

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

Refer to GRS 3/3a Routine Procurement Files (use applicable item)

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<th>Contents:</th>
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<th>Official File:</th>
<th>Disposition Instructions:</th>
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<tr>
<td>N1-075-05-1</td>
<td>Records include contract appeals arising under the Contracts Dispute Act, consisting of notices of appeal and acknowledgments thereof; correspondence between parties; copies of contracts, plans, specifications, exhibits, change orders, and amendments; transcripts of hearings; documents received from parties concerned; and final decisions. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications and supporting documentation.</td>
<td>Arrange numerically by case number.</td>
<td>Record copy maintained at originating contract office.</td>
<td>PERMANENT. Cut off at fiscal year end when appeal decision is made. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.</td>
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</tbody>
</table>
INDIAN AFFAIRS RECORDS

SCHEDULE

2400 Series

FACILITIES MANAGEMENT

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
2400-P5  Program Correspondence and Policy/Directives Files

NARA JOB #  a. Program Correspondence Files – Official Files
N1-075-05-1
Approved  Program correspondence files that are created; received and where action is taken; or have the primary responsibility for documentation of the activities
3/31/2005 which relate directly to the Facilities Management program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by subject.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

b. Program Policy/Directives Master Set with Case History Files – Official Files
Files created and related to the internal program policy, guidance and regulations of daily operations for the Facilities Management 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 of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
## INDIAN AFFAIRS RECORDS SCHEDULE

### SERIES: 2400  Facilities Management

#### 2401-P5  Facilities Management Report Files

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<th>N1-075-05-1</th>
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</thead>
<tbody>
<tr>
<td><strong>a. Inventory Report Files</strong></td>
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</tbody>
</table>

**Contents:** Record includes towers, schools, residential housing, and other structures by physical location, construction materials, characteristics, size, general state of repair, use square footage, ownership, and occupant, electro-mechanical equipment, utility systems, warranties, ground inventories, parking lots, sidewalks, game fields, and landscaping. 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 region or location number.

**Official File:** Record copy maintained by the office of origin.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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<tbody>
<tr>
<td><strong>b. Backlog and Inspection Report Files</strong></td>
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</table>

**Contents:** Record includes printout reports for prioritization, ranking and approval of deferred maintenance deficiencies, development and tracking of health and safety item abatement plans and capital improvement lists, cost estimates, identification of all improvement, repair and construction projects, allocation of funds, and tracking special project initiatives for fire safety, roofing, telecommunications and new constructions. Project Management printout reports include tracking and managing planning, design, and construction phases of projects, fund reports, prioritization and ranking, “what if” analysis, project cost estimates, asset capitalization, monitor reports for new construction, facility improvement and repair activities. 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 region, location number, building and backlog number.

**Official File:** Record copy maintained by the office of origin.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
SERIES: 2400  Facilities Management

(Continuation)

2401-P5  Facilities Management Report Files

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

Facilities Management Report Files

Contents: Record includes U.S. Treasury Federal Finance System (FFS) printout reports on project management funds, budget allotments, expenditures, emergency fund requests, prioritizes and funds minor improvement and repair work, information related to five (5) year strategic plans, and obligations and expenditures for transactions, programs, and projects. 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 region, location number, building and backlog number.

Official File: Record copy maintained by the office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

d.  Operations and Maintenance (O&M) Report Files

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

Contents: Record includes printout reports for actual location utilities information, student enrollment, regional cost index formula (inflationary factor for each location), custodial models, technology, inventory mapping, location frequency mapping, cost factors, labor rates, funding allocation levels for each location, and distribution schedules for annual O&M funding. 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 program and location number.

Official File: Record copy maintained by the office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
**Facilities Management**

(Continuation)  
2401-P5

**Facilities Management Report Files**

**NARA JOB #**

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

**Contents:** Record includes printout reports for customer-generated work tickets for preventive, unscheduled, and routine maintenance tasks. 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 location number and work ticket number.

**Official File:** Record copy maintained by the office of origin.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

**f. Environmental Report Files**

**NARA JOB #**

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

**Contents:** Record includes printout reports on managing and tracking environmental audits, asbestos in schools, complying with environmental requirements, audit location, environmental findings, photographs, corrective actions, progress, funding method selected, key requirements of the Environmental program, Asbestos Hazard Emergency Response Act (AHERA) 3 Year Re-inspection Reports and other compliance reports. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange alphabetically by location number and audit number.

**Official File:** Record copy maintained by the office of origin.

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

2401-P5 Facilities Management Report Files

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

Contents: Record includes BIA and tribal law enforcement program reviews for detention facilities, program compliance audits, self-audits, program risk factors, risk control objectives, control techniques in place, methods of testing (document reviews, interviews and observations) risk assessments, and findings and recommendations for improvement. 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 location number and program and/or management function.

Official File: Record copy maintained by the office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

h. Administration Report Files

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

Contents: Record includes printout reports on static information (Organization and U.S. Treasury Federal Finance System (FFS) organizations, Inventory Divisions, Sub-divisions and Classifications, and Look-Up tables), personnel certification and user roles, and form definition controls and access rights, and functionality to allow/disallow funding for individual backlogs.

Filing Arrangement: Arrange alphabetically by static information category, alphabetically by last name of personnel, form name and/or location.

Official File: Record copy maintained by the office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
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<tr>
<th>2402a-T0</th>
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<td>Refer to 2414-P5 Operations and Maintenance Case Files</td>
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<th>Plant Management Operations Master Files (Magnetic tape data)</th>
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### INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES: 2400**  
**Facilities Management**

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Refer to 2401-P5 Facilities Management Report Files (Use applicable item)

To Be Determined for Scheduling

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<td>Refer to GRS 17 Cartographic, Aerial Photographic, Architectural and Engineering Records (Use applicable item)</td>
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| **2404b-T0** | Microdex Files (Microfilm data) |
| NARA JOB #   | Refer to GRS 17 Cartographic, Aerial Photographic, Architectural and Engineering Records (Use applicable item) |
| N1-075-05-1  | Approved              |
| 3/31/2005    | Approved              |

**RESERVED**
### INDIAN AFFAIRS RECORDS SCHEDULE

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**Facilities Management**

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*SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES*
SERIES: 2400

Facilities Management

2406-P3

Buildings and Utilities Plans, Drawings and Specifications

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

Refer to 2401-P5 - Facilities Management Report Files (Use applicable item)

RESERVED
SERIES: 2400

Facilities Management

2407-T3
Building and Utilities (B&U) Evaluation Survey Files

NARA JOB # N1-075-01-5
Approved 3/31/2005

Refer to 2401-P5 - Facilities Management Report Files (Use applicable item)

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INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 2400      Facilities Management

2408-T3      Building and Utilities Reports

NARA JOB #      Refer to 2401-P5 - Facilities Management Report Files (Use applicable item)
N1-075-05-1
Approved
3/31/2005

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<td>2411a-T0</td>
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### INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES: 2400**  
Facilities Management

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<th>Record Type</th>
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| 2412b-T0    | Plant Management Major Alterations and Improvement Log (Magnetic tape data) |
| NARA JOB #  | N1-075-05-1 |
| Approved    | 3/31/2005   |

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<th>2413a-T0</th>
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<td><strong>NARA JOB #</strong></td>
<td>Refer to 2401-P5 - <strong>Facilities Management Report Files</strong> (Use applicable item)</td>
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<td>3/31/2005</td>
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</table>
2414-P5  Operations and Maintenance Case Files

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

Contents: Record includes Bureau records encompassing all phases of agency, school, dormitory, and detention center facility administration activities on program management, custodial services, site operation support, preventive maintenance, unscheduled maintenance, budgetary funds, quarterly reports, semi-annual reports, needs availability, distribution requests, actual distribution documents, and printouts from the Facility Management Report Files. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange by alphabetically by region, agency, location and project number.

Official File: Record copy maintained by the office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when project is funded. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 2400  Facilities Management

2415-P5 Facilities Project Management Case Files

a. Planning Case Files

Contents: Record includes progress monitoring, progress schedules, payment requests, cuff accounts, quarterly budget and finance reports, statements of work and application, soil investigation, topography, boundary, utilities condition assessment, Section 106 Consultation Process, Flood Hazard Determination, Environmental Assessment, Site Analysis, Site Plan, A/E Requirement, education specifications & program requirements, and construction cost estimates. 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 project name then chronologically by project number.

Official File: Record copy maintained by the office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when project is complete or Builder's warranty expires. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

b. Design Case Files

Contents: Record includes progress monitoring, progress schedules, payment requests, cuff accounts, quarterly budget and finance reports, statements of work and application, site selection, 43 CFR Requirements, master design plans, archaeological and environmental requirements for electrical, Leeds, civil, mechanical, and structural clearances, and construction cost estimates. 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 project name then chronologically by project number.

Official File: Record copy maintained by the office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when project is complete or Builder's warranty expires. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
SERIES: 2400  Facilities Management

(Continuation)

2415-P5  Facilities Project Management Case Files

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

c. Design and Building Case Files

Contents: Record includes progress monitoring, progress schedules, payment requests, cuff accounts, quarterly budget and finance reports, statements of work and application, soil investigation, topography, boundary, utilities condition assessment, Section 106 Consultation Process, Flood Hazard Determination, Environmental Assessment, Site Analysis, Site Plan, A/E Requirement, contract modifications and amendments, and submittals. 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 project name then chronologically by project number.

Official File: Record copy maintained by the office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when project is complete or Builder's warranty expires. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

d. Construction Case Files

Contents: Record includes progress schedules updates, payment requests, cuff accounts, quarterly control reports for on-site reviews, inspections, commissioning, special testing, contract modification and amendments, and submittals to structure fire protection for sprinkler systems, alarm systems, and other fire-related structure installations. 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 project name then chronologically by project number.

Official File: Record copy maintained by the office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when project is complete or Builder's warranty expires. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
(Continuation)

2415-P5  
Facilities Project Management Case Files

e. Department of Justice (DOJ) Requirement for Construction of Detention Center Case Files

Contents: Record includes progress monitoring, progress schedules updates, payment requests, cuff accounts, quarterly control reports for on-site reviews, field inspections, commissioning, special testing, contract modification and amendments, and submittals to fire protection for sprinkler systems, alarm systems, and other fire-related structure installations. 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 project name then chronologically by project number.

Official File: Record copy maintained by the office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when project is complete or Builder's warranty expires. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
INDIAN AFFAIRS RECORDS
SCHEDULE

2500 Series
FINANCE
2500-P5 Program Correspondence and Policy/Directives Files

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

Program correspondence files that are created; received and where action is taken; or have the primary responsibility for documentation of the activities which relate directly to the Finance program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by subject.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

2500-P5 Program Policy/Directives Master Set with Case History Files – Official Files.

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

Files created and related to the internal program policy, guidance and regulations of daily operations for the Finance 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 of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
2501-P5  U.S. Treasury Federal Finance System (FFS) Report Files

Contents: Records include reports from FFS which are used as a source for most Bureau of Indian Affairs (BIA) financial reports and may be used to construct a General Accounting Office (GAO) audit trail. The reports provide the status of: general ledger, accounting transactions, debit credit account balances, monthly, quarterly, and annual financial information. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained by the Division of Accounting Management (DAM).

Disposition Instructions: PERMANENT. Cut off at fiscal year end when report is printed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
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RESERVED
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 2500

Finance

2502a-T0

Financial Structure, Description, and Coding Tables (Printout copies)

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

2502b-T0

Financial Structure, Description, and Coding Tables (Magnetic tape data)

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

RESERVED

To Be Scheduled with Related Electronic System
Certifying Officer Designee Files

Contents: Records include information relating to the designation and revocation of accountable officers. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence. Signature cards are nullified by withdrawal as requested.

Filing Arrangement: Arrange alphabetically by name.

Official File: Record copy maintained by the Division of Accounting Management (DAM).

Disposition Instructions: PERMANENT. Cut off at fiscal year end when superseded. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
2504-P5  

Certificates of Settlement Files

Contents: Records include information reflecting the settlement of accounts maintained by accountable officers which includes balance or statements of differences and related papers, certificates covering closed settlements, supplemental settlements, and final balance settlements and are not limited to related support documentation such as reports. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange numerically by account or case number.

Official File: Record copy is maintained by originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when settlement is made. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
## INDIAN AFFAIRS RECORDS SCHEDULE

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

RESERVED
SERIES: 2500

Finance

2506a-T1  Daily Input Audit Trail Files (Printout/paper copy used as record copy)

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

2506b-T0  Daily Input Audit Trail Files (Magnetic tape data)

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

RESERVED

To Be Scheduled with Related Electronic System
## INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES: 2500**

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RESERVED
Indian Affairs Records Schedule

Series: 2500  Finance

2508-T0  Coding Sheet Files

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

Reserved
SERIES: 2500

Finance

2509-T3  Employee Travel Voucher Files

NARA JOB #  Refer to GRS 9/1a Commercial Freight and Passenger Transportation Files
N1-075-05-1
Approved
3/31/2005

RESERVED
2510-T3  Passenger Transportation (Carrier) Files

NARA JOB #  Refer to GRS 9/1a Commercial Freight and Passenger Transportation Files
N1-075-05-1
Approved
3/31/2005

RESERVED
SERIES: 2500 Finance

2511-T3 Freight Carrier Records

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

Refer to GRS 9/1a Commercial Freight and Passenger Transportation Files

RESERVED
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 2500

Finance

2512-T4 Subsidiary Ledger Files

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

Refer to GRS 7/4 Expenditure Accounting Posting and Control Files

RESERVED
### SERIES: 2500 Finance

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RESERVED
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 2500

Finance

2514a-T0  Transaction History Files (Printout/paper copy used as record copy)

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

2514b-T6.3 Transaction History Files (Magnetic tape data)

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

RESERVED

To Be Scheduled with Related Electronic System
SERIES: 2500

Finance

2515a-T3F Monthly Journal of Transaction Files (Printout used as record copy maintained by Central Office Division of Accounting Management)
NARA JOB #: Refer to 2108-P5 Monthly Transaction Register Files
N1-075-05-1 Approved 3/31/2005

2515b-T0 Monthly Journal of Transaction Files (Magnetic tape data)
NARA JOB #: To Be Determined for Scheduling
N1-075-05-1 Approved 3/31/2005

2515c-T0 Monthly Journal of Transaction Files (Other copies)
NARA JOB #: Refer to 2108-P5 Monthly Transaction Register Files
N1-075-05-1 Approved 3/31/2005

RESERVED
2516-P5  
**Statement of Transaction (SF-224) Files**

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

**Contents:** Records include monthly Statement of Transaction reports which show collections, disbursements, and transfers of funds between appropriations or receipt accounts and documents monthly cash movements. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange chronologically.

**Official File:** Record copy maintained by Division of Accounting Management (DAM).

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
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RESERVED
2519-P5 Public Voucher Files

Contents: Records include Standard Form 1034, Public Voucher for Services other than Personal, used to document disbursements of cash in lieu of invoice. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained by Division of Accounting Management (DAM).

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
2520-P5  Journal Voucher Files

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

**Contents:** Records include Optional Form 1017-G, Journal Voucher, which documents BIA financial transactions when debiting/crediting accounts. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange chronologically.

**Official File:** Record copy maintained by Division of Accounting Management (DAM).

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
SERIES: 2500  Finance

2521-P5  Voucher and Schedule of Payment Files

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

Contents: Records include Standard Form 1166, Voucher and Schedule of Payments, which are used to prepare U.S. Treasury checks and show department, bureau, location, agency station, number appropriation summary, voucher number, payee, address, invoice number, amount and disbursing office check number. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained by Division of Accounting Management (DAM).

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
2522–P5  

**Cash Documents by Appropriation Files**

**NARA JOB #:** N1-075-05-1  

**Approved:** 3/31/2005

**Contents:** Records include monthly reports which show date, journal voucher or transfer of funds schedule number, and amount of each payment made under each appropriation. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange chronologically.

**Official File:** Record copy maintained by Division of Accounting Management (DAM).

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when report is printed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
# INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES: 2500 Finance**

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**RESERVED**
2523-P5 Disbursement Report Files

Contents: Records include reports or summaries of checks written with Julian date, Area, Agency code, check number, schedule number, number of checks, account numbers, debits and credits. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained by Division of Accounting Management (DAM).

Disposition Instructions: PERMANENT. Cut off at fiscal year end when report or summary is printed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
2524-P5 Schedule of Cancelled Checks (SF-1098) Files

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

Contents: Records include Standard Form 1098, Schedule of Canceled Checks, which lists checks for cancellation by the San Francisco Disbursing Office only. The list identifies department, bureau, location, disbursing office symbol, number, and location. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained by Division of Accounting Management (DAM).

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
SERIES: 2500 Finance

2525-T3F Apportionment and Reapportionment Schedule Files

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

Refer to GRS 5/4 Budget Apportionment Files

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### 2526-T3F

**Appropriation Warrant Files**

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

Refer to GRS 6/4 General Fund Files

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**RESERVED**
RESERVED
2528a-T3F  |  Area Allotment Status Report Files (Central office copy)
NARA JOB #  |  Refer to GRS 7/3 Appropriation Allotment Files
N1-075-05-1  |  3/31/2005
Approved      |  

2528b-T2  |  Area Allotment Status Report Files (Area office copies)
NARA JOB #  |  Refer to GRS 7/3 Appropriation Allotment Files
N1-075-05-1  |  3/31/2005
Approved      |  

2528c-T0  |  Area Allotment Status Report Files (Magnetic tape data)
NARA JOB #  |  Refer to GRS 7/3 Appropriation Allotment Files
N1-075-05-1  |  3/31/2005
Approved      |  

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### INDIAN AFFAIRS RECORDS SCHEDULE

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#### 2530a-T3F

**Operating Budget Files Report (Record copy maintained by Central Office Division of Accounting Management)**

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

Refer to GRS 5/3b Budget Reports Files

#### 2530b-T2

**Operating Budget Files Report (Other office copies)**

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

Refer to GRS 5/3b Budget Reports Files

#### 2530c-T0

**Operating Budget Files Report (Magnetic tape data)**

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

Refer to GRS 5/3b Budget Reports Files

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2532-T3F  Budget Administration Files

NARA JOB #  Refer to GRS 5/2 Budget Background Records
N1-075-05-1
Approved
3/31/2005

RESERVED
SERIES: 2500

Finance

2533a-P3F  Budget Estimates (Central Office copy)
NARA JOB # N1-075-05-1
Approved 3/31/2005

Refer to GRS 5/2 Budget Background Records

2533b-T0  Budget Estimates (Area and Agency copies)
NARA JOB # N1-075-05-1
Approved 3/31/2005

Refer to GRS 5/2 Budget Background Records

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**2534-T1**  
**Budget Working Files**  

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

Refer to GRS 5/2 *Budget Background Records*  

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<td>Approved 3/31/2005</td>
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</tr>
</tbody>
</table>

RESERVED
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 2500
Finance

2536a-T3F  Imprest Fund (Record copy maintained by Central Office Division of Accounting Management)
NARA JOB # N1-075-05-1
Approved 3/31/2005
No longer used

2536b-T2  Imprest Fund (Cashier's copy)
NARA JOB # N1-075-05-1
Approved 3/31/2005
No longer used

RESERVED
<table>
<thead>
<tr>
<th>NARA JOB #</th>
<th>Construction Progress Status Report Files (Printout/paper copies used as record copies)</th>
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</thead>
<tbody>
<tr>
<td>N1-075-05-1</td>
<td>Refer to GRS 3/3a Routine Procurement Files (Use applicable item)</td>
</tr>
</tbody>
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<table>
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<th>NARA JOB #</th>
<th>Construction Progress Status Report Files (Magnetic tape data)</th>
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</thead>
<tbody>
<tr>
<td>N1-075-05-1</td>
<td>Refer to GRS 3/3 Routine Procurement Files (Use applicable item)</td>
</tr>
</tbody>
</table>

RESERVED
### Certificate of Deposit Files

**Contents:** Records include Standard Form 219, Certificate of Deposit, which is maintained in deposit number sequence. These records show date, deposit number, accounting station, symbol, bank name and location, sum, and department or agency name and address. The forms are annotated with batch number, date and are used to show deposits of funds in banks. Also includes printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange numerically by deposit number.

**Official File:** Record copy maintained by the Division of Accounting Management (DAM).

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when deposit is reconciled. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

### Certificate of Deposit Files (Printout/paper copies used as record copies)

Refer to 2538-P5 Certificate of Deposit Files

### Certificate of Deposit Files (Magnetic tape data)

To Be Determined for Scheduling
2539-P5  Paid Voucher Files

**Contents:** Records include purchase orders, invoice, freight bills, and Standard Form 1166, Voucher and Schedule of Payments, which may show voucher number, vendor number, vendor information and amount. Also includes printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange numerically by purchase order number.

**Official File:** Record copy maintained by the Division of Accounting Management (DAM).

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when payment is made. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

2539a-T3F  Paid Voucher Files (Record copy maintained by Central Office Division of Accounting Management)

Refer to 2539-P5 Paid Voucher Files

2539b-T0  Paid Voucher Files (Magnetic tape data)

To Be Determined for Scheduling

**RESERVED**

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
<table>
<thead>
<tr>
<th>NARA JOB #</th>
<th>Contents: Records include authorizations to move/deposit funds into various appropriations, which may show the deposit number, date, symbol, appropriation number, description and amount. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved 3/31/2005</td>
<td><strong>Filing Arrangement:</strong> Arrange chronologically.</td>
</tr>
<tr>
<td><strong>Official File:</strong></td>
<td>Record copy maintained by the Division of Accounting Management (DAM).</td>
</tr>
<tr>
<td>Disposition Instructions: <strong>PERMANENT.</strong></td>
<td>Cut off at fiscal year end when deposit is moved to the new appropriation. Maintain in office of record for a maximum of 5 years after cut off, and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.</td>
</tr>
</tbody>
</table>
2541-P5  Statement of Receipts Report Files

Contents: Records include Standard Form 108, which is an annual report for miscellaneous receipts to the Division of Administration in Washington, DC. This report shows receipt symbol, receipt account title; actual funds received and has columns for two fiscal year estimates which are not made at the Administrative Service Center, comments and worksheet information. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained by the Division of Accounting Management (DAM).

Disposition Instructions: PERMANENT. Cut off at fiscal year end when report is printed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
2542-P5  Unappropriated Receipts Trial Balance Files

Contents: Records include U.S. Treasury reports showing deposits of tribal funds. These reports are used to balance the General Ledger. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Official record copy maintained by Division of Accounting Management (DAM).

Disposition Instructions: PERMANENT. Cut off at fiscal year end when general ledger is balanced. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
SERIES: 2500
Finance

2543-T3F Special Disbursing Agent Files

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

RESERVED
2544-P5  

**Trial Balance Files**

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

**Contents:** Records include monthly reconciliation of funds in the U.S. Treasury Federal Finance System (FFS) showing trial balance of the general ledger accounts. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange chronologically by month.

**Official File:** Record copy maintained by originating office by the Division of Accounting Management (DAM).

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when reconciliation is completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
2545-P5  

**Reconciliation Statement Files**

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

**Contents:** Records include information for preparing monthly trial balance with BIA and Treasury opening balances, deposits credited, total, less checks paid, closing balance deposits claimed but not credited, outstanding checks and totals. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange chronologically.

**Official File:** Record copy maintained at originating office.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when reconciliation is completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
<table>
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<tr>
<th>NARA JOB #</th>
<th>Payroll Detail Cost Report Files (Originals of yearly and biweekly printouts maintained for record copy purposes maintained by Central Office Division of Accounting Management)</th>
<th>Refer to GRS 2/22 Payroll System Reports</th>
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<tbody>
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<td>N1-075-05-1</td>
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<table>
<thead>
<tr>
<th>NARA JOB #</th>
<th>Payroll Detail Cost Report Files (Magnetic tapes maintained by NTBC)</th>
<th>Refer to GRS 2/22 Payroll System Reports</th>
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<tbody>
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<td>N1-075-05-1</td>
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</tbody>
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RESERVED
2547-T3  
Government Charge Cards

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

Refer to GRS 9/4b General Travel and Transportation Files

RESERVED
2548-P5  Debt Collection Files

Contents: Records include material related to the identification of debts owed the government by employees and the collection of payments. 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 name.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when final payment for debt is made or cleared. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (OS-86).
2549-P5  U.S. Treasury Federal Finance System (FFS) & Infopak Report Files

NARA JOB # N1-075-05-1

Approved 3/31/2005

Contents: Records include financial program reports as requested by the Regional Officer. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Official record copy maintained by Division of Accounting Management (DAM).

Disposition Instructions: PERMANENT. Cut off at fiscal year end when report is printed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
2550-P5  Year-end Closing Report Files

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

Contents: Records include year-end annual summarization of U.S. Treasury Federal Finance System (FFS) transactions in the BIA 2108 Report which closes out the fiscal year. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained by Division of Accounting Management (DAM).

Disposition Instructions: PERMANENT. Cut off at fiscal year end when report is printed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
2551-P5  Undisbursed/Receipt Account Report Files

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

**Contents:** Records include U.S. Treasury Report TFS-6655, print receipt account ledger, print receipt trial balance and print report of unavailable receipt transactions. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange chronologically.

**Official File:** Record copy maintained by Division of Accounting Management (DAM).

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when report is printed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
2552-P5  Intergovernmental Payment and Collection (IPAC) Files

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

Contents: Records include payment of billing statements for IPAC transactions for General Service Administration (GSA) Federal Supply Service Interface Bill Upload Report, GSA Motor Pool Billings - Federal Finance System (FFS) Upload Summary. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained by Division of Accounting Management (DAM).

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
2553-P5 Impact Credit Card Payment Files

Contents: Records include billing invoices, original monthly statement of purchases, and Standard Form 1129, Reimbursement Voucher for Local Purchases, which show credit card transactions as disbursements of cash in lieu of a purchase order or impress cash. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained by Division of Accounting Management (DAM).

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
INDIAN AFFAIRS RECORDS SCHEDULE

2600 Series
PAYROLL
2600-P5  Program Correspondence and Policy/Directives Files

a. Program Correspondence Files – Official Files

Program correspondence files that are created; received and where action is taken; or have the primary responsibility for documentation of the activities which relate directly to the Payroll program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by subject.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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

Files created and related to the internal program policy, guidance and regulations of daily operations for the Payroll 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 of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
<table>
<thead>
<tr>
<th>SERIES:  2600 Payroll</th>
</tr>
</thead>
<tbody>
<tr>
<td>2601-T3</td>
</tr>
<tr>
<td>Garnishment Case Files</td>
</tr>
</tbody>
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NARA JOB # N1-075-05-1
Approved 3/31/2005

Refer to GRS 2/18 – Levy and Garnishment Files

RESERVED
<table>
<thead>
<tr>
<th>Series</th>
<th>Description</th>
<th>NARA Job #</th>
<th>Approved Date</th>
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<tbody>
<tr>
<td>2602a-T5</td>
<td>Student Trainee Payroll Files (Printout/paper copies used as record copy)</td>
<td>N1-075-05-1</td>
<td>3/31/2005</td>
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<tr>
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<tr>
<td>2602b-T0</td>
<td>Student Trainee Payroll Files (Magnetic tape data)</td>
<td>N1-075-05-1</td>
<td>3/31/2005</td>
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**RESERVED**
## INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES: 2600 Payroll**

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<th>Series</th>
<th>Description</th>
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<tbody>
<tr>
<td>2603a-T3</td>
<td>Firefighter Payroll History File (Printout/paper copies used as a record copy)</td>
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<td>Firefighter Payroll History File (Magnetic tape data)</td>
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Refer to GRS 2/7 Time and Attendance Source Records

**RESERVED**
### INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES: 2600**

**Payroll**

<table>
<thead>
<tr>
<th>2604a-T0</th>
<th>Employee Address File (Printout/paper copies used as record copy)</th>
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<tbody>
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<td>NARA JOB #</td>
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<td>N1-075-05-1</td>
<td>Approved 3/31/2005</td>
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<th>2604b-T0</th>
<th>Employee Address File (Magnetic tape data)</th>
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<tr>
<td>NARA JOB #</td>
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<th>Payroll</th>
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<td>2605a-T0</td>
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RESERVED
2606a-T0  Financial Institution Address File (Printout/paper copies used as a record copy)
NARA JOB #  Refer to GRS 2/17 Direct Deposit Sign-up Form (SF-1199A)
N1-075-05-1 Approved 3/31/2005

2606b-T0  Financial Institution Address File (Magnetic tape data)
NARA JOB #  Refer to GRS 2/17 Direct Deposit Sign-up Form (SF-1199A)
N1-075-05-1 Approved 3/31/2005

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**2607a-T3**  
Time and Attendance Files (Printout/paper copies used as a record copy)  
NARA JOB # N1-075-05-1  
Approved  
3/31/2005  
Refer to GRS 2/7 Time and Attendance Source Records

**2607b-T1**  
Time and Attendance Files (Magnetic tape data)  
NARA JOB # N1-075-05-1  
Approved  
3/31/2005  
Refer to GRS 2/7 Time and Attendance Source Records

**RESERVED**
### INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES:** 2600  
**Payroll**

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<td>2608a-T5</td>
<td>Year-To-Date Pay History File (Printout/paper copies used as a record copy)</td>
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<td>2608b-T0</td>
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<thead>
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<th>NARA JOB #</th>
<th>IRS Levies</th>
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<td>N1-075-05-1</td>
<td>Refer to GRS 2/18 Levy and Garnishment Files</td>
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</tbody>
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RESERVED
2610-T3  Waiver of Claims

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

Refer to GRS 6/11 Waiver of Claims Files

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<tr>
<th>2611-T3</th>
<th>Firefighter W-2's</th>
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</table>

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

Refer to GRS 2/7 Time and Attendance Source Records

RESERVED
SERIES: 2600 Payroll

2612-T0 Check Issue Listing

NARA JOB # Refer to GRS 2/22c Payroll System Records
N1-075-05-1
Approved
3/31/2005

RESERVED
2613-P3  Employee Conversion Case File

NARA JOB #  Refer to GRS 2/23 Payroll Change Files
N1-075-05-1
Approved
3/31/2005

RESERVED
INDIAN AFFAIRS RECORDS SCHEDULE

2700 Series
PERSONNEL

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
Program Correspondence and Policy/Directives Files

a. Program Correspondence Files – Official Files

Program correspondence that are created; received and where action is taken; or have the primary responsibility for the documentation of activities which relate directly to the Personnel program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by subject.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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

Files created and related to the internal program policy, guidance and regulations of daily operations for the Personnel 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 of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
SERIES: 2700 Personnel

2701-P3 Personnel Security Clearance Case Files

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

Refer to GRS 18/22a Personnel Security Clearance Files

RESERVED
2702-T0  Personnel Security Clearance Status Files

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

Refer to GRS 18/23 Personnel Security Status Files

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<td>NARA JOB # N1-075-05-1</td>
<td>Refer to GRS 2/1b Individual Employee Pay Record</td>
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<td>2703b-T0</td>
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RESERVED
2704-T1 Final Salary Clearance Files

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

Refer to GRS 1/1 Official Personnel Folders (OPFs) (Use applicable item)

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2705a-P0  | Official Personnel Folders (Transferred to Another Agency) |
NARA JOB # | Refer to GRS 1/1a Official Personnel Folders (OPFs) |
N1-075-05-1   | Approved |
3/31/2005    |

2705b-P0  | Official Personnel Folders (Separated Employees) |
NARA JOB # | Refer to GRS 1/1b Official Personnel Folders (OPFs) |
N1-075-05-1   | Approved |
3/31/2005    |

RESERVED
2706-T1 Official Personnel Folders (Temporary Materials)

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

Refer to GRS 1/10a Temporary Individual Employee Records

RESERVED
SERIES: 2700 Personnel

2707-T3 Service Record Card Files

NARA JOB # Refer to GRS 1/2 Service Record Cards (Use applicable item)
N1-075-05-1
Approved
3/31/2005

RESERVED
<table>
<thead>
<tr>
<th>SERIES: 2700</th>
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<tr>
<td>2708-T2</td>
<td>Personnel Statistical Reports</td>
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Refer to GRS 1/16 Personnel Operations Statistical Reports

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

RESERVED
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<tr>
<th>NARA JOB #</th>
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SERIES: 2700

2710-T2 Merit Promotion Files

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

Refer to GRS 1/32 Merit Promotion Case Files

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<td>No longer used – Non-record Material</td>
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RESERVED
## INDIAN AFFAIRS RECORDS SCHEDULE

### SERIES: 2700  Personnel

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<td>2712b-T0</td>
<td>Vacant Position File (Magnetic tape data)</td>
<td>N1-075-05-1</td>
<td>Approved 3/31/2005</td>
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**RESERVED**
2713-T0  
Position Identification Strip Files

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

Refer to GRS 1/11 Position Identification Strips

RESERVED
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**NARA JOB #**

N1-075-05-1

**Approved**

3/31/2005

Refer to GRS 18/22b Personnel Security Clearance Files

**RESERVED**
2715-T0  Applicant Supply File - Active

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

Refer to GRS 1/33l (1) Examining and Certification Records

RESERVED
SERIES: 2700 Personnel

2716-T2 Applicant Supply File - Inactive

NARA JOB # Refer to GRS 1/33l (2) Examining and Certification Records
N1-075-05-1 Approved
3/31/2005

RESERVED
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 2700 Personnel

2717-T2 Incentive Awards Case Files

NARA JOB # Refer to GRS 1/12 Employee Award Files (Use applicable item)
N1-075-05-1 Approved
3/31/2005

RESERVED
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### 2718-T2: Incentive Awards Report Files

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

Refer to GRS 1/13 Incentive Awards Program Reports

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**RESERVED**
SERIES: 2700 Personnel

2719-T2 Performance Ratings

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

Refer to GRS 1/23 Employee Performance File System Records (Use applicable item)

RESERVED
SERIES: 2700  Personnel

2720-T1  Performance Rating Appeal Files

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

Refer to GRS 1/9 Performance Rating Board Case Files

RESERVED
SERIES: 2700 Personnel

2721-T5 Position Description Files

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

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

Refer to GRS 1/7c Position Classification Files (Use applicable item)

RESERVED
## 2723-T3
### Reorganization Proposals Files

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

Refer to GRS 1/7a through c Position Classification Files (Use applicable item)

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**RESERVED**
SERIES: 2700 Personnel

2724-T3 Classification Appeal Files

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

Refer to GRS 1/7d Position Classification Files (Use applicable item)

RESERVED
SERIES: 2700  Personnel

2725a-T2  Reduction-in-Force Files (Retention registers)
NARA JOB #  Refer to GRS 1/17b Correspondence and Forms Files (Use applicable item)
N1-075-05-1 Approved 3/31/2005

2725b-T0  Reduction-in-Force Files (Work cards)
NARA JOB #  Refer to GRS 1/17b Correspondence and Forms Files (Use applicable item)
N1-075-05-1 Approved 3/31/2005

2725c-P0  Reduction-in-Force Files (Notice to Employees and related papers)
NARA JOB #  Refer to GRS 1/17b (1) Correspondence and Forms Files
N1-075-05-1 Approved 3/31/2005

2725d-T2  Reduction-in-Force Files (Placement files)
NARA JOB #  Refer to GRS 1/17b (1) Correspondence and Forms Files
N1-075-05-1 Approved 3/31/2005

RESERVED

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
2726-T7  
Appeals and Grievances Files

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

Refer to GRS 1/30 Administrative Grievance, Disciplinary and Adverse Action Files
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 2700 Personnel

2727-T2 Employee Financial Statement Files

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

Refer to GRS 25/2 Financial Disclosure Reporting Files (Use applicable item)

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**RESERVED**
2729-T4  Discrimination Complaint (EEO) Case Files

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

Refer to GRS 1/25 Equal Employment Opportunity (EEO) Records (Use applicable item)

RESERVED
2730a-P0  Health Record Case Files (Pre-employment physical examination, Health Qualification Placement Records, disability retirement examination, and fitness for duty examination)

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

Refer to GRS 1/21 Employee Medical Folder (Use applicable item)

2730b-T5  Health Record Case Files (All other papers)

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

Refer to GRS 1/21 Employee Medical Folder (Use applicable item)

RESERVED
2731-T3  Individual Employee Training Files

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

Refer to GRS 1/29b Training Records (Use applicable item)

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

Refer to GRS 1/29b Training Records

RESERVED
2733-T5  Training Report Files

NARA JOB #  Refer to GRS 1/29a Training Records (Use applicable item)
N1-075-05-1
Approved
3/31/2005

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

Refer to GRS 1/29b Training Records

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**2735-T0 Career Development Files**

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

Refer to GRS 1/18a *Supervisors’ Personnel Files and Duplicate OPF Documentation*

**RESERVED**
2736-T5  Training Program Administrative Files

NARA JOB #  Refer to GRS 1/29a Training Records (Use applicable item)
N1-075-05-1
Approved
3/31/2005

RESERVED
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 2700 Personnel

2737-T3 Health Insurance Files

NARA JOB # Refer to GRS 1/22 Statistical Summaries
N1-075-05-1 Approved
3/31/2005

RESERVED
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**RESERVED**
## INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES: 2700**  
**Personnel**

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Refer to GRS 1/16 Personnel Operations Statistical Reports

**RESERVED**
INDIAN AFFAIRS RECORDS
SCHEDULE

2800 Series
PROPERTY MANAGEMENT
and
2850 Series
PROCUREMENT

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
Program Correspondence and Policy/Directives Files

a. Program Correspondence Files – Official Files

Program correspondence that are created; received and where action is taken; or have the primary responsibility for the documentation of activities which relate directly to the Property Management program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by subject.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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

Files created and related to the internal program policy, guidance and regulations of daily operations for the Property Management 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 of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
SERIES: 2800  Property Management and Procurement

2801-T4  Vehicle Release Files

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

Refer to GRS 10/6 Motor Vehicle Release Files

RESERVED
SERIES: 2800 Property Management and Procurement

2802-T1 Government Transportation Request (GTR) Files

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

Refer to GRS 9/4b General Travel and Transportation Files

 RESERVED
2803-T3  Government Bills of Lading (GBL) Files

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

Refer to GRS 9/1c Commercial Freight and Passenger Transportation Files

RESERVED
2804-T3 Government Losses in Shipment Act Files

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

Refer to GRS 9/2 Lost or Damaged Shipments Files

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</table>
2806-T3 | Excess Personal Property Files

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

Refer to GRS 4/2 Excess Personal Property Reports

RESERVED
2807-P5 Property Transaction Source Document Files

Contents: Records include Bureau of Indian Affairs (BIA) Form 4310, Property Accountability Transaction, and BIA Form 4312, Property Invoice, which are accumulated in controlling and accounting for nonexpendable personal property in the BIA and reflect the acquisition, assignment, transfer and disposition of property. Also included are printouts of electronic mail, documents created through word processing and spreadsheets software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange alphabetically by location then numerically by property identification number.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
2808-P5 Property Loan Agreement Files

Contents: Records include documents of accountability for Government-owned real or personal property loaned to individuals as well as records which have arisen as a result of an individual's misuse of or damage to the loaned property. Also included are printouts of electronic mail, documents created through word processing and spreadsheets software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange alphabetically by name.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when loaned property is returned. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-1).
2809-P5  

Employee Property Issue Files

Contents: Records include card file, known as Department of Interior Form 105, Receipt for Property, used for documenting loan of property. Also included are printouts of electronic mail, documents created through word processing and spreadsheets software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange alphabetically by name.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when all loaned items are returned and/or a new card is issued. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
SERIES: 2800 Property Management and Procurement

2810-T2 Property Inventory Listings

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

Refer to GRS 3/9a Inventory Files

RESERVED
2811-T2 Inventory Control Files

Refer to GRS 3/9b Inventory Files

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

RESERVED
### INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES:** 2800  
**Property Management and Procurement**

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**RESERVED**
SERIES: 2800

Property Management and Procurement

2813-T0  Property Pass Files

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

Refer to GRS 18/12 Property Pass Files

RESERVED
2814-P5  
**Personal Property Report Files**

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

**Contents:** Records include reports from the electronic master file reflecting all accountable property items throughout the Bureau of Indian Affairs (BIA). These reports reflect action codes, document reference numbers, area, agency, unit, and nomenclature codes; BIA identification numbers; book or purchase values; make or other identification, serial numbers, and nomenclature descriptions. Also included are printouts of electronic mail, documents created through word processing and spreadsheets software applications, supporting documentation and related correspondence.

**Filing Arrangement:** Arrange chronologically.

**Official File:** Record copy maintained at Central Office.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when report is printed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
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RESERVED
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 2800  Property Management and Procurement

2815-P5  Real Property Report Files

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

Contents: Records include reports pertinent to real property items under the jurisdiction of the Bureau of Indian Affairs. These reports reflect area/agency codes, activities, unit designations, holding agency designations, usage codes, year acquired, assigned building numbers, property codes, General Services Administration (GSA) locations, cost, ownership codes, size of property, and card codes. Also included are printouts of electronic mail, documents created through word processing and spreadsheets software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange alphabetically by location.

Official File: Record copy maintained at Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when report is printed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
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**RESERVED**
Fedstrip Supplementary Address Report Files

Contents: Records include reports which contain the basic address codes for each office location within the Bureau of Indian Affairs. These reports reflect supplementary addresses, mailing addresses, area and/or agency codes, General Services Administration (GSA) location codes and date established. Also included are printouts of electronic mail, documents created through word processing and spreadsheets software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when report is printed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
### INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES:** 2800  
**Property Management and Procurement**

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<td>2816b-T0</td>
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**RESERVED**
 SERIES:  2800  Property Management and Procurement

2817-T2  Space Allocation and Utilization Files

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

Refer to GRS 11/2a Agency Space Files

RESERVED
2818-T2  
**Space Reporting Files**

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

Refer to GRS 11/2b Agency Space Files  (Use applicable item)

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<th>NARA JOB #</th>
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<th>Quarters Assignment Files (Area Office files)</th>
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RESERVED
SERIES: 2800  Property Management and Procurement

2821-T0  Requests for Work Authorization

NARA JOB #  Refer to GRS 11/5 Building and Equipment Service Files
N1-075-05-1
Approved
3/31/2005

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2822-T0   Key Control Files

NARA JOB # N1-075-05-1

Approved 3/31/2005

Refer to GRS 18/16 Key Accountability Files  (Use applicable item)

RESERVED
SERIES: 2800  Property Management and Procurement

2823a-T0  History Recycle Input Tape (Printout/paper copies used as record copies)
NARA JOB #
N1-075-05-1
Approved
3/31/2005

2823b-T0  History Recycle Input Tape (Magnetic tape data)
NARA JOB #
N1-075-05-1
Approved
3/31/2005

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To Be Scheduled with Related Electronic System
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<td>Refer to GRS 12/5a Post Office and Private Mail Company Records</td>
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RESERVED
SERIES:  2800  Property Management and Procurement

2825-T3  Mail Sampling Report Files

NARA JOB #  Refer to GRS 12/6b Mail and Delivery Service Control Files
N1-075-05-1
Approved
3/31/2005

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<th>2826-T0</th>
<th>Mailing Lists and Related Materials</th>
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NARA JOB #
N1-075-05-1
Approved
3/31/2005

Refer to GRS 12/6h Mail and Delivery Service Control Files

RESERVED
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES:  2800 Property Management and Procurement

INDIAN AFFAIRS RECORDS SCHEDULE

2850 Series

PROCUREMENT
**INDIAN AFFAIRS RECORDS SCHEDULE**

**SERIES: 2800**

**Property Management and Procurement**

**2850-P5**

**Program Correspondence and Policy/Directives Files**

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

Program correspondence files that are created; received and where action is taken; or have the primary responsibility for the documentation of activities which relate directly to the Procurement program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

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

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

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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

Files created and related to the internal program policy, guidance and regulations of daily operations for the Procurement 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 of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
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<td>2851-T0</td>
<td>Vendor Reference Files.</td>
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**RESERVED**
2852-T6  Procurement Registers

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

RESERVED
SERIES: 2800
Property Management and Procurement

2853-T3F  Purchase Order Files

NARA JOB #  Refer to GRS 3/3a Routine Procurement Files
N1-075-05-1
Approved
3/31/2005

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INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 2800 Property Management and Procurement

2854-T2 Requisition Files

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

Refer to GRS 3/8a Routine Procurement Files

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INDIAN AFFAIRS RECORDS

SCHEDULE

2900 Series

SAFETY
**Series: 2900  Safety**

**2900-P5 Program Correspondence and Policy/Directives Files**

**NARA JOB #**

**N1-075-05-1**

**Approved**

**3/31/2005**

**a. Program Correspondence Files – Official Files**

Records include program correspondence that are created; received and where action is taken; or have the primary responsibility for the documentation of activities which relate directly to the Safety program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

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

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

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

**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 Safety 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 of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
SERIES: 2900

Safety

2901-T3 Safety and Security Inspection Case Files

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

Refer to GRS 18/9 Survey and Inspection Files (Government-owned Facilities)

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<td>2902-T3</td>
<td>Safety and Health Inspection Reports</td>
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<tr>
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<td>Refer to GRS 18/9 Survey and Inspection Files (Government-owned Facilities)</td>
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**RESERVED**
2903-T5  
Emergency Planning Case Files

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

Refer to GRS 18/27 Emergency Planning Case Files

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<th>2904a-T5</th>
<th><strong>Emergency Test and Exercise Files</strong> (Consolidated or comprehensive reports reflecting agency results of tests conducted under emergency plans. Maintained in Central Office)</th>
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<tr>
<td>NARA JOB #</td>
<td>Refer to GRS 18/28 Emergency Operations Tests Files</td>
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<th>2904b-T3</th>
<th><strong>Emergency Test and Exercise Files</strong> (Other papers accumulating from emergency operations tests such as instructions to participants, staff assignments, messages, tests of communications and facilities, and copies of reports)</th>
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<tr>
<td>NARA JOB #</td>
<td>Refer to GRS 18/28 Emergency Operations Tests Files</td>
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**RESERVED**
SERIES: 2900 Safety

2905-T3 Motor Vehicle Operator Files

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

Refer to GRS 10/7 Motor Vehicle Operator Files

RESERVED
SERIES: 2900

Safety

2906-T6

Motor Vehicle Accident Report Files

NARA JOB # N1-075-05-1

Refer to GRS 10/5 Motor Vehicle Accident Files

Approved 3/31/2005

RESERVED
2907-T3 Employee Personal Injury Case Files

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

Refer to GRS 1/31 Personal Injury Files

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<td>Safety Management Information Files (Documents supporting the issuance of SF-46, Motor Vehicle Identification Cards to Employees)</td>
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<tr>
<td>NARA JOB #</td>
<td>Refer to GRS 10/7 Motor Vehicle Operator Files</td>
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<td><strong>2908b-P3</strong></td>
<td>Safety Management Information Files (Employee claims submitted to the office of Workman's Compensation (OWC))</td>
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<tr>
<td>NARA JOB #</td>
<td>Refer to GRS 1/34 Occupational Injury and Illness Files</td>
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<td><strong>2908c-P3</strong></td>
<td>Safety Management Information Files (Case files with supporting documents pertaining to Tort Claims filed by an individual against the U.S. Government)</td>
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<td>NARA JOB #</td>
<td>Refer to GRS 6/10a Administrative Claims Files</td>
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<td><strong>2908d-P3</strong></td>
<td>Safety Management Information Files (Records concerning individuals which have arisen as a result of that individuals misuse or damage to Government-owned or Government-leased motor vehicles, other equipment, facilities and salary overpayments as a result of misuse of leave relating to OWC claims deemed invalid)</td>
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<td>NARA JOB #</td>
<td>Refer to GRS 6/10b Administrative Claims Files</td>
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SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
INDIAN AFFAIRS RECORDS
SCHEDULE

3200 Series
ACKNOWLEDGEMENT

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
## Series: 3200  
**Acknowledgement**

### 3200-P5  
**Program Correspondence and Policy/Directives Files**

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 Acknowledgement program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

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

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

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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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 Acknowledgement 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 of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Acknowledgement Files

Contents: Records include documents associated with groups applying for federal recognition as an Indian tribe. Files contain the letter of petition, responses to criteria for service eligibility (25 CFR § 83.7a-g), findings for/against acknowledgement of the group and final determination reports. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence. NOTE: IF TRUST RECORDS ARE RELATED, USE THE INDIAN FIDUCIARY FINANCIAL TRUST DECISION TREE AND RECORD SCHEDULE.

Filing Arrangement: Group by the status of application, then alphabetically by tribe.

Official File: Record copy maintained at Central Office.

Disposition Instructions: Cut off at fiscal year end when final determination of application is made. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
3202-P5  
Indian Judgment Funds Claims Case Files

Contents: Records include tribal claims against the U.S. filed pursuant to the Indian Claims Commission Act. Documents include the effective Secretarial plan, legislation authorizing distribution of funds, socioeconomic reports resolutions/constitutions, Area Office recommendations, results of Bureau of Indian Affairs research report which identifies who will share in the award and transcript of hearing record. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence. **NOTE: IF TRUST RECORDS ARE RELATED, USE THE INDIAN FIDUCIARY FINANCIAL TRUST DECISION TREE AND RECORD SCHEDULE.**

Filing Arrangement: Arrange alphabetically by tribe.

Official File: Record copy maintained at Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when case is closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
INDIAN AFFAIRS RECORDS
SCHEDULE

3300 Series
EMPLOYMENT ASSISTANCE

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
3300-P5

Program Correspondence and Policy/Directives Files

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

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 Employment Assistance program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by subject.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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

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

Records include files created and related to the internal program policy, guidance and regulations of daily operations for the Employment Assistance 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 of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
**INDIAN AFFAIRS RECORDS SCHEDULE**

**SERIES: 3300**

**Employment Assistance**

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**3301-P5**

**Employment Assistance Case Files**

**NARA JOB #**

**N1-075-05-1**

**Approved**

3/31/2005

- **NARA JOB #**
  - Employment Assistance Case Files - Eligible

- **N1-075-05-1**
  - **Contents:** Records include information relating to an individual Indian given assistance for direct employment or adult vocational training. Includes application and financial assistance record, training objective, course, counsel and guidance service, housing, employment referral and placement record. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

- **Filing Arrangement:** Arrange by case number.

- **Official File:** Official record copy maintained at office of origin.

- **Disposition Instructions:** PERMANENT. Cut off at fiscal year end when eligible applicant case is completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

- **SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-23).**

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- **NARA JOB #**
  - Employment Assistance Case Files - Ineligible or Canceled

- **N1-075-05-1**
  - **Contents:** Records include on-site applications relating to an individual Indian requesting assistance for direct employment or adult vocational training that are determined ineligible or have been canceled. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

- **Filing Arrangement:** Arrange by case number.

- **Official File:** Official record copy maintained at office of origin.

- **Disposition Instructions:** PERMANENT. Cut off at fiscal year end in which applicant is determined ineligible to receive services or application has been canceled. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

- **SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-23).**
SERIES: 3300  

Employment Assistance  

3302-P5  

Employment Assistance Report Files  

NARA JOB #: N1-075-05-1  

Approved: 3/31/2005  

Contents: Records include consolidated annual narrative and statistical report showing: program plan, objective, activity and progress of the Bureau-wide program. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.  

Filing Arrangement: Arrange chronologically.  

Official File: Official record maintained by Central Office, Office of Economic Development.  

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Series: 3300  Employment Assistance

3303-P5  Client Register Log Files

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

Contents: Records include a list of clients by case number and fiscal year. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
3304-P5  Work Order Register Log Files

Contents: Records include a list of assigned work order number for client payments by fiscal year. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Job Placement/Training Information Collection Requirement (ICR) Regulation Files

Contents: Records include draft documents of revisions and approvals relating to ICR requirements and clearance of “Application for Training” or “Employment Assistance” form(s). Collection requirement in accordance with 25 CFR Part 26 – Employment assistance for adult Indians and 25 CFR Part 27 – Vocational training for adult Indians. Office work file is part of National Performance Review (NPR) requirement. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange appropriately.

Official File: Official ICR record is maintained by Central Office, Office of Management and Administration.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when process is completed and the Office of Management and Budget approves. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
**Program Correspondence and Policy/Directives Files**

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

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 Housing program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

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

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

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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

Records include files created and related to the internal program policy, guidance and regulations of daily operations for the Housing 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 of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
3401-P5 Home Improvement Program (HIP) Applicant Case Files

Contents: Records include tribal enrollment information; condition of existing housing, family size and composition, income, inability of applicant to secure housing from other sources, and evidence that applicant has not received HIP assistance after July 1, 1975. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange numerically by case number.

Official File: Record copy maintained by originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-10).
**Consolidated Home Improvement Program (HIP) Report Files**

**Contents:** Records include the consolidated annual periodic narrative and statistical report on the Bureau-wide Housing Improvement Program. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

**Filing Arrangement:** Arrange chronologically.

**Official File:** Record copy maintained by Central Office.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
INDIAN AFFAIRS RECORDS
SCHEDULE

3500 Series
LAW ENFORCEMENT
3500-P5  
**Program Correspondence and Policy/Directives Files**

**NARA JOB #** N1-075-05-4  
**Approved** 10/24/2005

**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 documentation of the activities which relate directly to the Law Enforcement program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

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

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

**Disposition Instructions:** PERMANENT. Cut off at calendar end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

**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 Law Enforcement 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 calendar year end when superceded or rescinded. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
3501-P5 | Law Enforcement Case Files

**Contents:** Records include case reports prepared by law enforcement officers involving cases such as murder, suicide, liquor violations, illegal drugs and related activities. Includes witness statements, statutes involved, place and nature of offense, evidence seized, photographs, and final disposition reports. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

**Filing Arrangement:** Arrange numerically by case number.

**Official File:** Action (originating/receiving) Office. Record copy retained in law enforcement office having jurisdiction and responsibility for investigation.

**Disposition Instructions:** PERMANENT. Cut off at calendar year end in which case is closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-18).**
SERIES: 3500

Law Enforcement

3502-P5 Tribal Law and Order Record Files

Contents: Records include tribal law and order codes, ordinances, and resolutions, requiring approval and/or review by the bureau. 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 tribe then numerically by law and order codes, ordinances, or resolutions.


Disposition Instructions: PERMANENT. Cut off at calendar year end in which codes, ordinances, and resolutions are rescinded or superseded. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
3503-P5  

Security Violation Files

Contents: Records include reports relating to investigations of alleged security violations including those of sufficiently serious nature to be classified as felonies. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange alphanumerically by case number.


Disposition Instructions: PERMANENT. Cut off at calendar year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
## INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES:** 3500  
**Law Enforcement**

### 3503a-P3
**Security Violations Files (of Sufficiently Serious Nature)**

**NARA JOB #** N1-075-05-4  
**Approved** 10/24/2005  
Refer to 3503-P5 Security Violation Files

### 3503b-T2
**Security Violations Files (Other Files)**

**NARA JOB #** N1-075-05-4  
**Approved** 10/24/2005  
Refer to 3503-P5 Security Violation Files

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**RESERVED**
3504-P5  Law and Order Report Files

NARA JOB # N1-075-05-4
Approved 10/24/2005

Contents: Records include periodic statistical and other reports by local agency Law Enforcement Offices to Central Office containing such information as number of Indian court civil and criminal cases; number and type of offenses, number arrested, convicted, and penalties imposed. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange chronologically by date then alphabetically by report name.


Disposition Instructions: PERMANENT. Cut off at calendar year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-18).
Indian Police Academy Student Case Files

Contents: Records include information on student application for admission into the academy, certificate of completion, transcript, and other related correspondence. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications and supporting documentation.

Filing Arrangement: Arrange alphabetically by student name or numerically by class number.


Disposition Instructions: PERMANENT. Cut off at calendar year end in which student completes training. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-18).
<table>
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<th>SERIES: 3500</th>
<th>Law Enforcement</th>
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### 3505a-P3
**Indian Police Academy Student Case Files (Paper Copies)**

NARA JOB # N1-075-05-4
Approved 10/24/2005

Refer to 3505-P5 Indian Police Academy Student Case Files

### 3505b-T0
**Indian Police Academy Student Case Files (Microfiche or other automated/machine readable copies)**

NARA JOB # N1-075-05-4
Approved 10/24/2005

Refer to 3505-P5 Indian Police Academy Student Case Files

**RESERVED**
3506-P5  Indian Police Academy Instructor Training Material Files

Contents: Records include lecture notes, outlines, and other materials used by police academy instructors for training purposes. 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 training class name or numerically by training class number.


Disposition Instructions: PERMANENT. Cut off at calendar year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-18).
Indian Police Academy Class Work Files

Contents: Records include class roster, reports on disciplinary actions, separation, awards, end of class reports, class photos, daily activity reports, medical/injury reports, and other related documents on classes at the Indian Police Academy. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications and supporting documentation.

Filing Arrangement: Arrange chronologically by date then numerically by class number.


Disposition Instructions: PERMANENT. Cut off at calendar year end in which class ends. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-18).
3508-P5 Indian Police Academy Administrative Investigation Files

Contents: Records include documents such as disciplinary actions, investigations on violations of academy rules/regulations and other related documents pertaining to students of the Indian Police Academy. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications and supporting documentation.

Filing Arrangement: Arrange alphabetically by student name.


Disposition Instructions: PERMANENT. Cut off at calendar year end in which investigation case file is closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-18).
Special Law Enforcement Commission Files

Contents: Records include appointments of Special Law Enforcement Commission to qualified full-time state, county, municipal and tribal law enforcement officers providing authority for the execution of law enforcement duties in Indian country. 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 name.


Disposition Instructions: PERMANENT. Cut off at calendar year end in which appointment expires. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-18).
3510-P5 Call Log Files

Contents: Records include logs or registers which detail incoming calls for law enforcement assistance. Include dispatch/radio calls made to law enforcement officers or other officials in response to calls. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange chronologically by date.


Disposition Instructions: PERMANENT. Cut off at calendar year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
3511-P5  Cross-Deputization Agreement Files

NARA JOB # N1-075-05-4
Approved 10/24/2005

Contents: Records include agreements between Bureau of Indian Affairs and a state and local law enforcement agency for the provision to deputize qualified full-time state, county, municipal, and tribal law enforcement officials to execute law enforcement duties in Indian country under federal jurisdiction. 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 law enforcement agency then alphabetically by name.


Disposition Instructions: PERMANENT. Cut off at calendar year end in which agreement expires. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
3512-P5 Juvenile Report Files

NARA JOB #: N1-075-05-4
Approved: 10/24/2005

Contents: Records include reports prepared by law enforcement involving a civil, criminal and child abuse cases (neglect, deprivation, molestation, and abandonment). Report includes witness statement, statute involved, place and nature of offense, seized evidence, photographs and final disposition. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange in alphabetical or numerical order according to juvenile report file.


Disposition Instructions: PERMANENT. Cut off at calendar year end in which case is closed or juvenile reaches the age of 18 years. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-18).
Adult Detention/Booking Inmate Case Files

Contents: Records include personal information such as: name, birth date, social security number, address, booking data with date/time, nature of offense, charge, location of arrest, booking and arresting officer's name, application for health care, medical questionnaire/clearance, suicide prevention screening, medication log, refusal of medical treatment, fingerprint card, photo (mug shot), state of intoxication (if applicable), inmate property inventory, orientation verification, length of stay, inmate worker application/contract/assignment, condition of confinement, inmate request for service, grievance, escape documentation, incident/disciplinary reports, criminal history, voluntary statements, date/time of release and condition of final release, release on personal recognizance agreement, cash amount removed at the time of booking, amount received during incarceration, and amount returned at the time of release, extradition, and inmate mail notification and disposition. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange in alphabetical or numerical order according to inmate case file.


Disposition Instructions: PERMANENT. Cut off at calendar year end in which case is closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-18).
3514-P5  Juvenile Detention/Booking Inmate Case Files

Contents: Records include printout reports from the Juvenile Incarceration Log that includes personal identification such as: name, birth date, social security number, address, name of parent(s) or guardian(s), booking data with date/time, nature of offense, charge, location of arrest, booking and arresting officer’s name, application for health care, medical questionnaire/clearance, suicide prevention screening, medication log, refusal of medical treatment, request for medical assistance, state of intoxication (if applicable), inmate property inventory, orientation verification, length of stay, conditions of confinement, inmate request for service, grievance, escape documentation, incident/disciplinary reports, media request and waiver, criminal history, voluntary statements, date/time of final release, condition of final release, cash amount removed at the time of booking, amount received during incarceration and amount returned at the time of release, extradition, and inmate mail notification or disposition. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange in alphabetical or numerical order according to juvenile case file.


Disposition Instructions: PERMANENT. Cut off at calendar year end in which juvenile reaches the age of 18 years old or deemed by court order. Maintain in office of record for a maximum of 5 years after cut off, and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-18).
3515-P5 Evidence Control Files

Contents: Records include information describing evidence that was logged and tagged prior to storage. Evidence is received during a booking or crime investigation or other events. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange according to document control number and date (case number is cross-referenced).


Disposition Instructions: PERMANENT. Cut off at calendar year end in which related case is closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
3516-P5 Administrative Detention Files

Contents: Records include monthly incarceration record and booking sheet, cell check log, temporary holding logs, inmate alpha roster, facility incident report such as assault, escape, suicide attempt, facility evacuation, theft, staff misconduct and any other incident that warrants a report. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange chronologically by date.


Disposition Instructions: PERMANENT. Cut off at calendar year end. Maintain in the office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
3517-P5 Crime Reporting Files

Contents: Records include printouts from the Indian Law Enforcement Information Network (INCLINE) system or the comparable National Incident Based Reporting System (NIBRS) that compiles and tracks law enforcement incident, annual crime and drug statistical reports. Printout reports are provided to the department’s Law Enforcement Reporting System. 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 tribe or agency location.


Disposition Instructions: PERMANENT. Cut off at calendar year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
SERIES: 3500  Law Enforcement

3518-P5  Internal Affairs Investigation Case Files

NARA JOB # N1-075-05-4  Approved 10/24/2005

Contents: Records include disciplinary actions, investigation on violations of Law Enforcement rules/regulations and other related documents pertaining to Law Enforcement employees. 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 employee name.


Disposition Instructions: PERMANENT. Cut off at calendar year end in which case is closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-18).
Volunteer/Service Provider Case Files

Contents: Records include volunteer or service provider application, background security checks, consent for release of employment records, educational records, personal history, disciplinary actions, investigation on violations of Law Enforcement rules/regulations and other related documents pertaining to the volunteer or service provider. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications and supporting documentation.

Filing Arrangement: Arrange alphabetically by volunteer or service provider's name.


Disposition Instructions: PERMANENT. Cut off at calendar year end in which case is closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-18).
Detention Program Activity Files

Contents: Records include activity schedules, curriculums, lesson plans, supply list, and information related to activities held at the detention center. 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 program activity.


Disposition Instructions: PERMANENT. Cut off at calendar year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
INDIAN AFFAIRS RECORDS
SCHEDULE

3600 Series
SOCIAL SERVICES

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
Program Correspondence and Policy/Directives Files

a. Program Correspondence Files – Official Files
Program correspondence files that are created; received and where action is taken; or have the primary responsibility for the documentation of the activities which relate directly to the Social Services program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by subject.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

b. Program Policy/Directives Master Set with Case History Files – Official Files
Files created and related to the internal program policy, guidance and regulations of daily operations for the Social Services program. Records consist of the preparation, review, documentation of decision related to policy development, regulation case history, public comment, proposed and final regulation, clearance, publication and final distribution of a directive in a manual, bulletin or handbook format outlining internal policy, procedure, organization, instruction and delegation of authority. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange alphabetically by subject then chronologically.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when superceded or rescinded. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
3601-P5  General Assistance Case Files

Contents: Records include names, family profiles, client/contact reports, budget forms, Certificate of Indian Blood, address and assurance of residence on or near a reservation, application for assistance, correspondence regarding eligibility for assistance and type of assistance given. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence. NOTE: IF RECORDS ARE TRUST RELATED, USE THE INDIAN FIDUCIARY FINANCIAL TRUST DECISION TREE AND RECORD SCHEDULE.

Filing Arrangement: Arrange numerically by case number.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end in which the case closes. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-8).
3602-P5 Child Assistance (Child Welfare) Case Files

Contents: Records include application for services, acceptance or rejection of application, notice of applicant, Certificate of Degree of Indian Blood, address or assurance of residence on or near a reservation, case plans, court order, and narrative entries of contacts with client. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence. NOTE: IF RECORDS ARE TRUST RELATED, USE THE INDIAN FIDUCIARY FINANCIAL TRUST DECISION TREE AND RECORD SCHEDULE.

Filing Arrangement: Arrange numerically by case number or alphabetically by name.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when case closes. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-8).
3603-P5  Indian Adoption Record Files

**NARA JOB #:** N1-075-05-1

**Approved:** 3/31/2005

**Contents:** Records include final adoption decrees; name and tribal affiliation of child; name and addresses of biological parents; identity of any agency having files or information relating to such adoptive placement; and any affidavits relating to the adoption. 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 individual.

**Official File:** Record copy maintained at originating office.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when adoption case is final. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-8).**
3604-P5  Social Services Report Files

Contents: Records include period or special reports on activities which reflect case load trends and track expenditures, analysis of funds, child abuse neglect report, monthly statistical reports, quarterly and annual reports, and annual quality control reviews. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence. Files include narrative and statistical reports.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-8).
3605-P5

Social Services Only (Non-Cash Assistance) Files

Contents: Records include family profile, client-contact reports, treatment/service plans, correspondence regarding eligibility for assistance and type of assistance given. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange numerically by case number or name.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-8).
3606-P5  
**Indian Child Welfare Act (ICWA) Review Files**

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

**Contents:** Records include documents relating to the approval of an Indian Child Welfare Act application and award of a grant. Include review forms, scoring and ranking/rating sheets, and correspondence. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

**Filing Arrangement:** Arrange by fiscal year.

**Official File:** Record copy maintained at originating office.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when application grant cycle is completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Regional Disbursement Office (RDO) Report Files

**Content:** Records include annual RDO report listing eligible clients to receive payment benefits. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

**NOTE:** IF RECORDS ARE TRUST RELATED, USE THE INDIAN FIDUCIARY FINANCIAL TRUST DECISION TREE AND RECORD SCHEDULE.

**Filing Arrangement:** Arrange appropriately.

**Official File:** Record copy maintained at originating office.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-8).**
3608-P5  
**Miscellaneous Assistance Case Files**

**NARA JOB #**: N1-075-05-1

**Approved**: 3/31/2005

**Content**: Records include documents relating to disaster assistance, emergency transportation which includes name, family profile, client/contract report, budget form, Certificate of Indian Blood (CIB), address and assurance of residence on or near the reservation, correspondence regarding eligibility for assistance and type of assistance provided. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence. **NOTE: IF RECORDS ARE TRUST RELATED, USE THE INDIAN FIDUCIARY FINANCIAL TRUST DECISION TREE AND RECORD SCHEDULE.**

**Filing Arrangement**: Arrange alphabetically.

**Official File**: Record copy maintained at originating office.

**Disposition Instructions**: PERMANENT. Cut off at fiscal year end when financial assistance is provided to client. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA- 8).**
3609-P5  
**Child Abuse and Neglect Report Files**

**Content:** Records include reports of abuse and neglect as required by Public Law 99-570 as amended. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

**Filing Arrangement:** Arrange appropriately.

**Official File:** Record copy maintained at originating office.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-8).**
<table>
<thead>
<tr>
<th>3610-P5</th>
<th>Social Services Invoice Payment Files</th>
</tr>
</thead>
<tbody>
<tr>
<td>NARA JOB #: N1-075-05-1</td>
<td></td>
</tr>
<tr>
<td>Approved 3/31/2005</td>
<td></td>
</tr>
</tbody>
</table>

**Content:** Records include report showing client name, address, vendor information for residential or other facilities and amount of funds approved for payment from the Regional Disbursement Office. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence. **NOTE:** IF RECORDS ARE TRUST RELATED, USE THE INDIAN FIDUCIARY FINANCIAL TRUST DECISION TREE AND RECORD SCHEDULE.

**Filing Arrangement:** Arrange alphabetically.

**Official File:** Record copy maintained at originating office.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA- 8).**
<table>
<thead>
<tr>
<th>NARA JOB #</th>
<th>Official File:</th>
<th>Disposition Instructions:</th>
<th>File Arrangement:</th>
</tr>
</thead>
<tbody>
<tr>
<td>N1-075-05-1</td>
<td>Record copy maintained at originating office.</td>
<td>PERMANENT. Cut off at fiscal year end when approved by OMB. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.</td>
<td>Arrange appropriately.</td>
</tr>
</tbody>
</table>

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-8).
3612-P5 Indian Child Welfare Act (ICWA) Grant Files

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

Contents: Records include official grant made to a tribe under the Child Welfare Act (ICWA), Public Law 95-608, 92 Statute 3075, 25 U.S.C. § 1901. Grant file includes application, correspondence, instrument award, special conditions, fiscal program review check list, adjustment notice, financial and narrative progress report, financial payment record monitoring report, Model Grant and Annual Funding Agreements, and modifications and/or amendments. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange numerically by grant number.

Official File: Record copy maintained by originating ISD office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when final payment is made and grant is officially closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Indian Child Welfare Inquiry Files

Contents: Records include requests received from state court or agencies and/or adoption agencies requesting information regarding tribal membership or possible tribal membership of a child(ren) or parent(s) to determine applicability of the ICWA, requests received and agency response. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange chronologically by date received.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-8).
3614-P5  Child Protective Services Files

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

**Content:** Records include child abuse reports, name of individuals involved, statement of nature, contact information, tribal affiliation/membership, and any documents supporting the allegation. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

**Filing Arrangement:** Arrange chronologically by date received.

**Official File:** Record copy maintained at originating office.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-8).**
**3615-P5**  
**Child Welfare Administrative Review Files**

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

**Content:** Records include correspondence related to client/provider appeals, copies of investigative reports, case narratives, court orders, and child/family identifying information. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

**Filing Arrangement:** Arrange by agency then in alphabetically by client’s name.

**Official File:** Record copy maintained at originating office.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end in which the administrative review is completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT – BIA-8.**
SERIES: 3600

Social Services

3616-P5 Alcohol and Substance Abuse Case Files

Contents: Records include documents relating to the identification of an individual with alcohol and/or substance abuse and treatment thereof. 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 individual.

Official File: Maintained by office of origin.

Disposition Instructions: PERMANENT. Cut off when treatment is refused or completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-57).
3617-P5  Alcohol and Substance Abuse Report Files

Contents: Records include printout of information and reports required by the alcohol and substance abuse program. 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 location.

Official File: Record copy maintained by Central Office.

Disposition Instructions: PERMANENT. Cut off at end of fiscal year. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-57).
INDIAN AFFAIRS RECORDS
SCHEDULE

3700 Series
TRIBAL GOVERNMENT

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
3700-P5

**Program Correspondence and Policy/Directives Files**

**NARA JOB #**
N1-075-05-1

**Approved**
3/31/2005

**Program Correspondence Files – Official Files**

Program correspondence files that are created; received and where action is taken; or have the primary responsibility for the documentation of the activities which relate directly to the Tribal Government program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

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

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

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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

Files created and related to the internal program policy, guidance and regulations of daily operations for the Tribal Government program. Records consist of the preparation, review, documentation of decision related to policy development, regulation case history, public comment, proposed and final regulation, clearance, publication and final distribution of a directive in a manual, bulletin or handbook format outlining internal policy, procedure, organization, instruction and delegation of authority. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

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

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

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when superceded or rescinded. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
### Tribal Customs and History Files

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

**Contents:** Records include studies and reports concerning tribal customs and history. 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 tribe then chronologically.

**Official File:** Record copy maintained at Agency or Region.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when study or report is issued. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
3702-P5 Tribal Corporate Charter and Constitution Files

Contents: Records include tribal corporate charter, constitutions, Indian Board of Indian Appeals (IBIA) decisions, amendments, election procedures, voting results, and petition for incorporation. 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 tribe.

Official File: Record copy maintained at Agency or Region.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when decision on incorporation is made. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
### 3703-P5  
**Tribal Council Minutes and Resolution Files**

**Contents:** Records include official record copy of tribal council meeting minutes and resolutions and council membership. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

**Filing Arrangement:** Arrange chronologically.

**Official File:** Record copy maintained at Agency or Region.

**Disposition Instructions:** **PERMANENT.** Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
3704-P5 Tribal Membership Rolls Files

Contents: Record include list of tribal members showing name, reservation, agency, sex, degree of blood, residence, allotment status, and general docket for tribal citizenship courts, births, marriage, per capita rolls, and death records. 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 tribe.

Official File: Record copy maintained at Agency or Region.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when tribal membership roll is complete. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-7).
3705-T3F Tribal Fund Ledgers

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

Refer to 3706-P5 – Tribal Budget and Allotment Files

RESERVED
3706-P5  

**Tribal Budget and Allotment Files**

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

**Contents:** Records include printouts of the status of tribal funds in the U.S. Treasury Federal Finance System (FFS) which give descriptions of the transactions, debits, credits, and current balances, annual estimates of income, and budgets prepared by the tribes and approved by the Area Director. 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 tribe.

**Official File:** Record copy maintained at Area.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
3707-P5  Tribal Attorney Contract Files

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

Contents: Records include approved contracts between attorneys and Indian tribes for general counsel, special counsel, or claims purposes. 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 attorney's name or numerically by contract number.

Official File: Record copy maintained by Agency or Region.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when contract expires. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
3708-P5  Trader License Files

Contents: Records include case files on individual traders, applications, bond forms, and copies of licenses. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange chronologically by case number or alphabetically.

Official File: Record copy maintained Agency.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when license expires. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-9).
Alaska Native Enrollment Case Files

Contents: Records include ancestry, vital information, eligibility criteria for Alaska Natives, and covers applicants who: reside in Alaska and claim residence; reside in Alaska and claim out-of-state residence; reside outside Alaska and claim residence, and reside outside of Alaska and claim out-of-state residence. Maintain files to allow updating of individual records with information such as appeal decisions, changes in residence, changes as a result of administrative finds, and to produce Certificates of Indian Blood (CIB). 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 individual.

Official File: Record copy maintained at Agency or Region.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when enrollment period is complete. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-7).
<table>
<thead>
<tr>
<th>Series: 3700</th>
<th>Tribal Government</th>
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</thead>
<tbody>
<tr>
<td><strong>3709a-P5</strong></td>
<td>Alaska Native Enrollment Files (Printout/paper copies of Master file used as record copies)</td>
</tr>
<tr>
<td>NARA JOB #</td>
<td>Refer to 3709-P5 Alaska Native Enrollment Case Files</td>
</tr>
<tr>
<td>N1-075-05-1</td>
<td><strong>3709b-T0</strong> Alaska Native Enrollment Files (Magnetic tape data)</td>
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<td>Approved</td>
<td>To Be Determined for Scheduling</td>
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<tr>
<td>3/31/2005</td>
<td><strong>3709c-T4</strong> Alaska Native Enrollment Files (Recovery tape used to show each transaction)</td>
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<tr>
<td>N1-075-05-1</td>
<td>Approved 3/31/2005</td>
</tr>
</tbody>
</table>

**RESERVED**
3710-P5  
**Navajo Membership Case Files**

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

**Contents:** Records include files pertaining to each Navajo Tribal member residing on the Navajo reservation, tribal enrollment information showing tribe, individual and family identification number; relation to family head; type of roll; area, agency, state, and reservation code; resident status; parent and tribe identification number; sex code; date of birth and death; Indian status code; blood degree; and name. 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 individual.

**Official File:** Record copy maintained by Regional Office.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end in which enrollment is updated. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-7).**
3710a-P5  Navajo Membership Files (Printout/paper copies of Master Files)
NARA JOB #  Refer to 3710-P5 Navajo Membership Case Files
N1-075-05-1
Approved
3/31/2005

3710b-T0  Navajo Membership Files (Magnetic tape master file data)
NARA JOB #  To Be Determined for Scheduling
N1-075-05-1
Approved
3/31/2005

3710c-T4  Navajo Membership Files (Recovery tape used to show each transaction)
NARA JOB #  To Be Determined for Scheduling
N1-075-05-1
Approved
3/31/2005

RESERVED
**Series:** 3700  
**Tribal Government**

<table>
<thead>
<tr>
<th>NARA JOB #</th>
<th>Contents: Records include distribution of monies to Indian tribes or descendants of Indian tribes. The files show judgment identification code; the dollar amount of each payment; individual name; sex; identification number; Social Security Number (SSN); address; enrollment date, date of birth (DOB), date of death (DOD), ancestor name and roll number; status code, and may include Indian blood quantum. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.</th>
</tr>
</thead>
<tbody>
<tr>
<td>N1-075-05-1</td>
<td><strong>Filing Arrangement:</strong> Arrange alphabetically by tribe or individual.</td>
</tr>
<tr>
<td>Approved 3/31/2005</td>
<td><strong>Official File:</strong> Record copy maintained at Agency or Region.</td>
</tr>
<tr>
<td></td>
<td><strong>Disposition Instructions:</strong> PERMANENT. Cut off at fiscal year end when enrollment period is complete. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.</td>
</tr>
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**Some records may be subject to the Privacy Act (BIA-7).**
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<tbody>
<tr>
<td>3711a-P5</td>
<td>Judgment Roll System Files (Printout/paper copies of final payment used as record copies)</td>
</tr>
<tr>
<td>NARA JOB #</td>
<td>Refer to 3711-P5 Judgment Roll Case Files</td>
</tr>
<tr>
<td>Approved</td>
<td>3/31/2005</td>
</tr>
<tr>
<td>3711b-T3</td>
<td>Judgment Roll System Files (Magnetic tape data produced for final payment)</td>
</tr>
<tr>
<td>NARA JOB #</td>
<td>To Be Determined for Scheduling</td>
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<tr>
<td>Approved</td>
<td>3/31/2005</td>
</tr>
<tr>
<td>3711c-T1</td>
<td>Judgment Roll System Files (Regional Disbursing Office tape)</td>
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<td>To Be Determined for Scheduling</td>
</tr>
<tr>
<td>Approved</td>
<td>3/31/2005</td>
</tr>
</tbody>
</table>

**RESERVED**
3712-P5  Per Capita Membership Case Files

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

**Contents:** Records include enrollment information showing tribal, individual, and family identification number; area, agency, state, and reservation code; resident status, allotment number, parent, and tribe identification numbers; sex code; date of birth and death; resolution data; Indian status code; blood degree; maiden name; and family history. 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 tribe or individual.

**Official File:** Record copy maintained at Agency or Region.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end in which membership is closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-7).**
<table>
<thead>
<tr>
<th>SERIES: 3700 Tribal Government</th>
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<tr>
<td><strong>3712a-P5</strong></td>
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<tr>
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<tr>
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</tr>
<tr>
<td>NARA JOB # N1-075-05-1 Approved 3/31/2005</td>
</tr>
</tbody>
</table>

RESERVED
3713-P5  Per Capita Payment Record Files

Contents: Records include annuity payrolls and other records reflecting the distribution of payment to members of Indian tribes, applications for payments, disbursement returns including ledger books, supporting vouchers, exhibits, schedules, changes of address, returned notices/mail when addressee has moved, and materials related to stop payments of checks issued and cancelled checks as appropriate. 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 individual.

Official File: Record copy maintained at Agency or Region.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when per capita payments are disbursed to tribal members. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-3).
### INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES: 3700**

#### Tribal Government

<table>
<thead>
<tr>
<th>NARA JOB #</th>
<th>Contents</th>
<th>Filing Arrangement</th>
<th>Official File</th>
<th>Disposition Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>3714-P5</strong></td>
<td><strong>Indian Court Record Case Files</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>a. Civil Case Files (New)</strong></td>
<td>Record includes individual case file involving civil litigation under 25 CFR § 13 – Tribal re-assumption of jurisdiction over child custody proceedings relating to divorce, guardianship, name change, marriage licenses issued and other related issues and information. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.</td>
<td>Arrange numerically by case number.</td>
<td>Record copy maintained at CFR Court having jurisdiction.</td>
<td>PERMANENT. Cut off at fiscal year end when case is closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.</td>
</tr>
<tr>
<td><strong>b. Criminal Case Files (New)</strong></td>
<td>Record includes criminal case file involving an individual of a misdemeanor offense committed under 25 CFR § 11 – Law and order on Indian Reservations. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.</td>
<td>Arrange numerically by case number.</td>
<td>Record copy maintained at CFR Court having jurisdiction.</td>
<td>PERMANENT. Cut off at fiscal year end when case is closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.</td>
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**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-18).**
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 3700 Tribal Government

(Continuation) Indian Court Record Case Files

NARA JOB # c. Juvenile Case Files (New)
N1-075-05-1 Contents: Records include case files involving minor in juvenile court under 25 CFR § 11 – Law and order on Indian Reservations. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.


OFFICIAL FILE: Record copy maintained at CFR Court having jurisdiction.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when case is closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-18).

NARA JOB # d. Appeal Case Files (New)
N1-075-05-1 Contents: Records include Court of Indian Appeals case filed under 25 CFR § 11 – Law and order on Indian Reservations, and appeal decision in a Court of Indian Offenses at Agencies within the jurisdiction of the Regional Office. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.


OFFICIAL FILE: Record copy maintained at CFR Court having jurisdiction.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when case is closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-18).
3715-P5 Enrollment Appeal Case Files

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

Contents: Record includes individual's appeal of a decision regarding denial of enrollment. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange numerically by case number.

Official File: Record copy maintained at Agency or Region.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when decision is rendered. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-7).
3716-P5 Blood Degree Appeal Case Files

Contents: Record includes individual’s appeal of a decision regarding blood degree or quantum. 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 individual.

Official File: Record copy maintained at Agency or Region.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when decision is rendered. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-7).
3717-P5  Judgment (Per Capita) Appeal Case Files

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

Contents: Record includes individual's appeal of a decision regarding a per capita distribution. 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 individual.

Official File: Record copy maintained at Agency or Region.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when decision is rendered. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-7).
SERIES: 3700 Tribal Government

3718-P5 Tribal Ordinance Files

### Contents:
Record includes Tribal Ordinances and related ordinance documents passed by tribal governing bodies. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

### Filing Arrangement:
Arrange numerically by ordinance number.

### Official File:
Record copy maintained at Agency or Region.

### Disposition Instructions:
**PERMANENT.** Cut off at fiscal year end when ordinance is superseded or cancelled. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Series: 3700  Tribal Government

3719-P5  Taxation Case Files

NARA Job #  Refer to 3718-P5 Tribal Ordinance Files
N1-075-05-1  Approved
3/31/2005

Reserved
SERIES:  3700

Tribal Government

3720-P5  Abuse Investigation Case Files

NARA JOB #  Refer to 3614-P5 Child Protective Services Files
N1-075-05-1
Approved
3/31/2005

RESERVED
3721-P5  Tribal Enrollment Applications

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

RESERVED
Enrollment Verification Case Files

Contents: Record includes material related to requests for and verification of tribal enrollment, membership, or blood quantum of individuals. Requests are generally for the purpose of verifying eligibility for a service/benefit or similar program. 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 individual.

Official File: Record copy maintained at Agency or Region.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-7).
3723-P5 Tribal Census Files

Contents: Record includes books, ledgers, and other material related to the historical records of individuals for tribal census information. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained at Agency or Region.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when census is complete. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-7).
3724-P5 Alaska Native Claims Settlement Act (Public Law 92-203) (ANCSA) Files

Contents: Record include Bureau's functions in carrying out its administrative and legal responsibilities for land benefit, land entitlement, protection of Native rights and determination of the Bureau's administrative land requirement from the public land surveyed under ANCSA. Includes studies, survey, investigation and other research project relating to the Bureau's responsibility to the Alaska Native under ANCSA. This series used only for functional areas not described in Parts 3725 through 3728. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange numerically by land tract number.

Official File: Record copy maintained at Alaska Regional Office (Juneau).

Disposition Instructions: PERMANENT. Cut off at fiscal year end when settlement or project is complete. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-7).
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES:  3700

Tribal Government

3725-P5  Alaska Native Claims Settlement Act (ANCSA) Enrollment Files

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

Contents: Record includes information pertaining to the Bureau's Alaska Native Enrollment requirement and documents used to establish eligibility for benefits under this Act. 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 individual.

Official File: Record copy maintained at Alaska Regional Office (Juneau).

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-7).
### Alaska Native Claims Settlement Act (ANCSA) Eligibility Determination for Land Benefits Files

**Contents:** Record includes documents created to carry out the Bureau's function to determine eligibility of ANCSA Village, Native Group, Primary Place of Residence, Cemetery Site and Historical Places, information printouts of site location and related transaction for land conveyance pursuant to this Act, field investigation report, finding of fact, certification, and any subsequent appeals. 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 village or native group.

**Official File:** Record copy maintained at Alaska Regional Office (Juneau).

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
3727-P5 Indian Judgment Fund Claims Case Files

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

Contents: Record includes documents on a tribal claim against the U.S. Government pursuant to the Indian Claims Commission Act, effective Secretarial plan, legislation that authorized distribution of funds, socio-economic report on tribe, tribal resolution and constitution, final report of BIA research identifying who will share in the award, and transcripts of hearing. 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 tribe or legislation name.

Official File: Record copy maintained at Agency or Region.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when plan/legislation is effective. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Indian Service Population and Labor Force Estimate Report Files

Contents: Record includes report showing estimated population and percentage employed per Tribe, Indian service area population, employment statistics, Indian Claims Commission (ICC) and US Court of Claims. 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 tribe.

Official File: Record copy maintained at by Central Office, Division of Tribal Services.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Series: 3700

3729-P5 Stock Ownership Purchase Files

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

Contents: Record includes stock purchases in various Indian associations by individuals, tribes, or other business entity. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange as alphabetically by individual or tribe.

Official File: Record copy maintained at Agency or Region.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
3730-P5  

Gaming Management Files

Contents: Records relating to the Bureau of Indian Affairs' approval of contracts between tribes and organizations for the management of gaming operations. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange numerically by contract number.

Official File: Record copy maintained at Agency or Region.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when contract is superseded or expires. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
3731-P5  Tribal Election Files

Contents: Record includes election procedures and voting results. 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.

Official File: Record copy maintained at Agency or Region.

Disposition Instructions: PERMANENT. Cut off at fiscal year end after election year. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
3732-P5 Tribal Enrollment Case Files

NARA JOB # a. Individual Case Files
N1-075-05-1 Approved 3/31/2005

Contents: Record includes correspondence related to the request, supportive documents such as a family tree chart, birth, marriage, or death records for an individual(s) and/or ancestors, and individual's Certificate of Degree of Indian Blood (CDIB). 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 individual's name.

Official File: Record copy maintained at Agency or Region.

Disposition Instructions: PERMANENT. Cut off at the close of the calendar year of issuance of CDIB. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-7).

NARA JOB # b. Adoptee Case Files
N1-075-05-1 Approved 3/31/2005

Contents: Record include confidential documents obtained from the state court or adoption agency providing birth parent names and other biological family history data, family tree chart, birth, marriage, or death records of biological family, and copy of individual's CDIB. 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 individual's name.

Official File: Record copy maintained at Agency or Region.

Disposition Instructions: PERMANENT. Cut off at the close of the calendar year of issuance of CDIB. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-7) and restricted under the Indian Child Welfare Act (ICWA).
(Continuation) Tribal Enrollment Case Files

c. Court and Adoption Agency Case Files

Contents: Record includes correspondence related to the request, family tree charts, birth, marriage, or death records for individuals and ancestors, may also contain confidential documents from the court or adoption agency identifying birth parent(s), and notification of non-identification of Indian ancestry. 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 individual's name.

Official File: Record copy maintained at Agency or Region.

Disposition Instructions: PERMANENT. Cut off at fiscal year end in which notification is issued. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-7) and restricted under the Indian Child Welfare Act (ICWA).
Indian Labor Force Report Files

Contents: Record includes labor market information on the Indian labor force collected from the tribes biennially pursuant to Public Law 102-477. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange chronologically; then alphabetically by tribe.

Official File: Record copy maintained at Agency or Region.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
INDIAN AFFAIRS RECORDS SCHEDULE

4200 Series

CREDIT

SUPERSEDES ALL PREVIOUSLY RELEASED RECORD SCHEDULES
Program Correspondence and Policy/Directives Files

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

a. Program Correspondence Files – Official Files

Program correspondence files that are created, received and where action is taken; or have the primary responsibility for the documentation of the activities which relate directly to the Credit program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by subject.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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

Files created and related to the internal program policy, guidance and regulations of daily operations for the Credit program. Records consist of the preparation, review, documentation of decision related to policy development, regulation case history, public comment, proposed and final regulation, clearance, publication and final distribution of a directive in a manual, bulletin or handbook format outlining internal policy, procedure, organization, instruction and delegation of authority. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange alphabetically by subject then chronologically.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when superceded or rescinded. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
4201-P5  Indian Business Development Grant (IBDG) Contract Files

NARA JOB # a. Indian Business Development Grant (IBDG) Contract Files - APPROVED
N1-075-05-1 Approved 3/31/2005

Contents: Record includes application, approval letter, agreement, legal organization documents, evidence of Indian ownership, pro forma financial statements, profit/loss statements, plan of operation, annual operating statements and balance sheets, and reports. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange by grant number.

Official File: Record copy maintained in office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when final payment is made and grant is officially closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

NARA JOB # b. Indian Business Development Grant (IBD) Contract Files – DISAPPROVED (Withdrawn, declined, or cancelled)
N1-075-05-1 Approved 3/31/2005

Contents: Record includes application, disapproval letter to include evidence of withdrawal, declination or cancellation, agreement, legal organization documents, evidence of Indian ownership, pro forma financial statements, profit/loss statements, plan of operation, annual operating statements, balance sheets, and reports. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange appropriately.

Official File: Record copy maintained in office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when notification of withdrawn, decline or cancellation is determined. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-11).
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<th>NARA JOB #</th>
<th>Indian Loan Files</th>
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<td>N1-075-05-1</td>
<td>Approved 3/31/2005</td>
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**a. Indian Revolving Loan Files – APPROVED**

**Contents:** Record includes application, approval letter, agreement, legal organization documents, evidence of Indian ownership, commercial credit reports, pro forma financial statements, profit/loss statements, plan of operation, annual operating statements and balance sheets, loan payment history, and reports. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

**Filing Arrangement:** Arrange by loan number.

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

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when loan is terminated or paid off. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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

**Contents:** Record includes application, disapproval letter to include evidence of withdrawal, declination or cancellation, agreement, legal organization documents, evidence of Indian ownership, commercial credit reports, pro forma financial statements, profit/loss statements, plan of operation, annual operating statements and balance sheets, loan payment history, and reports. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

**Filing Arrangement:** Arrange appropriately.

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

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when notification of withdrawal, decline or cancellation is determined. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-11).**
4204-T3F  Schedules of Credit Loan Payment Collection Files

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

RESERVED
SERIES: 4200

Credit

4205-T1 Credit Financing Reports - Working Papers

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

RESERVED
4206-P5  Credit Operations Report Files

Contents: Report includes reimbursable collections and summary of fiscal year transactions; annual credit report including profit/loss statements, reconciliation sheet, individual statements of loan delinquencies; and periodic narrative and statistical reports. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange chronologically by reporting fiscal year.

Official File: Record copy maintained in office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off, and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Credit Operations Audit Report Files

Contents: Record includes narrative reports on the status of re-lending program operations from monies borrowed from the revolving loan fund (25 C.F.R. 101) that include information on loan accounts receivable, loan delinquencies, and recommendations and/or corrective action. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained in office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
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| 4209-P3 | **Gaming Management Files** |
| NARA JOB # | Refer to 3730-P5 **Gaming Management Files** |
| N1-075-05-1 | |
| Approved | |
| 3/31/2005 | |

**RESERVED**
**INDIAN AFFAIRS RECORDS SCHEDULE**

**SERIES:** 4200  
**SUPERSEDES ALL PREVIOUSLY RELEASED RECORD SCHEDULES**

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<tr>
<th>NARA JOB #</th>
<th>Contents</th>
<th>Date Approved</th>
<th>Filing Arrangement</th>
<th>Official File</th>
<th>Disposition Instructions</th>
<th>Remarks</th>
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<tbody>
<tr>
<td>N1-075-05-1</td>
<td>Record includes management and technical assistance Grants approved under 25 CFR Part 101 – Loans to Indians from the Revolving Loan Fund and 25 CFR 286 – Indian Business Development Program. Records consist of application, letter or approval, agreement, legal organization documents, evidence of Indian ownership, pro forma financial statements, profit/loss statements, plan of operation, annual operating statements and balance sheets, and reports. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.</td>
<td>3/31/2005</td>
<td>Arrange by grant number.</td>
<td>Record copy maintained in office of origin.</td>
<td>PERMANENT</td>
<td>SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-11).</td>
</tr>
<tr>
<td>N1-075-05-1</td>
<td>Record includes management and technical assistance grants withdrawn, declined or cancelled under 25 CFR Part 101 – Loans to Indians from the Revolving Loan Fund and 25 CFR 286 – Indian Business Development Program, application, evidence of withdrawal, declination or cancellation, agreement, legal organization documents, evidence of Indian ownership, pro forma financial statements, profit/loss statements, plan of operation, annual operating statements and balance sheets, and reports. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.</td>
<td>3/31/2005</td>
<td>Arrange by grant number.</td>
<td>Record copy maintained in office of origin.</td>
<td>PERMANENT</td>
<td></td>
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**4210-P5 Individual/Tribal Management and Technical Assistance Grant Files**

- **NARA JOB # a.** Individual/Tribal Management and Technical Assistance Grant Files – APPROVED  
- **NARA JOB # b.** Individual/Tribal Management and Technical Assistance Grant Files – DISAPPROVED

**Disposal Instructions:**
- PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
4211-P5  Tribal Loan/Re-lending Program Loan Files

Contents: Record include Tribal Loan/Re-lending Programs files whereby the proceeds of these loans are used to re-pay a loan or loans made to tribes/tribal corporations/enterprises from the Loans to Indians from the Revolving Loan Fund (25 CFR 101). Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange numerically by case file number.

Official File: Record copy maintained in office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when loan is terminated or paid off. Maintain in office of record for a maximum of 5 years after cut off, and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-11).
4212-P5 Trust Mortgage Loan Files

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

Contents: Record includes approval of trust mortgage used to secure loan by individual, application, letter of approval, agreement, legal organization documents, evidence of Indian ownership, pro forma financial statements, profit/loss statements, plan of operation, annual operating statements and balance sheets, and reports. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange numerically by case file number.

Official File: Record copy maintained in office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when loan is terminated or paid off. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-11).
### Individual Indian/Tribal Economic Report Files

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

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

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

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

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
4214-P5  Outstanding Receivables (Due From Public) Files

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

Filing Arrangement: Arranged chronologically.

Official File: Record copy maintained in office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
4215-P5  
**Annual Credit and Finance Report Files**

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

**Filing Arrangement:** Arranged chronologically.

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

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-13).**
4216-P5  Loan Service Files

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

Contents: Record includes promissory notes and other loan documents, copies of receipts, amortization schedules, copies of demand letters, checks, and money orders. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence. NOTE: IF RECORDS ARE TRUST RELATED, USE THE INDIAN FIDUCIARY FINANCIAL TRUST DECISION TREE AND RECORD SCHEDULE.

Filing Arrangement: Arranged chronologically.

Official File: Record copy maintained in office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-13).
NARA JOB # N1-075-05-1
Approved 3/31/2005

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

Filing Arrangement: Arranged chronologically.

Official File: Record copy maintained in office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-13).
<table>
<thead>
<tr>
<th>Series: 4200 Credit</th>
<th></th>
</tr>
</thead>
</table>

**4218-P5 Indian Loan Guaranty Files**

**NARA JOB # a. Indian Loan Guaranty Files - APPROVED**
**Contents:** Record includes Loan Guaranty or Insured loans to Indian organizations, groups, or individuals, application, approval letter, agreement, legal organization documents, evidence of Indian ownership, commercial credit reports, pro forma financial statements, profit/loss statements, plan of operation, annual operating statements and balance sheets, loan payment history, and reports. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence. **NOTE:** IF RECORDS ARE TRUST RELATED, USE THE INDIAN FIDUCIARY FINANCIAL TRUST DECISION TREE AND RECORD SCHEDULE.

**Filing Arrangement:** Arrange numerically by loan number.

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

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when loan is terminated or paid off. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

<table>
<thead>
<tr>
<th>NARA JOB # N1-075-05-1</th>
<th>Approved 3/31/2005</th>
</tr>
</thead>
</table>

**b. Indian Loan Guaranty Files - DISAPPROVED**

**Contents:** Record includes Loan Guaranty or Insured loans to Indian organizations, groups, or individuals, application, evidence of withdrawal, declination or cancellation, agreement, legal organization documents, evidence of Indian ownership, commercial credit reports, pro forma financial statements, profit/loss statements, plan of operation, annual operating statements and balance sheets, loan payment history, and reports. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence. **NOTE:** IF RECORDS ARE TRUST RELATED, USE THE INDIAN FIDUCIARY FINANCIAL TRUST DECISION TREE AND RECORD SCHEDULE.

**Filing Arrangement:** Arrange numerically by loan number.

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

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when notification of disapproval is determined. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-11).**
4219-P5

Credit Program Evaluation Report Files

NARA JOB #: N1-075-05-1

Approved: 3/31/2005

Contents: Record includes narrative reports on the status of re-lending program operations from monies borrowed from the revolving loan fund (25 C.F.R. 101) that include information on loan accounts receivable, loan delinquencies, recommendations and/or corrective action. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange chronologically.

Official File: Record copy maintained in office of origin.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
INDIAN AFFAIRS RECORDS
SCHEDULE

4300 Series
ENVIRONMENTAL QUALITY SERVICES

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
TR-4300-P5  Program Correspondence and Policy/Directives Files

NARA JOB #  N1-075-06-7  Approved  3/23/2006

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 Environmental Quality Services program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by subject.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between United States Department of Interior and the National Archives and Records Administration.

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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 Environmental Quality Services 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 of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between United States Department of Interior and the National Archives and Records Administration.
<table>
<thead>
<tr>
<th>NARA JOB #</th>
<th>Contents</th>
<th>Filing Arrangement:</th>
<th>Official File:</th>
<th>Disposition:</th>
</tr>
</thead>
<tbody>
<tr>
<td>N1-075-04-1</td>
<td>Include, but not limited to, the following records: studies and surveys of the impact of projects and activities affecting the quality of human environment generally associated with proposals to change environment; printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.</td>
<td>Chronological by statement fiscal year</td>
<td>Action (originating and/or receiving) Office</td>
<td>PERMANENT. Cut off at fiscal year end when statement is completed. Maintain in office of record for a maximum of 5 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.</td>
</tr>
</tbody>
</table>
**TR-4302-P5 Environmental Control Files**

**NARA JOB #:** N1-075-04-1  
**Approved:** 11/21/2003

**Contents:** Include, but not limited to, the following records used to evaluate projects affecting environment (i.e., air, water, land, etc.):
- scope of work
- budget
- studies
- surveys
- tests
- assessments
- filed notes
- audits
- analyses
- statements
- evaluations
- consultations
- results
- reports
- land resource modification
- printouts of electronic mail
- documents created through word processing and spreadsheet software applications
- supporting documentation
- and related correspondence.

**Filing Arrangement:** Chronological by study fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** PERMANENT. Cut off at fiscal year end when study is completed. Maintain in office of record for a maximum of 5 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.
TR-4303-P5  Cultural Resources Site Study

NARA JOB # N1-075-04-1
Approved 11/21/2003

Contents: Include, but not limited to, the following records: scope of work; budget; archaeological studies; surveys; tests; assessments; field notes; audits; analyses; statements; evaluations; results; cultural resources survey report; consultations with state officers, advisory councils, and tribes; documents specifying bureau actions required to comply with the National Historic Preservation Act; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological by study fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end when study is completed. Maintain in office of record for a maximum of 5 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.
<table>
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<tr>
<th>NARA JOB # N1-075-04-1 Approved 11/21/2003</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Contents:</strong> Include, but not limited to, the following records that provide information on an assessment and whether or not designation of a location as a hazardous waste site is determined: scope of work, budget, studies, surveys, tests, EPA assessments, field notes, audits, analyses, statements, evaluations, consultations, results, reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.</td>
</tr>
<tr>
<td><strong>Filing Arrangement:</strong> Chronological by survey fiscal year</td>
</tr>
<tr>
<td><strong>Official File:</strong> Action (originating and/or receiving) Office</td>
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<tr>
<td><strong>Disposition:</strong> PERMANENT. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 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.</td>
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<td>NARA JOB #</td>
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<tr>
<td>Approved</td>
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<td>11/21/2003</td>
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</tbody>
</table>

**Hazardous Substance Project**

**Contents:** Include, but not limited to, the following records relating to the identification and/or removal of hazardous substances (other than hazardous waste materials identified through the EPA assessment procedures): scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, follow-up activities and/or reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by project fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** PERMANENT. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 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.
TR-4306-P5  Water Sampling Test

NARA JOB # N1-075-04-1
Approved 11/21/2003

Contents: Include, but not limited to, the following water sampling records used to test water safety: documentation as a result of materials used to test water supplies for determining safety levels of chemicals and/or compounds in accordance with the Safe Water Drinking Act, scope of work, budget, studies, surveys, assessments, field notes, audits, analyses, statements, evaluations, consultations, reports, tests and results of water supplies, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by project fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end when safety level has been determined. Maintain in office of record for a maximum of 5 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.
TR-4307-P5 Soil Testing

NARA JOB # N1-075-04-1 Approved 11/21/2003

Contents: Include, but not limited to, the following soil testing records used to test soil safety levels: documentation as a result of materials used to test soil samples for determining safety levels of chemicals and/or compounds, scope of work, budget, studies, surveys, assessments, field notes, audits, analyses, statements, evaluations, consultations, reports, tests and results, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by project fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end when safety level has been determined. Maintain in office of record for a maximum of 5 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.
TR-4308-P5 Engineering and/or Construction Testing

NARA JOB # N1-075-04-1
Approved 11/21/2003

Contents: Include, but not limited to, the following testing records used to determine adequacy of materials (concrete, gravel, etc.) used in the engineering and/or construction projects: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by project fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end when adequacy has been determined. Maintain in office of record for a maximum of 5 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.
4309  Safe Water Drinking Act

NARA JOB #  Refer to TR-4306-P5 – Water Sampling Test
N1-075-04-1
Approved
11/21/2003

RESERVED
TR-4310a-P5  Comprehensive Environmental Response, Compensation, and Recovery Act (CERCLA) Program File

NARA JOB # N1-075-04-1
Approved 11/21/2003

Contents: Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; results; reports; hazardous substance release; response; determination of liability, compensation, and recovery; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological by program fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.

TR-4310b-P5  Comprehensive Environmental Response, Compensation, and Recovery Act (CERCLA) Project File

NARA JOB # N1-075-04-1
Approved 11/21/2003

Contents: Include, but not limited to, the following records: scope of work; budget; studies; surveys; tests; assessments; field notes; audits; analyses; statements; evaluations; consultations; results; reports; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological by project fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 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.
NARA JOB # N1-075-04-1  
Approved 11/21/2003

**Contents:** Include, but not limited to, the following records: field notes, final environmental audit reports, corrective action plans, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by audit report

**Official File:** Action (originating and/or receiving) Office

**Disposition:** PERMANENT. Cut off at fiscal year end when corrective actions are accomplished. Maintain in office of record for a maximum of 5 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.
TR-4312a-P5  Environmental Compliance Program File

NARA JOB # N1-075-04-1 Approved 11/21/2003

Contents: Include, but not limited to, the following Resource Conservation and Recovery Act (RCRA) project records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses for program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological by program fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.

TR-4312b-P5  Environmental Compliance Project File

NARA JOB # N1-075-04-1 Approved 11/21/2003

Contents: Include, but not limited to, the following Resource Conservation and Recovery Act (RCRA) project records: scope of work; budget; studies; surveys; tests; assessments; field notes; audits; analyses; statements; evaluations; consultations; reports; results for projects concerning lead based paint, asbestos, underground storage tanks, animal waste, etc.; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological by project fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 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.
TR-4313-P5 Environmental Site Assessment

NARA JOB # Contents: Include, but not limited to, the following assessment records used to detect environment liabilities on properties proposed for fee-to-trust transfer: studies, surveys, tests, site assessments, field notes, analyses, results, reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by assessment fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end when assessment is completed. Maintain in office of record for a maximum of 5 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.
### National Environmental Policy Act Program File

**NARA JOB #: N1-075-04-1**

**Approved: 11/21/2003**

**Contents:** Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

**Filing Arrangement:** Chronological by program fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** PERMANENT. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.

### National Environmental Policy Act Project File

**NARA JOB #: N1-075-04-1**

**Approved: 11/21/2003**

**Contents:** Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, statements, evaluations, consultations, results, reports, Proposed Project Impact Analysis, Administrative Record for compliance with NEPA, NEPA Compliance, Categorical Exclusion checklist, Environmental Assessment, Finding of No Significant Impact, Environmental Impact Statement, Record of Decision, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by project fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** PERMANENT. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 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.
TR-4315a-P5  Resource Conservation and Recovery Act Program File

NARA JOB # N1-075-04-1  Approved 11/21/2003

Contents: Include, but not limited to, the following Resource Conservation and Recovery Act records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological by program fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.

TR-4315b-P5  Resource Conservation and Recovery Act Project File

NARA JOB # N1-075-04-1  Approved 11/21/2003

Contents: Include, but not limited to, the following Resource Conservation and Recovery Act records: scope of work; budget; data; studies; surveys; tests; assessments; field notes; audits; analyses; statements; evaluations; consultations; reports; results for projects concerning solid waste management, landfill operation, open dump closures, etc.; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological by project fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 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.
INDIAN AFFAIRS RECORDS

SCHEDULE

4400 Series

FORESTRY and FIRE
<table>
<thead>
<tr>
<th>TR-4400-P5</th>
<th>Program Correspondence and Policy/Directives Files</th>
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<tr>
<td><strong>NARA JOB #.</strong></td>
<td>N1-075-06-7</td>
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<td>3/23/2006</td>
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<td><strong>a. Program Correspondence Files – Official Files</strong></td>
<td>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 Forestry and Fire program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.</td>
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<td><strong>Disposition Instructions:</strong></td>
<td>PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between United States Department of Interior and the National Archives and Records Administration.</td>
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<td><strong>Records include files created and related to the internal program policy, guidance and regulations of daily operations for the Forestry and Fire program.</strong></td>
<td>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.</td>
</tr>
<tr>
<td><strong>Filing Arrangement:</strong></td>
<td>Arrange alphabetically by subject then chronologically.</td>
</tr>
<tr>
<td><strong>Official File:</strong></td>
<td>Office(s) with primary responsibility.</td>
</tr>
<tr>
<td><strong>Disposition Instructions:</strong></td>
<td>PERMANENT. Cut off at fiscal year end when superseded or rescinded. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between United States Department of Interior and the National Archives and Records Administration.</td>
</tr>
</tbody>
</table>
TR-4401-P5  Forestry Management Plans

NARA JOB # N1-075-04-2 Approved 11/21/2003

Contents: Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, reports, conservation and utilization plans showing volume of timber growth and growth potential under different forms of management, NEPA documentation, allowable annual cut under sustained yield management, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by planning fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end of planning period. Maintain in office of record for a maximum of 5 years after cut off or until no longer needed; 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.
TR-4402-P5  
**Timber Sales**

**NARA JOB #**

**N1-075-04-2**  
**Approved 11/21/2003**

**Content:** Include, but not limited to, the following records:

- **Pre-award:** bidders listing/abstract, abstracted history of cutting, approved forest officer report, environmental assessment (EA), finding of no significant impact (FONSI), biological assessment (BA), archaeology and cultural surveys, endangered and threatened surveys/data, wetland surveys and reconnaissnace, timber cruise data and reports, allottee power of attorney, tribal resolutions, timber appraisal, logging road engineering data and reports, layout and design, fee property road access agreements, advertisement and affidavit, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

- **Decision:** contract, modification(s), printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

- **Post-award:** quarter/period stumpage re-adjustments or re-appraisals, log market appraisals, log valued reports, performance bond documents, inspection reports, ten-day timber scale report(s), consolidated scale reports, monthly check accuracy report(s), sale certificates, scale tickets, check scaling, waste scaling, statement of completion, sale certificates, scale tickets, log scale sheets, check scaling, waste scaling, data collection of wood analysis, footage cut, statement of completion, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

- **Accounting:** requests for check to pay stumpage, timber sale ledgers, transaction forms (work tickets), bill of collections, journal vouchers, check copies, public vouchers for refund, profit and loss statements, balance sheets, detailed operating statements, public vouchers, monthly spreadsheets, inventory lists, DAM’s non-trust deposits, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Numerical by contract

**Official File:** Action (originating and/or receiving) Office

**Disposition:** PERMANENT. Cut off at fiscal year end of contract completion, cancellation, or termination. Maintain in office of record for a maximum of 5 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.**
<table>
<thead>
<tr>
<th>4403</th>
<th>Timber Sales Data Files</th>
</tr>
</thead>
<tbody>
<tr>
<td>NARA JOB #</td>
<td>Refer to TR-4402-P5 – Timber Sales</td>
</tr>
<tr>
<td>N1-075-04-2</td>
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<td>Approved</td>
<td></td>
</tr>
<tr>
<td>11/21/2003</td>
<td></td>
</tr>
<tr>
<td>Series</td>
<td>Description</td>
</tr>
<tr>
<td>--------</td>
<td>----------------------</td>
</tr>
<tr>
<td>4404</td>
<td>Timber Sale Ledgers</td>
</tr>
</tbody>
</table>

Refer to TR-4402-P5 – Timber Sales
TR-4405-P5  Monthly Timber Cut Reports (Other than Individual Timber Sales or Permits)

NARA JOB # N1-075-04-2
Approved 11/21/2003

Contents: Include, but not limited to, the following records: consolidated scale reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by reporting fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. 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.
TR-4406-P5 Cutting Permits

Contents: Include, but not limited to, the following records:

Pre-decision: advertisement, bid proposals, bid list/abstract of bids, bond authority to grant privileges on allotted land, authority document for restricted land or land without secure clear legal title, statements of completion, approval officer's reports, Environmental Assessment (EA), Notice of Availability, Finding of No Significant Impact (FONSI), Biological Assessment (BA), layouts and designs, logging plan and designs, performance bond documents, fee property road access agreements, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Decision: permit, modifications, statement and certificate of award, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Post Decision: data collection of wood analysis, footage cut, log scale sheets, log value reports, log market appraisals, ten-day timber scale report(s), consolidated scale reports, monthly check accuracy report(s), operation reports, inspection reports, specific data and resulting reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Accounting: ledger sheets, profit and loss statements, balance sheets, detailed operating statements, inventory lists, requests for check to pay stumpage, monthly spreadsheets, payment receipts, public refund voucher, county treasurer deposits/receipts, historical transactions listings, journal vouchers, bill of collections, intra-bureau transaction forms, transmittal forms (work tickets), DAM non-trust deposits, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Numerical by permit

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end when permit is cancelled, expired, or revoked. Maintain in office of record for a maximum of 5 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
4407  Timber Cutting Permits

NARA JOB #  Refer to TR-4406-P5 – Cutting Permits
N1-075-04-2
Approved
11/21/2003

RESERVED
TR-4408-P5 Log Scale Sheets (Other than Individual Timber Sales or Permits)

Contents: Include, but not limited to, the following records: log scale sheets, log value reports, log market appraisals, requests for check to pay stumpage, accounting monthly spreadsheets, supporting documentation, and related correspondence.

Filing Arrangement: Numerical by logging unit

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end when logging unit is completed. Maintain in office of record for a maximum of 5 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.
<table>
<thead>
<tr>
<th>TR-4409-P5</th>
<th>Forestry Scale Report (Other than Individual Timber Sales or Permits)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NARA JOB #</strong></td>
<td><strong>Contents:</strong> Include, but not limited to, the following records: ten-day timber scale report(s), monthly check accuracy report, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.</td>
</tr>
<tr>
<td><strong>N1-075-04-2</strong></td>
<td><strong>Filing Arrangement:</strong> Chronological by reporting fiscal year</td>
</tr>
<tr>
<td><strong>Approved 11/21/2003</strong></td>
<td><strong>Official File:</strong> Action (originating and/or receiving) Office</td>
</tr>
<tr>
<td><strong>Disposition:</strong> PERMANENT. Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. 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.</td>
<td></td>
</tr>
<tr>
<td>TR-4410-P5</td>
<td>Forestry Check Scale Report (Other than Individual Timber Sales or Permits)</td>
</tr>
<tr>
<td>------------</td>
<td>--------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>NARA JOB # N1-075-04-2 Approved 11/21/2003</td>
<td>Contents: Include, but not limited to, the following records: monthly reports that check log scales and verify their accuracy, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.</td>
</tr>
<tr>
<td></td>
<td>Filing Arrangement: Chronological by reporting fiscal year</td>
</tr>
<tr>
<td></td>
<td>Official File: Action (originating and/or receiving) Office</td>
</tr>
<tr>
<td></td>
<td>Disposition: PERMANENT. Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. 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.</td>
</tr>
</tbody>
</table>
4411  Analysis of Obligations Report

NARA JOB #  Refer to TR-4413P5 – Financial Statements (Indian-owned Operations)
N1-075-04-2
Approved
11/21/2003

RESERVED
<table>
<thead>
<tr>
<th>Series</th>
<th>Description</th>
<th>Notes</th>
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</thead>
<tbody>
<tr>
<td>4412</td>
<td>Forestry Working Papers</td>
<td>Refer to related TR-4400 Series</td>
</tr>
</tbody>
</table>

NARA JOB # N1-075-04-2
Approved 11/21/2003

RESERVED
TR-4413-P5  Financial Statements (Indian-owned Operations)

NARA JOB # N1-075-04-2
Approved 11/21/2003

Contents: Include, but not limited to, the following records: ledger sheets; profit and loss statements; balance sheets; detailed operating statements; inventory lists; data collection of wood analysis, footage cut, market price, and other data; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Numerical by contract/lease

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end of financial statement period. Maintain in office of record for a maximum of 5 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
<table>
<thead>
<tr>
<th>4414</th>
<th>Financial Statements of Indian Lumber Companies</th>
</tr>
</thead>
</table>

NARA JOB # N1-075-04-2
Approved 11/21/2003

Refer to TR-4413-P5 – Financial Statements (Indian-owned Operations)

**RESERVED**
<table>
<thead>
<tr>
<th>TR-4415-P5</th>
<th>Forestry Manuscript of Annotated Maps</th>
</tr>
</thead>
<tbody>
<tr>
<td>NARA JOB # N1-075-04-2</td>
<td>Contents: Include, but not limited to, the following records: original maps showing reservation forest area, copies of allotment plat books for Indian lands, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence</td>
</tr>
<tr>
<td>Approved 11/21/2003</td>
<td>Filing Arrangement: Geographical by reservation</td>
</tr>
<tr>
<td></td>
<td>Official File: Action (originating and/or receiving) Office</td>
</tr>
<tr>
<td></td>
<td>Disposition: PERMANENT. Cut off at fiscal year end when superseded or obsolete. Maintain in office of record for a maximum of 5 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.</td>
</tr>
</tbody>
</table>
TR-4416-P5  Fire Management Plans and Agreements

NARA JOB # N1-075-04-2
Approved 11/21/2003

Contents: Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, reports, burn plan, fire control procedures, Normal Fire Year Plan (NFYP), Fire Planning Analysis records, NEPA documents, Cultural and ESA compliance documentation, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by planning fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end of planning period. Maintain in office of record for a maximum of 5 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.
TR-4417-P5  Individual Fire Reports

NARA JOB # N1-075-04-2  Approved 11/21/2003

Contents: Include, but not limited to, the following records: reports on individual fires, fire dispatch logs, weather reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by reporting fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. 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.
TR-4418-P5  Annual Forestry Reports

NARA JOB #  Contents: Include, but not limited to, the following records: summary reports prepared by Agencies and Regional Offices for N1-075-04-2 submission to Central Office, annual accumulative report prepared by Central Office, printouts of electronic mail, documents created 11/21/2003 through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by reporting year

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. 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.
4419  Annual Area Forestry Report – CO/AO Copy

NARA JOB #  Refer to TR-4418-P5 – Annual Forestry Reports
N1-075-04-2
Approved
11/21/2003

RESERVED
TR-4420-P5

Timber Trespass

Contents: Include, but not limited to, the following records: litigation documents concerning actions resulting from inadvertent or illegal removal of timber from Indian land, tender payment of trespass obligations, receipt of payment, claims, claim resolution(s), reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Numerical by tract

Official File: Action (originating/receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end when action is completed. Maintain files in office of record for a maximum of five (5) 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
TR-4421-P5  Fire Trespass

NARA JOB # N1-075-04-2
Approved 11/21/2003

Contents: Include, but not limited to, the following records: litigation documents concerning damage or destruction by fire to Indian-owned resources, tender payment of trespass obligations, receipt of payment, claims, claim resolution(s), reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Numerical by tract

Official File: Action (originating/receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end when action is completed. Maintain files in office of record for a maximum of five (5) 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
TR-4422-P5  Cumulative Forestry Comparative Statements

Contents: Include, but not limited to, the following records: expenditure and deduction, transaction records providing current and accumulated totals, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by statement fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end when statement is completed. Maintain in office of record for a maximum of 5 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.
TR-4423-P5  Timber Marketing

NARA JOB #
N1-075-04-2
Approved
11/21/2003

Contents: Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, plans, marketing indexes, industry trend reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by marketing fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: PERMANENT. Cut off at fiscal year end of marketing period. Maintain in office of record for a maximum of 5 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.
TR-4424-P5  Fire Fighter Management

Contents: Include, but not limited to, the following records:

Fire Fighter Qualifications: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, consultations, results, reports, individual fire fighter physical examination, training, experience history, fire fighting history, performance evaluation and reviews, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Administrative Determined (AD) Hires and Payment Teams: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, reports, requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by fire fighting season

Official File: Action (originating/receiving) Office

Disposition: Permanent. Cut off at fiscal year end of fire fighting season. Maintain in office of record for a maximum of 5 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
TR-4425-P5  Fire Dispatch Logs

Contents: Include, but not limited to, the following records: fire dispatch logs reporting notification of fire location and reported time to include fire name, Tribe or organization affected; invoice copies; maps; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological by fire dispatch date

Official File: Action (originating/receiving) Office

Disposition: Permanent. Cut off at fiscal year end of fire fighting season. Maintain in office of record for a maximum of 5 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.
<table>
<thead>
<tr>
<th>Document Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>TR-4426a-P5</strong></td>
<td><strong>Fire Facility Construction Program File</strong></td>
</tr>
<tr>
<td><strong>NARA JOB #</strong></td>
<td><strong>Contents:</strong> Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.</td>
</tr>
<tr>
<td><strong>Approved 11/21/2003</strong></td>
<td><strong>Filing Arrangement:</strong> Chronological by program fiscal year</td>
</tr>
<tr>
<td><strong>Official File:</strong></td>
<td><strong>Action (originating and/or receiving) Office</strong></td>
</tr>
<tr>
<td><strong>Disposition:</strong></td>
<td><strong>Permanent.</strong> Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.</td>
</tr>
</tbody>
</table>

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<thead>
<tr>
<th>Document Type</th>
<th>Description</th>
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<tbody>
<tr>
<td><strong>TR-4426b-P5</strong></td>
<td><strong>Fire Facility Construction Project File</strong></td>
</tr>
<tr>
<td><strong>NARA JOB #</strong></td>
<td><strong>Contents:</strong> Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, analyses, evaluations, results, reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.</td>
</tr>
<tr>
<td><strong>Approved 11/21/2003</strong></td>
<td><strong>Filing Arrangement:</strong> Chronological by project fiscal year</td>
</tr>
<tr>
<td><strong>Official File:</strong></td>
<td><strong>Action (originating and/or receiving) Office</strong></td>
</tr>
<tr>
<td><strong>Disposition:</strong></td>
<td><strong>Permanent.</strong> Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 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.</td>
</tr>
<tr>
<td>TR-4427a-P5</td>
<td>Interagency Dispatch Operations Program File</td>
</tr>
<tr>
<td>-------------</td>
<td>---------------------------------------------</td>
</tr>
<tr>
<td><strong>NARA JOB #</strong></td>
<td>Contents: Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.</td>
</tr>
<tr>
<td>N1-075-04-2</td>
<td>Filing Arrangement: Chronological by program fiscal year</td>
</tr>
<tr>
<td><strong>Approved</strong></td>
<td>Official File: Action (originating and/or receiving) Office</td>
</tr>
<tr>
<td>11/21/2003</td>
<td>Disposition: Permanent. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>TR-4427b-P5</th>
<th>Interagency Dispatch Operations Project File</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NARA JOB #</strong></td>
<td>Contents: Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.</td>
</tr>
<tr>
<td>N1-075-04-2</td>
<td>Filing Arrangement: Chronological by project fiscal year</td>
</tr>
<tr>
<td><strong>Approved</strong></td>
<td>Official File: Action (originating and/or receiving) Office</td>
</tr>
<tr>
<td>11/21/2003</td>
<td>Disposition: Permanent. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 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.</td>
</tr>
</tbody>
</table>
TR-4428a-P5  Fire Equipment Program File

NARA JOB #  N1-075-04-2
Approved  11/21/2003

Contents: Include, but not limited to, the following records: scope of work; budget; studies; surveys; tests; assessments; field notes; audits; analyses; statements; evaluations; consultations; results; reports; requests and responses for program information from tribes, states, central office, other entities, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement:  Chronological by program fiscal year

Official File:  Action (originating and/or receiving) Office

Disposition:  Permanent.  Cut off at fiscal year end when program initiative is completed or terminated.  Maintain in office of record for a maximum of 5 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.

TR-4428b-P5  Fire Equipment Project File

NARA JOB #  N1-075-04-2
Approved  11/21/2003

Contents: Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement:  Chronological by project fiscal year

Official File:  Action (originating and/or receiving) Office

Disposition:  Permanent.  Cut off at fiscal year end when project is completed or terminated.  Maintain in office of record for a maximum of 5 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.
<table>
<thead>
<tr>
<th>TR-4429a-P5</th>
<th><strong>Rural Fire Assistance Program File</strong></th>
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<tbody>
<tr>
<td><strong>NARA JOB #</strong></td>
<td>N1-075-04-2</td>
</tr>
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<td><strong>Approved</strong></td>
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<td>Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.</td>
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<td><strong>Filing Arrangement:</strong></td>
<td>Chronological by program fiscal year</td>
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<td><strong>Official File:</strong></td>
<td>Action (originating and/or receiving) Office</td>
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<td><strong>Disposition:</strong></td>
<td>Permanent. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.</td>
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<tr>
<th>TR-4429b-P5</th>
<th><strong>Rural Fire Assistance Project File</strong></th>
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<td><strong>Filing Arrangement:</strong></td>
<td>Chronological by project fiscal year</td>
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<td><strong>Disposition:</strong></td>
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INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 4400  Forestry & Fire

TR-4430a-P5  Wildland Fire Preparedness Program File

NARA JOB # N1-075-04-2
Approved 11/21/2003

Contents: Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological program fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: Permanent. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.

TR-4430b-P5  Wildland Fire Preparedness Project File

NARA JOB # N1-075-04-2
Approved 11/21/2003

Contents: Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological project fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: Permanent. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 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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<th>TR-4431a-P5</th>
<th>Wildland Fire Suppression Program File</th>
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<td><strong>NARA JOB #</strong></td>
<td>Contents: Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.</td>
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<td>Filing Arrangement: Chronological by program fiscal year</td>
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</table>
TR-4432a-P5  Wildland Urban Interface Program File

NARA JOB # N1-075-04-2  Adopted 11/21/2003

Contents: Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological by program fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: Permanent. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.

TR-4432b-P5  Wildland Urban Interface Project File

NARA JOB # N1-075-04-2  Adopted 11/21/2003

Contents: Include, but not limited to, the following records: scope of work; budget; studies; surveys; tests; assessments; field notes; audits; analyses; statements; evaluations; consultations; results; reports; fuel complex defined by kind, arrangement, volume, condition, and location that forms a special threat of ignition and resistance to control; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological by project fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: Permanent. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 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.
TR-4433a-P5  Hazardous Fuels Reduction Program File

Contents: Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological by program fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: Permanent. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.

TR-4433b-P5  Hazardous Fuels Reduction Project File

Contents: Include, but not limited to, the following records: scope of work; budget; studies; surveys; tests; assessments; field notes; audits; analyses; statements; evaluations; consultations; results; reports; fuel complex defined by kind, arrangement, volume, condition, and location that forms a special threat of ignition and resistance to control; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological by project fiscal year

Official File: Action (originating and/or receiving) Office

Disposition: Permanent. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 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.
INDIAN AFFAIRS RECORDS
SCHEDULE

4500 Series
NATURAL RESOURCES
TR-4500-P5  Program Correspondence and Policy/Directives Files

NARA JOB #  a. Program Correspondence Files – Official Files
N1-075-06-7
Approved 3/23/2006

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 Natural Resources program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by subject.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between United States Department of Interior and the National Archives and Records Administration.

NARA JOB #  b. Program Policy/Directives Master Set with Case History Files – Official Files
N1-075-06-7
Approved 3/23/2006

Records include files created and related to the internal program policy, guidance and regulations of daily operations for the Natural Resources 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 of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between United States Department of Interior and the National Archives and Records Administration.
TR-4501-P5  Natural Resources Management Plan

NARA JOB # N1-075-04-3
Approved 11/21/2003

Contents: Include, but not limited to, the following records: scope of work; budget; studies; surveys; tests; assessments; field notes; audits; analyses; statements; evaluations; consultations; results; periodic plans and reports on land conservation; utilization and management; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological by planning fiscal year.


Disposition: PERMANENT. Cut off at fiscal year end of planning period. Maintain in office of record for a maximum of 5 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.
Contents: Include, but not limited to, the following records:

Pre-decision: advertisement, bid proposals, bid list/abstract of bids, bond authority to grant privileges on allotted land, authority document for restricted land or land without secure clear legal title, statements of competition, approval officer reports, environmental assessment (EA), notice of availability, finding of no significant impact (FONSI), biological assessment (BA), archaeology and cultural surveys, endangered and threatened species, wetland surveys and reconnaissance, layouts and designs, logging and road plans, performance bond documents, fee property road access agreements, grazing land accountability records, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Decision: permit, modifications, statement and certificate of award, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Post-decision: operation reports, inspection reports, specific data and resulting reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Accounting: payment receipts, public refund voucher, county treasurer deposits/receipts, historical transactions listings, journal vouchers, bill of collections, intra-bureau transaction forms, transmittal forms (work tickets), DAM non-trust deposits, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and correspondence.

Filing Arrangement: Numerical by permit.


Disposition: PERMANENT. Cut off at fiscal year end when permit is cancelled, expired, or revoked. Maintain in office of record for a maximum of 5 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
TR-4503-P5  Range and Wildlife Maps (Duplicates)

NARA JOB #: N1-075-04-3
Approved 11/21/2003

Contents: Include, but not limited to, the following records: prints of individual reservation forest and forage areas, range unit maps, blueprints, black and white prints, linen copies of allotment plat books, manuscripts or annotated materials, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Alphabetical by tribe.


Disposition: PERMANENT. Cut off at fiscal year end when superseded or obsolete. Maintain in office of record for a maximum of 5 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.
TR-4504-P5  Range Survey

Contents: Include, but not limited to, the following records: surveys, tests, assessments, field notes, analyses, statements, evaluations, consultations, results, reports, special studies for range grazing potential, range maps relating to the area, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Alphabetical by reservation.


Disposition: PERMANENT. Cut off at fiscal year end when survey studies are completed. Maintain in office of record for a maximum of 5 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.
4505  Grazing Permit Bid Files

NARA JOB # N1-075-04-3
Approved 11/21/2003

Refer to TR-4502-P5 – Indian Land Permit

RESERVED
4506 Grazing Permit Case Files

NARA JOB # N1-075-04-3
Approved 11/21/2003

Refer to TR-4502-P5 – Indian Land Permit

RESERVED
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<th>TR-4507-P5</th>
<th><strong>Range Reports</strong></th>
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**NARA JOB #** N1-075-04-3  
**Approved** 11/21/2003

**Contents**: Include, but not limited to, the following records: periodic and special agency reports on phases of range and wildlife operations, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement**: Chronological by reporting fiscal year.

**Official File**: Action (originating/receiving) Office.

**Disposition**: **PERMANENT**. Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. 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.
**INDIAN AFFAIRS RECORDS SCHEDULE**

**SERIES: 4500**

**Natural Resources**

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<th>TR-4508-P5</th>
<th>Range and Wildlife Maps</th>
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</table>

**NARA JOB # N1-075-04-3**

**Contents:** Include, but not limited to, the following records: prints of individual reservation forest and forage areas, range unit maps, blueprints, black and white prints, linen copies of allotment plat books, manuscripts or annotated materials, and one copy (record set) of each version, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Alphabetical by tribe.

**Official File:** Action (originating/receiving) Office.

**Disposition:** PERMANENT. Cut off at fiscal year end when superseded or obsolete. Maintain in office of record for a maximum of 5 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.
| TR-4509-P5 | Agricultural Extension Program |
| NARA JOB # N1-075-04-3 | Contents: Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; accomplishment reports; extension projects; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence. |
| Approved 11/21/2003 | Filing Arrangement: Chronological by program fiscal year. |
| | Disposition: PERMANENT. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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. |
TR-4510-P5

NARA JOB #
N1-075-04-3
Approved
11/21/2003

Extension Reports

Contents: Include, but not limited to, the following records: monthly, periodic, and annual consolidated reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by reporting fiscal year.


Disposition: PERMANENT. Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. 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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<th>Official File</th>
<th>Disposition</th>
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<td>N1-075-04-3</td>
<td>Include, but not limited to, the following records: scope of work; budget studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; rehabilitation plans and projects for mining, range, agriculture, land and soil erosion; water development; restocking of fish and wildlife; noxious weed eradication; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.</td>
<td>Chronological by program fiscal year.</td>
<td>Action (originating/receiving) Office.</td>
<td>PERMANENT. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.</td>
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</table>
Rights Protection Program (Unresolved Claims)

Contents: Include, but not limited to, the following claims records (three major categories – trespass, contract, and title): grazing, utility, road, railroad, agricultural, recover land fee patent-cancel, recover land patented as swamp land, recover title-force fee patent, removal of mineral resource, uranium contamination, non-rental payment, unpaid lease rental, breach of contract, fence encroachment, building encroachment, flood damage, inundation flood seepage, unauthorized silt deposit, wrongful land sale, wrongful occupancy of land and structure, and water rights; claims; claim resolutions; legislative activities; technical studies; supporting documentation; and related correspondence.

Filing Arrangement: Alphabetical by claim type.


Disposition: PERMANENT. Cut off at fiscal year end in which claim is resolved or rejected. Maintain in office of record for a maximum of 5 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.
TR-4513-P5  Hopi Partitioned Land Case File

Contents: Include, but not limited to, the following records: personal data, census enumerations, livestock inventories, surveys, reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Alphabetical by resident name.


Disposition: PERMANENT. Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
TR-4514-P5 Hopi Partitioned Land Survey

Contents: Include, but not limited to, the following records: surveys, assessments, field notes, reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Numerical by land tract.


Disposition: PERMANENT. Cut off at fiscal year end when survey is completed. Maintain in office of record for a maximum of 5 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
TR-4515-P5  Herd Management Program

NARA JOB # N1-075-04-3
Approved 11/21/2003

Contents: Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; statements; evaluations; consultations; reports; range, habitat, and wildlife surveys; inventories; statistical data for related environmentally sensitive issues; restrictions for wildlife native to region; legal proceeding documentation effecting a location; project records involving restocking, sale, and hunting; analysis and results; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological by program fiscal year.


Disposition: PERMANENT. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.
TR-4516-P5  Endangered Species Program

NARA JOB # N1-075-04-3
Approved 11/21/2003

Contents: Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; range, habitat, and wildlife surveys; inventories; statistical data for related environmentally sensitive issues; records on restrictions for wildlife native to region; legal proceeding documentation effecting a location; projects requiring budgets; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological by program fiscal year.


Disposition: PERMANENT. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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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<td>NARA JOB #</td>
<td>Contents: Include, but not limited to, the following records: scope of work; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; results; reports; project budgets; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation; and related correspondence.</td>
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<td>Disposition: PERMANENT. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.</td>
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**TR-4518-P5  Range Management Program**

**NARA JOB # N1-075-04-3 Approved 11/21/2003**

**Contents:** Include, but not limited to, the following records: scope of work; budget; assessments; audits; analyses; statements; evaluations; consultations; results; reports; grazing land accountability documents; surveys; inventories; studies; restrictions for wildlife native to region; legal proceeding documentation effecting a location; project records; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

**Filing Arrangement:** Chronological by program fiscal year.

**Official File:** Action (originating/receiving) Office.

**Disposition:** PERMANENT. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.
INDIAN AFFAIRS RECORDS
SCHEDULE

4600 Series
REAL ESTATE SERVICES
and
LAND, TITLE and RECORDS OFFICE

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
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 Real Estate Services and Land, Title and Records Office program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by subject.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between United States Department of Interior and the National Archives and Records Administration.

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 Real Estate Services and Land, Title and Records Office 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 of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between United States Department of Interior and the National Archives and Records Administration.
<table>
<thead>
<tr>
<th>TR-4601a-P5</th>
<th><strong>Original Allotment – Individual</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Contents:</strong></td>
<td>Include, but not limited to, the following records: trust patents, deeds, allotment schedules/books, Acts of Congress, Secretarial Orders, Tribal land agreements, allotment or estate record cards, land registers/record books, records of contested land allotment cases, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.</td>
</tr>
<tr>
<td><strong>Filing Arrangement:</strong></td>
<td>Numerical by allotment.</td>
</tr>
<tr>
<td><strong>Official File:</strong></td>
<td>Action (originating/receiving) Office.</td>
</tr>
<tr>
<td><strong>Disposition:</strong></td>
<td><strong>PERMANENT.</strong> Cut off at fiscal year end in which land is placed into trust. Maintain in office of record for a maximum of 5 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.</td>
</tr>
<tr>
<td><strong>RECORDS SUBJECT TO THE PRIVACY ACT – 5 USC 552B.</strong></td>
<td></td>
</tr>
</tbody>
</table>
TR-4601b-P5  Original Allotment - Tribal (Government Acquired Land)

Contents: Include, but not limited to, the following records: treaties, executive orders, Acts of Congress, Secretarial Orders, court decisions, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Alphabetical by tribe.


Disposition: PERMANENT. Cut off at fiscal year end in which land is placed into trust. Maintain in office of record for a maximum of 5 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
Alaskan Native Allotment (ANA)

Contents: Include, but not limited to, the following records:

Pre-allotment: application, adjudication and historical records, affidavits, conformance survey letter (to plat of survey), printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Conveyance: BLM certificate, BLM reinstatement decision letter, deed, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Protest: protest, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Alphabetical by allottee name.


Disposition: PERMANENT. Cut off at fiscal year end in which land is placed into trust. Maintain in office of record for a maximum of 5 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
TR-4601d-P5  Alaskan Native Townsites Parcels

NARA JOB #  N1-075-04-4
Approved  11/21/2003

Contents: Include, but not limited to, the following records: application, NEPA clearance, appraisal, archaeological, title deed, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Alphabetical by allottee name.


Disposition: PERMANENT. Cut off at fiscal year end in which land is placed into trust. Maintain in office of record for a maximum of 5 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
SERIES: 4600
Real Estate Services and Land, Title and Records Office

4602  Land Allotments

NARA JOB #  Refer to related TR-4601 Series
N1-075-04-4
Approved 11/21/2003

RESERVED
4603  Land Assignments

NARA JOB #  Refer to related TR-4601 Series
N1-075-04-4
Approved
11/21/2003

RESERVED
4604  Patents, Fees and Certificates of Competency

NARA JOB #  Refer to related TR-4601 Series
N1-075-04-4  – or –
Approved  TR-4609-P5 – Land Transactions
11/21/2003

RESERVED
4605  Land Gift Conveyance

NARA JOB #
N1-075-04-4
Approved
11/21/2003

Refer to TR-4609-P5 – Land Transactions

RESERVED
### 4606  Land Plat Books

**NARA JOB #**

N1-075-04-4

**Approved**

11/21/2003

Refer to TR-4609-P5 – Land Transactions

---

**RESERVED**
<table>
<thead>
<tr>
<th>4607</th>
<th>Land Tract Books</th>
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<tr>
<td>NARA JOB #</td>
<td>Refer to TR-4609-P5 – Land Transactions</td>
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<tr>
<td>N1-075-04-4</td>
<td>Approved</td>
</tr>
<tr>
<td>11/21/2003</td>
<td></td>
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</tbody>
</table>

**RESERVED**
4608  Aborted Land Transactions

NARA JOB #    Refer to TR-4609-P5 – Land Transactions
N1-075-04-4
Approved
11/21/2003

RESERVED
TR-4609-P5  Land Transactions

NARA JOB #  N1-075-04-4  Approved  11/21/2003

Contents: Include, but not limited to, the following records:

Conveyance: deed, fee patent, order transferring inherited interest, conveying land (allotted and unallotted), printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Pre-conveyance: certificate of competency, gift conveyance document, proclamation, tribal resolution agreeing to exchange or sale by tribe to individual, appraisal report, correspondence justifying transaction, title opinion by legal counsel, petition for sale, agency reports, certificate of indebtedness, homestead patents, restricted real property insurance policies, related land indexes, title abstracts or opinions of private sector, original bid, abstract of bid, advertisement, heirs written consent to sell, deed establishing transfer of ownership, surveys, environmental impact statements and assessments, other NEPA documents, archaeological reports, land plat and tract books showing land transactions and legal description of land (subdivision, section, township, range, and acreage), reclamation withdrawals, reservoirs, agency and school reserves, aborted land transactions (petitions to sell, transfer, or alienate rights of property), printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Numerical by tract number.


Disposition: PERMANENT. Cut off at fiscal year end in which transaction is aborted or completed. Maintain in office of record for a maximum of 5 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.
<table>
<thead>
<tr>
<th><strong>Series</strong>: 4600</th>
<th><strong>Real Estate Services and Land, Title and Records Office</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>4610</strong></td>
<td><strong>Land Title/Deed Files</strong></td>
</tr>
<tr>
<td><strong>NARA JOB #</strong></td>
<td><strong>Refer to TR-4609-P5 – Land Transactions</strong></td>
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<tr>
<td><strong>N1-075-04-4</strong></td>
<td></td>
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<tr>
<td><strong>Approved</strong></td>
<td></td>
</tr>
<tr>
<td><strong>11/21/2003</strong></td>
<td></td>
</tr>
</tbody>
</table>

**RESERVED**
**TR-4611-P5**  
**Land Survey Field Notes**

**Contents:** Include, but not limited to, the following records: notebooks containing initial observation of an engineer, surveyor or other specialist establishing the metes and bounds measurement to document specific resources, printouts of electronic mail, and documents created through word processing and spreadsheet software applications.

**Filing Arrangement:** Numerical by land tract.

**Official File:** Action (originating/receiving) Office.

**Disposition:** PERMANENT. Cut off at fiscal year end when survey is superseded or obsolete. Maintain in office of record for a maximum of 5 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.
<table>
<thead>
<tr>
<th>TR-4612-P5</th>
<th>Cadastral Surveys</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NARA JOB #</strong></td>
<td>Contents: Include, but not limited to, the following records: scope of work, budget, studies, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, reports, surveys conducted by Bureau of Land Management or other Approved contractors to establish exterior boundaries, administrative surveys conducted within the boundaries of the reservations, printouts of 11/21/2003 electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.</td>
</tr>
<tr>
<td><strong>Filing Arrangement:</strong></td>
<td>Numerical by land tract.</td>
</tr>
<tr>
<td><strong>Official File:</strong></td>
<td>Action (originating/receiving) Office.</td>
</tr>
<tr>
<td><strong>Disposition:</strong></td>
<td>PERMANENT. Cut off at fiscal year end when survey is superseded or obsolete. Maintain in office of record for a maximum of 5 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.</td>
</tr>
</tbody>
</table>
TR-4613-P5  Land Maps and Plans

Contents: Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, reports, plans, annotated maps showing townships, reservations, boundaries, location of land purchases under the Indian Reorganization Act, photos, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Geographical by reservation.


Disposition: PERMANENT. Cut off at fiscal year end when superseded or obsolete. Maintain in office of record for a maximum of 5 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.
Acquired Sub-Marginal Land Books

Contents: Include, but not limited to, the following data entry records: tract number, name of grantor, legal description of land, date of deed approved by the U.S. Attorney General's Office, purchase price, printouts of electronic mail, and documents created through word processing and spreadsheet software applications.

Filing Arrangement: Numerical by land tract.


Disposition: PERMANENT. Cut off at fiscal year end in which last entry was made. Maintain in office of record for a maximum of 5 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.
TR-4615-P5  Land Acquisition Map Book

NARA JOB # N1-075-04-4
Approved 11/21/2003

Contents: Include, but not limited to, the following records: application, consent form, tribal resolution, maps, approved grant form, certificate of completion for right-of-way or easement or permits granted over Indian land for roads, power-lines, railroads, communication lines, irrigation ditches, canals, and pipelines.

Filing Arrangement: Geographical by reservation.


Disposition: PERMANENT. Cut off at fiscal year end in which last entry was made. Maintain in office of record for a maximum of 5 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.
<table>
<thead>
<tr>
<th>TR-4616-P5</th>
<th><strong>Indian Land Right-of-Ways and Easements</strong></th>
</tr>
</thead>
</table>

**Contents:** Include, but not limited to, the following records:

- Application, consent form, tribal resolution, maps, market analysis, notarized land survey, environmental assessments, appraisal, surety bond, service line agreements, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

- **Decision:** rights-of-way, easements, change orders, modifications, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

- **Post-decision:** estimate of equitable compensation, schedules of damages, restoration plans, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

- **Accounting:** journal vouchers, distribution survey, bill for collections, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

- **Filing Arrangement:** Numerical by assigned number.

- **Official File:** Action (originating/receiving) Office.

- **Disposition:** **PERMANENT.** Cut off at fiscal year end of rights-of-way and easement expiration. Maintain in office of record for a maximum of 5 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.
4617  Land Lease Accounting Files

NARA JOB #  Refer to TR-4402-P5 – Timber Sales
N1-075-04-4  – or –
Approved  TR-4618-P5 – Indian Land Lease Case Files
11/21/2003  

RESERVED
TR-4618-P5  Indian Land Lease Case Files

NARA JOB #  
N1-075-04-4  
Approved  
11/21/2003

Contents: Include, but not limited to, the following records:

Pre-decision: estimates; appraisals; restrictions; affidavit; individual land owners consent; lease proposal; lease compliance, inspection, stipulations; title status report; abstract of title; maps and land tract surveys; lease plan; access permits; solicitor approval; power of attorney; acceptance of lessor; Categorical Exclusion check list; Environmental Assessments; insurance policies/certificates; rental value memorandum; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Decision: lease, lease bond, lease and bond transmittal form, modifications, statement/certificate of award, contract, notice of lease termination, unitization agreements and ratifications, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Post-decision: notice of lease expiration, trespass report, operation reports, court related documents, Findings of No Significant Impact (FONSI), printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Accounting: royalty reports, royalty interest documents, check copies, delinquent lessee listing, account distribution vouchers, 90-day notice, authority to execute irrevocable letter of credit document, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Numerical by lease.


Disposition: PERMANENT. Cut off at fiscal year end of lease completion, expiration, or termination. Maintain in office of record for a maximum of 5 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.

Also Refer to TR-4402-P5 – Timber Sales
Series: 4600
Real Estate Services and Land, Title and Records Office

4619 Oil Well Records

NARA JOB # N1-075-04-4
Approved 11/21/2003

Refer to TR-4621-P5 – Indian Mineral Assessment Records

RESERVED
4620  Nation-wide Oil and Gas Lease Bond Files

NARA JOB #  Refer to TR-4618-P5 – Indian Land Lease Case Files
N1-075-04-4
Approved
11/21/2003

RESERVED
TR-4621-P5  
Indian Mineral Assessment Records

NARA JOB # N1-075-04-4
Approved 11/21/2003

Contents: Include, but not limited to, the following records: interagency and private research and mineral firm assessments, evaluations, analysis, copies of records submitted and/or received from U.S. Geological Surveys, well logs, plugging records, production reports, communitization agreements, lease status reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by assessment fiscal year.


Disposition: PERMANENT. Cut off at fiscal year end when assessment is completed. Maintain in office of record for a maximum of 5 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.
TR-4622-P5  Town Lot Use Permits

Contents: Include, but not limited to, the following records: documents used for restricted land or land for which it has been impossible to secure clear legal title, copy of rent receipt, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Numerical by permit number.


Disposition: PERMANENT. Cut off at fiscal year end when permit is cancelled, expired, or revoked. Maintain in office of record for a maximum of 5 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.
| 4623 | Real Property Insurance Policies |
| NARA JOB # | Refer to TR-4609-P5 – Land Transactions |
| N1-075-04-4 | |
| Approved | |
| 11/21/2003 | |
TR-4624-P5  Real Estate Appraisal Report Files

NARA JOB # N1-075-04-4
Approved 11/21/2003

Contents: Include, but not limited to, the following records: appraisal reports used by Realty Officers in negotiating leases, land transactions, or involving litigation; inventories; land assessments; reviews and evaluations of appraisal reports; market data on recorded real estate transactions; county assessor’s maps; quadrangle maps; reservation maps; county atlases; copies of BIA reservation road maps; plat map; aerial photographs used for appraisals and land use planning; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological by appraisal expiration fiscal year.


Disposition: PERMANENT. Cut off at fiscal year end when appraisal expires. Maintain in office of record for a maximum of 5 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.
4625 Real Estate Appraisal Reference Files

NARA JOB # Refer to TR-4624-P5 – Real Estate Appraisal Report Files
N1-075-04-4
Approved
11/21/2003

RESERVED
4626  Real Estate Market Data Card Files

NARA JOB #  Refer to TR-4624-P5 – Real Estate Appraisal Report Files
N1-075-04-4
Approved
11/21/2003

RESERVED
4627  Land Use Feasibility and Marketability Study Files

NARA JOB #  Refer to TR-4628-P5 – Reservation Land Use and Development Plan
N1-075-04-4
Approved
11-21-2003

RESERVED
TR-4628-P5  Reservation Land Use and Development Plan

NARA JOB # N1-075-04-4
Approved 11/21/2003

**Contents:** Include, but not limited to, the following records: scope of work, budget, surveys, tests, assessments, field notes, audits, statements, evaluations, consultations, results, environmental and cultural documentation, feasible and marketable studies, cost analysis, design plans, construction plans, original tracings, sepias, mylars, narrative reports, documents resulting from studies to evaluate and analyze use and development of reservation land, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Alphabetical by reservation.

**Official File:** Action (originating/receiving) Office.

**Disposition:** PERMANENT. Cut off at fiscal year end when plan or study is completed. Maintain in office of record for a maximum of 5 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.
TR-4629-P5  Real Property Report

Contents: Include, but not limited to, the following records: acquisitions and disposal reports, surface and subsurface leases/permits, land planning, real estate appraisals, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by reporting fiscal year.


Disposition: PERMANENT. Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. 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.
4630  

Heirship Files

NARA JOB #  
N1-075-04-4  
Approved  
11/21/2003

Refer to TR-4631-P5 – Probate File

RESERVED
TR-4631-P5    Probate File

NARA JOB #
N1-075-04-4
Approved
11/21/2003

Contents: Include, but not limited to, the following records:

Pre-decision: proof of death, wills, notice of hearing, list of persons receiving notice of hearing, depositions, Bureau of Indian Affairs Inventory (BIAINV), and appraisals of interests possessed by deceased. If applicable, includes decedent tribal enrollment certification, marriage license(s), divorce decree(s), adoption records, affidavit of probate specialists verifying search for missing probable heirs or beneficiaries, correspondence or notes from communication with family, disclaimers, renunciation of interest, guardianship records, final settlement, heirship cards, statement describing income generating activity, descendents IIM account ledgers, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Decision: order determining heirs; order approving will and decree of distribution; probate modifications; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Alphabetically by decedent name.


Disposition: PERMANENT. Cut off at fiscal year end in which the estate is settled. Maintain in office of record for a maximum of 5 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
<table>
<thead>
<tr>
<th>Series</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>4632</td>
<td>Range Heir File</td>
</tr>
</tbody>
</table>

NARA JOB # N1-075-04-4
Approved 11/21/2003

Series Moved to Range

RESERVED
TR-4633-P5  Twenty-Day Case File

Contents: Include, but not limited to, the following records relating to the Bureau's representation of an Indian in matters concerning their estate in State and Federal Court: probate, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Numerical by court docket number.

Official File: LTRO Office.

Disposition: PERMANENT. Cut off at fiscal year end in which the estate is settled. Maintain in office of record for a maximum of 5 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
TR-4634-P5 Master Land Description File

NARA JOB # N1-075-04-4 Approved 11/21/2003

Contents: Include, but not limited to, the following records: regular and town site data that is received from the title plant; information from legal description of land within section, township, and range of an area of both trust and right-of-way; reservation code, range, township, section, multiple use (county) code, meridian, range east or west, township north or south; county, state, and township name and code; subdivision; block; lot; cross-reference reservation code and subdivision name; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Numerical by reservation code.

Official File: LTRO Office.

Disposition: PERMANENT. Cut off at fiscal year end when superseded or obsolete. Maintain in office of record for a maximum of 5 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.
TR-4635-P5  Land Chain of Title Plant File

NARA JOB #: N1-075-04-4
Approved: 11/21/2003

Contents: Include, but not limited to, the following records to show a complete historical record on all Indian lands: regular and town site data that is received from the title plant; information from legal Information in this file is received from the title plants where the data is taken from the Congressional Record; probate files; record of sales; leases; right-of-way; deaths; deeds; patents; Congressional, Presidential, and Secretary Acts. File shows extract control number, land description by quarter section, township, range, and tract reservation code; tract number; average fractional interest conveyed; land description remark; multiple use (county) code; master reservation code; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Alphabetical by tribe or individual name.

Official File: LTRO Office.

Disposition: PERMANENT. Cut off at fiscal year end when superseded. Maintain in office of record for a maximum of 5 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
<table>
<thead>
<tr>
<th>TR-4636-P5</th>
<th>Individual Chain of Title File</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NARA JOB #</strong></td>
<td><strong>Contents</strong>: Include, but not limited to, the following records used to maintain current legal ownership records on individual Indians, as well as tribally-owned land: magnetic tape file received from the title plants where it is taken from Congressional Record, probate files, record of sales, deeds, specified documents, and other legal records; extract control number; document type, number, and date; owner reservation code; owner (allotment) number and name; grantor-grantee code; relationship code; fractional interest acquired; master reservation code; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.</td>
</tr>
<tr>
<td>N1-075-04-4</td>
<td>Filing Arrangement: Alphabetical by tribe or individual name.</td>
</tr>
<tr>
<td></td>
<td><strong>Disposition</strong>: <strong>PERMANENT</strong>. Cut off at fiscal year end when superseded. Maintain in office of record for a maximum of 5 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.</td>
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</table>

**RECORDS SUBJECT TO THE PRIVACY ACT – 5 USC 552B.**
<table>
<thead>
<tr>
<th>NARA JOB #</th>
<th>Series Moved to Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>N1-075-04-4</td>
<td></td>
</tr>
</tbody>
</table>

**RESERVED**
4638  Indian Land Information System

NARA JOB #  Series Moved to ADP – 2220 IRMS
N1-075-04-4
Approved
11/21/2003

RESERVED
<table>
<thead>
<tr>
<th>4639</th>
<th>Lease Distribution System Files</th>
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</thead>
<tbody>
<tr>
<td>NARA JOB #</td>
<td>Series Moved to ADP – 2220 IRMS</td>
</tr>
<tr>
<td>N1-075-04-4</td>
<td>Approved</td>
</tr>
<tr>
<td>11/21/2003</td>
<td></td>
</tr>
</tbody>
</table>

**RESERVED**
4640  Range Permittee Payment System

NARA JOB #  Series Moved to Range – No reference provided
N1-075-04-4
Approved 11/21/2003

RESERVED
### TR-4641-P5 LRIS Location Directory

**NARA JOB #:** N1-075-04-4

**Approved: 11/21/2003**

**Contents:** Include, but not limited to, the following records: information taken from the GSA Geographical Location Codes Manual which shows state and county code, state and county name, and state abbreviation for all BIA locations and reservation codes.

**Filing Arrangement:** Alphabetical by location.

**Official File:** LTRO Office.

**Disposition:** PERMANENT. Cut off at fiscal year end when superseded or obsolete. Maintain in office of record for a maximum of 5 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.
<table>
<thead>
<tr>
<th>4642</th>
<th>LRIS Reservation Directory</th>
</tr>
</thead>
<tbody>
<tr>
<td>NARA JOB #</td>
<td>Refer to TR-4641-P5 – LRIS Location Directory</td>
</tr>
<tr>
<td>N1-075-04-4</td>
<td></td>
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<tr>
<td>Approved</td>
<td></td>
</tr>
<tr>
<td>11/21/2003</td>
<td></td>
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</tbody>
</table>

**RESERVED**
TR-4643-P5  Indian Land Records

Contents: Include, but not limited to, the following records: land description, current ownership, probate and title history of Indian trust land, records concerning individuals who have received overpayment(s) relative to land disposal, leases, sales and rentals maintained by Title Plants, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Alphabetical by name.

Official File: LTRO Office.

Disposition: PERMANENT. Cut off at fiscal year end when superseded or obsolete. Maintain in office of record for a maximum of 5 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
4644  Indian Trust Land Mortgages

NARA JOB #  Series Moved to Credit – No reference provided
N1-075-04-4
Approved
11/21/2003

RESERVED
<table>
<thead>
<tr>
<th>TR-4645-P5</th>
<th>Restriction Removal File</th>
</tr>
</thead>
</table>

**NARA JOB # N1-075-04-4 Approved 11/21/2003**

**Contents:** Include, but not limited to, the following records: application for removal of restriction, indexes, removal of restriction documents, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Numerical by tract.

**Official File:** Action (originating/receiving) Office.

**Disposition:** PERMANENT. Cut off at fiscal year end in which action is completed. Maintain in office of record for a maximum of 5 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.
TR-4646-P5  Unresolved Rights Case

Contents: Include, but not limited to, the following records: documents essential to the preservation of the legal right and interest of an individual Indian and their government which includes correspondence, forms, and reports on rights protection.

a. Statute of Limitations/Unresolved Rights Cases – Litigation

Filing Arrangement: Alphabetical by claim type.


Disposition: PERMANENT. Cut off at fiscal year end when case is closed. Maintain in office of record for a maximum of 5 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.

b. Statute of Limitations/Unresolved Rights Claims – Non-Litigation
   Records include, but not limited to, the following records: rejected claim which may or may not have legal merit but are not recommended for litigation; Administratively Resolved Claim which have been resolved either through negotiation or administrative resolution; Claim Undergoing Litigation which are being litigated by the U.S. Attorney; Legislation Activities when legislation is necessary when there is no administrative or legislative remedy; Technical Studies include items that are necessary for monitoring activity or for the purpose of making determination to fact; dispute clarification of position; boundary disputes include documents which may or may not be long standing boundary problems and current Unresolved Indian Right issues which are on-going, and rights issued which are post 1966 Statute of Limitations Claims.
TR-4646b-P5  Unresolved Rights Case

Filing Arrangement:  Alphabetical by claim type.


Disposition:  PERMANENT.  Cut off at fiscal year end when claim is closed.  Maintain in office of record for a maximum of 5 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.
Contents: Include, but not limited to, the following manual or electronic log of title records created and maintained for land title recording purposes (logs shall be printed and made part of the hard copy file): title documents which include reservation code, sequential number, year, date received, document type, recorded date, microfilmed date, date returned to the originating office, significant remarks to title documents, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Numerical by recording number.

Official File: LTRO Office.

Disposition: PERMANENT. Cut off at fiscal year end when last title record is logged. Maintain in office of record for a maximum of 5 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.
Title Documents

Contents: Include, but not limited to, the following records used to create official certified copies: documents affecting the title to or encumbers tribal or individual allotted land required to be recorded by regulations or Bureau policy; trust patent; restricted fee patent; deed to non-trust status; Executive Order; Treaty; Acts of Congress; Secretarial Order; order transferring inherited interest; deeds to restricted or trust status; supplement plat; mortgage documentation; fee patent; homestead patent; certificate of competency; order removing restrictions; allotment schedule; declaration of taking; lease; right-of-way and easement; memorandum of sale of allotted land; federal reinvesting order; death notice; Non Compos Mentis declaration; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Numerical by tract number.

Official File: LTRO Office.

Disposition: PERMANENT. Cut off at fiscal year end when ownership has been changed. Maintain in office of record for a maximum of 5 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.
<table>
<thead>
<tr>
<th>TR-4649-P5</th>
<th>Individual and Tribal Tract File</th>
</tr>
</thead>
</table>

**NARA JOB #**

**Contents:** Include, but not limited to, the following records used to document current chain of title ownership and encumbrances affecting a specific tract of trust or restricted Indian land: ownership updated by probates, probate modifications, deeds and other legal instruments; encumbrances such as leases, mortgages, mortgage satisfactions, rights-of-way to show current land status, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Numerical by tract number.

**Official File:** LTRO Office.

**Disposition:** PERMANENT. Cut off at fiscal year end when ownership has been changed. Maintain in office of record for a maximum of 5 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.
TR-4650-P5  Identification and Research Records

Contents: Include, but not limited to, the following records used to identify individual tract owner for various title and probate purposes: title and identification card; record; enrollment book showing individual interest derived from probate and other title documents; individuals' personal information (date of birth, roll number, family relationships); plat book showing section, township, range, and legal description; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Alphabetical by name of tract owner.

Official File: LTRO Office.

Disposition: PERMANENT. Cut off at fiscal year end when records are updated. Maintain in office of record for a maximum of 5 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
**TR-4651-P5**  
**Land Status Maps, General Land Office Plats, and Land Acquisition Maps**

**Contents:** Include, but not limited to, the following records: land status maps for all reservations which show individual tracts; tract numbers and current status of the tract in terms of trust or fee, tribal, or individual; general land office plats which represent official survey boundaries and show prominent physical features and section, township, and range lines; land acquisition map books, plats, and town site maps; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

**Filing Arrangement:** Numerical by tract number.

**Official File:** LTRO Office.

**Disposition:** PERMANENT. Cut off at fiscal year end when superseded or obsolete. Maintain in office of record for a maximum of 5 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.
TR-4652-P5  Land Index File

Contents: Include, but not limited to, the following index records of tribal and individual allotted land documenting historical and current events which track ownership and encumbrances affecting specific land through title documents from the date the land was established to the most recent event: reservation codes, legal land description, state location, county location, number of acres, document type affecting land, document number, original allottee name, grantor/decedent, grantee/heir, fractional interest, ownership type, relations information, cartographic land plats, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Numerical by tract number.

Official File: LTRO Office

Disposition: PERMANENT. Cut off at fiscal year end when superseded or obsolete. Maintain in office of record for a maximum of 5 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.
TR-4653-P5  Probate Documents

NARA JOB #: N1-075-04-4
Approved: 11/21/2003

Contents: Include, but not limited to, the following records: original probate order/decision signed and issued by an administrative law judge from the Office of Hearings and Appeals or by a regional attorney decision maker, order determining heirs, last will and testament, probate modifications, BIA land inventory, data for heir ship, family report, disclaimers, testimonies, death certificate, creditor claims, heirs and interested parties, printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Numerical by probate number.

Official File: LTRO Office.

Disposition: PERMANENT. Cut off at fiscal year end in which the estate is settled. Maintain in office of record for a maximum of 5 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
TR-4654-P5 Rights-of-Ways

NARA JOB # N1-075-04-4
Approved 11/21/2003

Contents: Include, but not limited to, the following records: original grant of easement or permit with map; tribal resolution; application; consent of owners; affidavit of completion for easements or permits granted over tribal or individual land for road, power line, railroad, communication line, irrigation ditch, canal, pipeline, etc.; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Geographical by reservation.

Official File: LTRO Office.

Disposition: PERMANENT. Cut off at fiscal year end when right-of-way expires. Maintain in office of record for a maximum of 5 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.
TR-4655-P5 Abstract of Title

Contents: Include, but not limited to, the following records: abstract of title prepared by a commercial title company for non-trust land acquisitions, land removed from trust status, or being returned to trust status; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Alphabetical by abstract title.

Official File: LTRO Office.

Disposition: PERMANENT. Cut off at fiscal year end when transaction is completed. Maintain in office of record for a maximum of 5 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.
INDIAN AFFAIRS RECORDS

SCHEDULE

4700 Series
ROADS

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
TR-4700-P5  
Program Correspondence and Policy/Directives Files

NARA JOB #  
N1-075-06-7  
Approved  
03/23/2006

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 Roads program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by subject.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between United States Department of Interior and the National Archives and Records Administration.

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 Roads 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 of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between United States Department of Interior and the National Archives and Records Administration.
<table>
<thead>
<tr>
<th>NARA JOB #</th>
<th>Contents</th>
<th>Filing Arrangement:</th>
<th>Official File:</th>
<th>Disposition:</th>
</tr>
</thead>
<tbody>
<tr>
<td>N1-075-04-5</td>
<td>Include, but not limited to, the following records: scope of work, budget, studies, surveys,</td>
<td>Chronological by</td>
<td>Action (originating</td>
<td>PERMANENT. Cut off at fiscal</td>
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<tr>
<td>Approved 11/23/2003</td>
<td>tests, assessments, field notes, analyses, statements, evaluations, consultations, project</td>
<td>project fiscal year.</td>
<td>and/or receiving)</td>
<td>year end in which project is</td>
</tr>
<tr>
<td></td>
<td>case files relating to the construction and maintenance of roads and bridges which are</td>
<td></td>
<td>Office.</td>
<td>completed or terminated.</td>
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<td></td>
<td>comprised of planning documents (requirements, project plans, etc.), proposals, operation</td>
<td></td>
<td></td>
<td>Maintain in office of record</td>
</tr>
<tr>
<td></td>
<td>schedules, road assessments, deeds, right-of-way documents, cost estimates, progress</td>
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<td>for a maximum of 5 years after</td>
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<td>reports, final statements or summaries of project cost, material result and</td>
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<td>cut off; and then retire to</td>
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<td>certification, related project materials, quality control reports, tribal resolutions</td>
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<td></td>
<td>records center. Transfer to</td>
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<td></td>
<td>and/or contracts, environmental and archaeological clearances, final audit reports on</td>
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<td>the National Archives of the</td>
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<td>pending contracts, contract modifications, Release of Claims documents, printouts of</td>
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<td>United States in accordance</td>
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<td>electronic mail, documents created through word processing and spreadsheet software</td>
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<td>with the signed Standard Form</td>
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<td>applications, supporting documentation, and related correspondence.</td>
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<td>258, Agreement to Transfer</td>
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<td>Records to the National</td>
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<td>Archives of the United States.</td>
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</table>

TR-4701-P5  Roads Construction Project Case File
**Indians Affairs Records Schedule**

**Series: 4700  Roads**

**TR-4702-P5**  
**Annual Roads Construction Program Accomplishment Reports**

**NARA JOB # N1-075-04-5**  
**Approved 11/21/2003**

**Contents:** Include, but not limited to, the following records: annual reports to Central Office which reports expenditures for the reservation, road and bridge, Indian Reservation Road (IRR) activities and types of improvement, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by report fiscal year.

**Official File:** Central Office, Division of Transportation.

**Disposition:** **PERMANENT.** Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. 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.
TR-4703-P5  Road Survey Books and Field Notes

Contents: Include, but not limited to, the following records: original notebook or log containing the initial observations, surveys, etc., conducted by engineer or other specialist, field notes, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by survey fiscal year.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end in which survey is completed. Maintain in office of record for a maximum of 5 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.

Refer to TR-4701-P5 – Road Construction Project Case File
TR-4704-P5  

**Project Maps and Drawings**

**NARA JOB # N1-075-04-5**  
Approved 11/21/2003

**Contents:** Include, but not limited to, the following records: “as built” tracings, blueprints, profiles, and plans of road and bridge construction projects; reservation road maps and related description of routes; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

**Filing Arrangement:** Chronological by project fiscal year.

**Official File:** Action (originating and/or receiving) Office.

**Disposition:** PERMANENT. Cut off at fiscal year end in which project is completed or terminated. Maintain in office of record for a maximum of 5 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.
TR-4705-P5  Road Inventory File

NARA JOB # N1-075-04-5
Approved 11/21/2003

**Contents:** Include, but not limited to, the following records: documentation of roads on BIA lands which include area, agency and reservation code, route number, section, road length, quality, code, cost of seal coat by mile and section, class, present type of surface, current and planned road surface type, estimates for planned changes, school bus usage code, status of road section, county section, state, average traffic, user benefit, plan benefit, net benefit, roadway section for shoulder and surface, alignment condition, roadway condition, estimate cost for improvement, documentation reflecting ownership and right-of-way status. Additional documents may include requests for addition of routes, updates to the Indian Reservation Roads System Inventory, data worksheet and reports, inter-agency agreements, policies, fair share versus expenditure analyses, project cost projections, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by inventory fiscal year.

**Official File:** Action (originating and/or receiving) Office.

**Disposition:** PERMANENT. Cut off at fiscal year end in which file is updated or superseded. Maintain in office of record for a maximum of 5 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.
**TR-4706-P5  Bridge Inventory File**

**NARA JOB # N1-075-04-5  Approved 11/21/2003**

**Contents:** Include, but not limited to, the following records: documentation of bridges on BIA lands which include area, agency, reservation, route, section, mile, post, state, county, school route, year built, structural characteristics and other structural data, condition of structure, estimated remaining life, proposed improvements, bridge inspection report, structural inventory appraisal report, and load rating report in accordance with the National Bridge Inventory system. Additional documents include Bridge Inventory printout (Department of Transportation Indian Needs Data printout), “as built” plans, bridge maintenance report, schematics, drawings, photos, inspection and evaluation reviews, bridge rating and improvement summary, payment reports for contracts, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by inventory fiscal year.

**Official File:** Action (originating and/or receiving) Office.

**Disposition:** PERMANENT. Cut off at fiscal year end in which file is updated or superseded. Maintain in office of record for a maximum of 5 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.
TR-4707-P5  Roads Program Project File

NARA JOB # N1-075-04-5
Approved 11/21/2003

Contents: Include, but not limited to, the following records: Transportation Improvement Program (TIP) estimates of proposed road construction projects and related material, technical reports (moisture density test data, field compaction test data, physical property summary, technical data reports, asphaltic formulae, summary gradation, and testing property), printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by project fiscal year.


Disposition: PERMANENT. Cut off at fiscal year end in which project is completed or terminated. Maintain in office of record for a maximum of 5 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.
## Road and Bridge Construction Reports

### Contents
- Work program status; proposed projects;
- Record of work program, projects and obligations; reports relating to correspondence on road and bridge construction activities;
- Work program baseline year construction report for Indian Reservation Roads (IRR); pre-designed construction projects; project continuing under construction with modifications; the obligation and project completed accumulative obligation baseline year accomplishments;
- Level of service condition for miles of road maintained by surface type and obligation; snow miles and regular maintenance miles for paved, gravel, and improved earth walkways; hours of ferry operation; backlog by number of tribal construction projects prioritized by resolution; status of annual summary or road and bridge construction; annual road and bridge inventory giving classification of the road systems of miles completed during the year; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

### Filing Arrangement
- Chronological by reporting fiscal year.

### Official File
- Central Office, Division of Transportation.

### Disposition
- PERMANENT. Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. 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.

## Road and Bridge Maintenance Reports

### Contents
- Work program status; proposed projects;
- Record of work program, projects and obligations; report relating to correspondence on road and bridge maintenance activities; work program baseline year construction report for Indian Reservation Roads (IRR); pre-designed construction projects; project continuing under construction with modifications; the obligation and project completed accumulative obligation baseline year accomplishments; level of service condition for miles of road maintained by surface type and obligation; snow miles and regular maintenance miles for paved, gravel, and improved earth walkways; hours of ferry operation; backlog by number of tribal construction projects prioritized by resolution; status of annual summary or road and bridge construction; annual road and bridge inventory giving classification of the road systems of miles completed during the year; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.
Filing Arrangement: Chronological by reporting fiscal year.

Official File: Central Office, Division of Transportation.

Disposition: PERMANENT. Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. 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.
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 4700

Roads

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**TR-4709a-P5**

Road and Bridge Construction Finance File

**NARA JOB #**

**Contents:** Include, but not limited to, the following records: annual funding documentation for road and bridge construction from Federal Highway Assistance (FHWA), obligating document transmitted to the Area Finance Office, summary by reservation of funding received and distributed with associated funding formula and percentage used at the time of distribution, obligation report for Indian Reservation Road (IRR) funds, status of obligations, work accomplishment report, IRR construction program fund obligation report, surveys for additional funding requirements, capability statements, analysis of financial status report, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by project fiscal year.

**Official File:** Action (originating and/or receiving) Office.

**Disposition:** PERMANENT. Cut off at fiscal year end in which project is completed or terminated. Maintain in office of record for a maximum of 5 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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**TR-4709b-P5**

Road and Bridge Maintenance Finance File

**NARA JOB #**

**Contents:** Include, but not limited to, the following records: annual funding documentation for road and bridge maintenance, funding document received from the Department of Interior (obligating document and transmittal to Finance Office), summary by reservation of funding received (carry over funding) and distributed with associated funding formula and percentage used at the time of distribution, fiscal year budget allowance, final budget decisions, annual performance goals, budget requests, Tribal Priority Allocation (TPA) formulas, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by project fiscal year.

**Official File:** Action (originating and/or receiving) Office.

**Disposition:** PERMANENT. Cut off at fiscal year end in which project is completed or terminated. Maintain in office of record for a maximum of 5 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.
National Bridge Inventory System (NBIS) Report File

Contents: Include, but not limited to, the following records: annual report which shows bridges on Indian land by area, agency, reservation, route, section, mile, post, state, country, school route, year built, structural characteristic, other structural data, condition of structure, estimated remaining life, and proposed improvement; profiles of bridges and aerial photos; final closeout and audit reports; printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation; and related correspondence.

Filing Arrangement: Chronological by reporting fiscal year.

Official File: Central Office, Division of Transportation.

Disposition: PERMANENT. Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. 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.
Road Design Project File

NARA JOB # N1-075-04-5
Approved 11/21/2003

Contents: Include, but not limited to, the following records: archaeological, surfacing design (materials), field trip, criteria (design – green book, class, design speed, width to determine safety zone), terrain design, grade profile (centerline), utility crossing, hydrology (drainage), quad sheet, proposed pipe size, right-of-way, design analysis report, preliminary documents (drafts of the design plan), survey data (survey books), reviews, finalized preliminary plan, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by project fiscal year.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end in which project is completed or terminated. Maintain in office of record for a maximum of 5 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.

Bridge Design Project File

NARA JOB # N1-075-04-5
Approved 11/21/2003

Contents: Include, but not limited to, the following records: calculations (spreadsheet, hand, load rating), dimensions, beam design, computer printout (CONSPAN – design beams), survey data from agencies (submitted to Federal Highway Administration for final review/approval authority), geo-technical investigation, surveys, drainage analysis, preliminary construction plan (part of construction files), printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by project fiscal year.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end in which project is completed or terminated. Maintain in office of record for a maximum of 5 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.
Technical Assistance Program File

Contents: Include, but not limited to, the following records: documentation showing work with outside entities such as universities, state highway departments, municipalities and contractors providing technical assistance on the establishment of scenic byways, serving in advisory capacity addressing issues, and providing information on civil rights violations, tribal funds, tourism program, and economic development, printouts of electronic mail, documents created through word processing and spreadsheet software, applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by assistance fiscal year.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end in which technical assistance is completed or terminated. Maintain in office of record for a maximum of 5 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.
TR-4713-P5  Nuclear Regulatory Commission (NRC) Radiation Exposure File

NARA JOB # N1-075-04-5
Approved 11/21/2003

Contents: Include, but not limited to, the following records: Nuclear Regulatory Commission licenses, training schedules, violations, nuclear gauge equipment inventory, leak test analysis, thermo-luminescent dosimeter (TLD) badges for measuring radiation emission, radiation exposure reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by license expiration fiscal year.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end in which NRC license expires. Maintain in office of record for a maximum of 5 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.
INDIAN AFFAIRS RECORDS

SCHEDULE

4900 Series

IRRIGATION and POWER
Program Correspondence and Policy/Directives Files

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 Irrigation and Power program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by subject.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between United States Department of Interior and the National Archives and Records Administration.

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 Irrigation and Power 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 of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between United States Department of Interior and the National Archives and Records Administration.
<table>
<thead>
<tr>
<th>TR-4901-P5</th>
<th>River Basin Studies</th>
</tr>
</thead>
</table>

**Contents:** Include, but not limited to, the following records: reservation river basin studies on irrigation, economic, conditions, and resources used in developing area programs; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

**Filing Arrangement:** Chronological by study fiscal year.

**Official File:** Action (originating and/or receiving) Office.

**Disposition:** PERMANENT. Cut off at fiscal year end when study is completed or terminated. Maintain in office of record for a maximum of 5 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.
TR-4902-P5  Irrigation Project Planning Case File

NARA JOB # N1-075-04-6
Approved 11/21/2003

Contents: Include, but not limited to, the following records: land lease agreement, project descriptions and summaries, maps, range resources, studies, water storage data, operation and maintenance plans, summary of costs, financial plans, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by planning fiscal year.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. 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.
<table>
<thead>
<tr>
<th>NARA JOB #</th>
<th>Contents: Include, but not limited to, the following records: studies, surveys, assessments, field notes, right-of-ways, designating land for irrigation projects, original maps, specifications, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.</th>
<th>Filing Arrangement: Chronological by project fiscal year.</th>
<th>Official File: Action (originating and/or receiving) Office.</th>
<th>Disposition: PERMANENT. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 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.</th>
</tr>
</thead>
<tbody>
<tr>
<td>TR-4903a-P5</td>
<td>Irrigation Project Land Designation File</td>
<td></td>
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<td>N1-075-04-6 Approved 11/21/2003</td>
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<tr>
<td>TR-4903b-P5</td>
<td>Power Project Land Designation File</td>
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<td>N1-075-04-6 Approved 11/21/2003</td>
<td></td>
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</tbody>
</table>
## Irrigation and Power Construction Program File

**NARA JOB #:** N1-075-04-6  
**Approved:** 11/21/2003

<table>
<thead>
<tr>
<th>Contents:</th>
<th>Include, but not limited to, the following records: scope of work, budget, studies, surveys, assessments, audits, analyses, statements, evaluations, consultations, reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Filing Arrangement:</strong></td>
<td>Chronological by program fiscal year.</td>
</tr>
<tr>
<td><strong>Official File:</strong></td>
<td>Action (originating and/or receiving) Office.</td>
</tr>
<tr>
<td><strong>Disposition:</strong></td>
<td>PERMANENT. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.</td>
</tr>
</tbody>
</table>

## Irrigation and Power Construction Project File

**NARA JOB #:** N1-075-04-6  
**Approved:** 11/21/2003

<table>
<thead>
<tr>
<th>Contents:</th>
<th>Include, but not limited to, the following records:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Irrigation:</td>
<td>studies, surveys, maps, plans, specifications, construction contracts, construction management and inspection reports, scope of work, budget, analysis, results, reports, project history, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.</td>
</tr>
<tr>
<td>Power:</td>
<td>power plant construction plans, specifications, maps, surveys, and studies; construction contracts; construction management and inspection reports; scope of work; budget; analysis; results; project history reports; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.</td>
</tr>
<tr>
<td><strong>Filing Arrangement:</strong></td>
<td>Chronological by project fiscal year.</td>
</tr>
<tr>
<td><strong>Official File:</strong></td>
<td>Action (originating and/or receiving) Office.</td>
</tr>
<tr>
<td><strong>Disposition:</strong></td>
<td>PERMANENT. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 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.</td>
</tr>
</tbody>
</table>
TR-4905-P5  Irrigation Engineering Data File

NARA JOB # N1-075-04-6 Approved 11/21/2003

Contents: Include, but not limited to, the following records: original survey books; irrigation project maps, drawings, and plans; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological by data fiscal year.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end when superseded or obsolete. Maintain in office of record for a maximum of 5 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.
TR-4906-P5  Irrigation Maps and Drawings

NARA JOB # N1-075-04-6
Approved 11/21/2003

Contents: Include, but not limited to, the following records: annotated maps and drawings showing irrigated area, land proposed for restoration, water drainage, buildings, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Geographical by reservation.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end when superseded or obsolete. Maintain in office of record for a maximum of 5 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.
TR-4907-P5 Irrigation Forecast File

NARA JOB # N1-075-04-6
Approved 11/21/2003

Contents: Include, but not limited to, the following records: hydrology forecasts, specifications, plans, storage reservoir, well depth, snowpack record, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by forecast fiscal year.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end when forecast is recorded. Maintain in office of record for a maximum of 5 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.
TR-4908-P5 Irrigation Reports

NARA JOB # N1-075-04-6
Approved 11/21/2003

Contents: Include, but not limited to, the following records: periodic narratives and statistical reports on annual irrigation operations, construction, and maintenance; project reviews; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological by reporting fiscal year.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. 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.
Power Meter Records

Contents: Include, but not limited to, the following records: water and power usage readings for customers serviced by the power project.

Filing Arrangement: Chronological by usage reading fiscal year.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end if usage reading period. Maintain in office of record for a maximum of 5 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
TR-4910-P5 Irrigation and Water Rights Legal Case File

Contents: Include, but not limited to, the following records: claims, claims resolution, technical studies, pre-litigation documents, contracts, papers granting permanent water rights (water rights certificates), legal case records involving irrigation matters (adjudication, negotiation and agreement, etc.), other state/federal agreement adjudications, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Alphabetical by claim type.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end in which claim is resolved or rejected. Maintain in office of record for a maximum of 5 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.
<table>
<thead>
<tr>
<th>TR-4911-P5</th>
<th>Indian Electric Power Utilities File</th>
</tr>
</thead>
</table>

**NARA JOB #**

N1-075-04-6
Approved 11/21/2003

**Contents:** Include, but not limited to, the following records: customer account power service request application, agreement, contract, billing records, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Numerical by customer account.

**Official File:** Action (originating and/or receiving) Office.

**Disposition:** PERMANENT. Cut off at fiscal year end when account is closed. Maintain in office of record for a maximum of 5 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.**
TR-4912-P5 Power Reports

NARA JOB # N1-075-04-6
Approved 11/21/2003

Contents: Include, but not limited to, the following power annual and statistical report records: narratives, statistical power generation, distribution station operations, maintenance reports on power generation and distribution stations, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by reporting fiscal year.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
TR-4913-P5  Irrigation and Power Customer Billing File

NARA JOB #: N1-075-04-6
Approved 11/21/2003

Contents: Include, but not limited to, the following records: monthly billings for customer power and irrigation usage, collection forms, receipts of money from customers, annual report (summary) of money collected from customers, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Numerical by customer account.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end of billing period. Maintain in office of record for a maximum of 5 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
<table>
<thead>
<tr>
<th>4914</th>
<th>Irrigation/Power Customer Account Ledger Sheets and Schedules</th>
</tr>
</thead>
</table>

NARA JOB # N1-075-04-6
Approved
11/21/2003

Refer to TR-4913-P5 – Irrigation and Power Customer Billing File

RESERVED
TR-4915-P5 Power Operative Maps, Drawings and Standards

NARA JOB # N1-075-04-6
Approved 11/21/2003

Contents: Include, but not limited to, the following records: original maps showing reservation, drawings and tracings of power distribution systems and location sites, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Geographical by reservation.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end when superseded or obsolete. Maintain in office of record for a maximum of 5 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.
## TR-4916a-P5 Irrigation Work Order Files

**NARA JOB #** N1-075-04-6  
**Approved** 11/21/2003  

**Contents:** Include, but not limited to, the following records: work orders for routine maintenance of an irrigation ditch, canal, gate, and/or shoulder; weed control; transmittal service orders; equipment maintenance orders; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

**Filing Arrangement:** Geographical by reservation.

**Official File:** Action (originating and/or receiving) Office.

**Disposition:** PERMANENT. Cut off at fiscal year end when work order is completed. Maintain in office of record for a maximum of 5 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.

## TR-4916b-P5 Power Work Order Files

**NARA JOB #** N1-075-04-6  
**Approved** 11/21/2003  

**Contents:** Include, but not limited to, the following records: work orders for routine maintenance of power plant, light fixtures at facility, buildings, and system equipment; engineering related word order request; equipment maintenance and/or repairs; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

**Filing Arrangement:** Geographical by reservation.

**Official File:** Action (originating and/or receiving) Office.

**Disposition:** PERMANENT. Cut off at fiscal year end when work order is completed. Maintain in office of record for a maximum of 5 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.
TR-4917-P5  Soil Surveys

NARA JOB #  Contents: Include, but not limited to, the following records: studies of irrigation and cultivation potential of soil in particular areas to include determination of physical characteristics of soil, composition, and condition of native vegetation; studies of types of native vegetation; location of cultural features; water availability; field notes; tests; analyses; results; reports; printouts of electronic mail, documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Approved  Filing Arrangement: Chronological by survey fiscal year.


Disposition: PERMANENT. Cut off at fiscal year end when survey is superseded or obsolete. Maintain in office of record for a maximum of 5 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.
TR-4918-P5  Soil and Moisture Conservation Maps

NARA JOB # N1-075-04-6
Approved 11/21/2003

Contents: Include, but not limited to, the following records: annotated base maps showing erosion conditions and control, technical survey maps showing types of soil, maps showing proposed land restoration and water drainage, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Geographical by land description.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end when superseded or obsolete. Maintain in office of record for a maximum of 5 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.
TR-4919-P5    Soil and Moisture Conservation Reports

NARA JOB #    Contents: Include, but not limited to, the following narrative and statistical records: monthly, periodic, and annual consolidation reports on
N1-075-04-6    soil surveys, water erosion, and projects; printouts of electronic mail; documents created through word processing and spreadsheet
Approved     software applications; supporting documentation; and related correspondence.
11/21/2003

Filing Arrangement: Chronological by reporting fiscal year.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut
off; and then retire to records center. 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.
<table>
<thead>
<tr>
<th>TR-4920-P5</th>
<th>Soil and Moisture History File</th>
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<tbody>
<tr>
<td>NARA JOB # N1-075-04-6 Approved 11/21/2003</td>
<td></td>
</tr>
</tbody>
</table>

**Contents**: Include, but not limited to, the following records: water availability, type of forage, topography, fencing, grazing potential, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement**: Chronological by history period fiscal year.

**Official File**: Action (originating and/or receiving) Office.

**Disposition**: PERMANENT. Cut off at fiscal year end when history is superseded or obsolete. Maintain in office of record for a maximum of 5 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.
TR-4921-P5 Irrigation Assessment Order Modifications

NARA JOB # N1-075-04-6 Approved 11/21/2003

Contents: Include, but not limited to, the following records: lists relating to modification of operation and maintenance assessment orders, lists of water users with documents to modify assessment order and annual billing for water users, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Numerical by project modifications.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end in which modification is completed. Maintain in office of record for a maximum of 5 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 SUBJECT TO THE PRIVACY ACT – 5 USC 552B.
TR-4922-P5

**Long-Term Cropping Plan**

**NARA JOB #** N1-075-04-6

**Approved** 11/21/2003

**Contents:** Include, but not limited to, the following records: long-term crop rotation plans, history reports of crops grown and the yield obtained, summary report of significant historical data on long-term cropping plans, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronologically by planning fiscal year.

**Official File:** Action (originating and/or receiving) Office.

**Disposition:** PERMANENT. Cut off at fiscal year end when plan is established and final summary report is completed. Maintain in office of record for a maximum of 5 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.
4923  Long-Term Cropping Plan Summary (Annually)

NARA JOB #  Refer to TR-4922-P5 – Long-Term Cropping Plan
N1-075-04-6
Approved
11/21/2003

RESERVED
<table>
<thead>
<tr>
<th>TR-4924-P5</th>
<th>National Cooperative Soil Survey</th>
</tr>
</thead>
</table>

**NARA JOB #**

| N1-075-04-6 | Approved 11/21/2003 |

**Contents:** Include, but not limited to, the following records used in tracking decisions from cooperating agencies within the National Cooperative Soil Survey: MOU, field review, field assistance, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by survey fiscal year.

**Official File:** Action (originating and/or receiving) Office.

**Disposition:** PERMANENT. Cut off at fiscal year end when survey is completed. Maintain in office of record for a maximum of 5 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.
TR-4925-P5 Soil Inventory and Evaluation File

Contents: Include, but not limited to, the following records: results from soil investigation in support of land use (rangeland, forestry, home site, septic system placement, sanitary landfill, road earth embankment, mining, etc.), inventory reports, evaluations, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by survey fiscal year.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end when soil investigation is completed. Maintain in office of record for a maximum of 5 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.
TR-4926a-P5 Irrigation Feasibility Program File

Contents: Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological by program fiscal year.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.

TR-4926b-P5 Irrigation Feasibility Project File

Contents: Include, but not limited to, the following records: scope of work, budget, data analysis of soils, drainage, water quantity, compatibility, geography, land ownership, economics, results, reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by project fiscal year.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 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.
TR-4927a-P5  Irrigation Operation and Maintenance Program File

NARA JOB #  N1-075-04-6
Approved        11/21/2003

Contents: Include, but not limited to, the following records: scope of work, budget, studies, surveys, assessments, audits, analyses, statements, evaluations, consultations, reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement: Chronological by program fiscal year.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.

TR-4927b-P5  Irrigation Operation and Maintenance Project File

NARA JOB #  N1-075-04-6
Approved        11/21/2003

Contents: Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, statements, evaluations, consultations, results, reports, water usage documents, water quality analyses, cropping data documents, chemical and pesticide application, maintenance activities (repairs and replacements), printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by project fiscal year.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 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.
TR-4928a-P5  Irrigation Rehabilitation and Betterment Program File

NARA JOB #  Contents: Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

11/21/2003

Filing Arrangement: Chronological by program fiscal year.

N1-075-04-6  Official File: Action (originating and/or receiving) Office.

Approved

Disposition: PERMANENT. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.

TR-4928b-P5  Irrigation Rehabilitation and Betterment Project File

NARA JOB #  Contents: Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, planning, construction contracts, construction management and inspection reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

11/21/2003

Filing Arrangement: Chronological by project fiscal year.

N1-075-04-6  Official File: Action (originating and/or receiving) Office.

Approved

Disposition: PERMANENT. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 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.
INVESTIGATIVE RECORDS SCHEDULE

SERIES: 4900  Irrigation and Power

TR-4929a-P5  Safety of Dams Program File

NARA JOB #  N1-075-04-6
Approved  11/21/2003

Contents:  Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; policy issues and activities; dam funding agreement; related expenditure; obligation; contract or agreement for non-dam specific technical assistance; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement:  Chronological by program fiscal year.

Official File:  Action (originating and/or receiving) Office.

Disposition:  PERMANENT.  Cut off at fiscal year end when program initiative is completed or terminated.  Maintain in office of record for a maximum of 5 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.

TR-4929b-P5  Safety of Dams Project File

NARA JOB #  N1-075-04-6
Approved  11/21/2003

Contents:  Include, but not limited to, the following records: scope of work; budget; surveys; assessments; field notes; audits; statements; evaluations; consultations; results; original design; construction repair and maintenance inspection records; incident reports affecting safety of dams; environmental report; contract agreement; standard operating procedures; emergency action plans; downstream Hazard Classification; SEED Analysis Reports; Deficiency Verification Analysis; Conceptual Design Reports; Value Engineering Study; Final Design Reports; Independent Review; testing, construction, and inspection records, and incident reports affecting the safety of dams; seismic study; inflow design flood; probable maximum floods; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

Filing Arrangement:  Chronological by project fiscal year.

Official File:  Action (originating and/or receiving) Office.

Disposition:  PERMANENT.  Cut off at fiscal year end project is completed or terminated.  Maintain in office of record for a maximum of 5 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.
<table>
<thead>
<tr>
<th>TR-4930a-P5</th>
<th>Safety of Dams Emergency Management Program File</th>
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<tbody>
<tr>
<td><strong>NARA JOB #</strong></td>
<td>Contents: Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; emergency notification procedures resulting from dam failure or severe flooding; warning and evacuation plans for downstream residents and businesses; inundation mapping and designs; early warning systems operations and maintenance documentation; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.</td>
</tr>
<tr>
<td><strong>Approved</strong></td>
<td>Filing Arrangement: Chronological by program fiscal year.</td>
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<tr>
<td><strong>11/21/2003</strong></td>
<td><strong>Official File:</strong> Action (originating and/or receiving) Office.</td>
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<td><strong>PERMANENT.</strong> Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.</td>
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</tr>
</tbody>
</table>
TR-4931a-P5  Safety of Dams Maintenance Program File

NARA JOB #: Contents: Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation; and related correspondence.

Filing Arrangement: Chronological by program fiscal year.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.

TR-4931b-P5  Safety of Dams Maintenance Project File

NARA JOB #: Contents: Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, reports, operation and maintenance manuals, flood gate operation, frequency of maintenance procedures, maintenance performed, flood information, water level and dam leakage, monitoring equipment, special and intermediate SEED examinations, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by project fiscal year.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 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.
TR-4932-P5 Water Resources Planning and Project Proposal File

NARA JOB # N1-075-04-6 Approved 11/21/2003

Contents: Include, but not limited to, the following records: water resources planning and predevelopment project proposals, individual project proposals, annual regional project proposal compilation, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by project fiscal year.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 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.
TR-4933-P5 Water Resources Interagency Agreements

Contents: Include, but not limited to, the following records: Water Resources Interagency Agreements, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Chronological by interagency agreement.

Official File: Action (originating and/or receiving) Office.

Disposition: PERMANENT. Cut off at fiscal year end when agreement expires. Maintain in office of record for a maximum of 5 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.
<table>
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<tr>
<th>NARA JOB #</th>
<th>Contents</th>
<th>Filing Arrangement</th>
<th>Official File</th>
<th>Disposition</th>
<th>Remarks</th>
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<tr>
<td>TR-4934a-P5</td>
<td>Water Resources Program File</td>
<td>Chronological by program fiscal year.</td>
<td>Action (originating and/or receiving) Office.</td>
<td>PERMANENT. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 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.</td>
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<td>N1-075-04-6</td>
<td>Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses;</td>
<td>Approved 11/21/2003</td>
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<td>TR-4934b-P5</td>
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<td>Chronological by project fiscal year.</td>
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<td>Approved 11/21/2003</td>
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INDIAN AFFAIRS RECORDS
SCHEDULE

5200 Series
CONTINUING EDUCATION

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
5200-P5 | Program Correspondence and Policy/Directives Files

NARA JOB # N1-075-05-5
Approved 10/24/2005

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
documentation of the activities which relate directly to the Continuing Education program function. Records consist of incoming and outgoing
originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records
are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software
applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by subject.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and
then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to
between the United States Department of Interior and the National Archives and Records Administration.

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 Continuing Education
program. Records consist of the preparation, review, documentation of decision related to policy development, regulation case history, public
comment, proposed and final regulation, clearance, publication and final distribution of a directive in a manual, bulletin or handbook format
outlining internal policy, procedure, organization, instruction and delegation of authority. Also included are printouts of electronic mail, documents
created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange alphabetically by subject then chronologically.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when superceded or rescinded. Maintain in office of record for a maximum of
5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be
as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
SERIES: 5200

Education – Continuing Education

5201-T5  Education Loan Case Files

NARA JOB # N1-075-05-5
Approved 10/24/2005

Refer to 5202-P5 Higher Education Loan/Grant/Scholarship Files

RESERVED
**Higher Education Loan/Grant/Scholarship Case Files**

**Contents**: Records include documents such as loan application, agreement, recommendation and progress report of payment or delinquent notices, letter requesting financial assistance/replies, initial application, letter of admission from University or College, Certification of Indian Blood (CIB), Certificate of Lineage, transcript, award letter, financial need analysis, Pell Grant, Federal Aid Funding Student Aid (FAFSA) form, degree check list, probation letter and withdrawal document on student with an outstanding loan. Includes denial letter, letter of appeal and other related correspondence. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement**: Arrange by tribe then alphabetically by name.

**Official File**: Action (originating/receiving) Office.

**Disposition Instructions**: PERMANENT. Cut off at school year end in which case or contract is closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-22).**
SERIES:  5200  

Education – Continuing Education

5203-T3  

Education Financial Assistance Request Files

NARA JOB #  
N1-075-05-5

Refer to 5202-P5 Higher Education Loan/Grant/Scholarship Case Files

Approved

10/24/2005

RESERVED
5204-P3  Adult Education Case Files

Contents: Records include documents for adult education applicant such as selection of vocational course, acceptance document of the school or vocational trade program, individual progress report and monthly/annual report from facility. Includes Certificate of Indian Blood (CIB) and Certificate of Lineage and printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange by tribe then alphabetically by name.

Official File: Action (originating/receiving) Office

Disposition Instructions: PERMANENT. Cut off at school year end when applicant completes or withdraws from program or contract close. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-22).
INDIAN AFFAIRS RECORDS SCHEDULE

5300 Series
SCHOOL FACILITIES
SERIES: 5300

Education – School Facilities

5300-P5

Program Correspondence and Policy/Directives Files

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 documentation of the activities which relate directly to the Educational School Facilities program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by subject.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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 Educational School Facilities program. Records consist of the preparation, review, documentation of decision related to policy development, regulation case history, public comment, proposed and final regulation, clearance, publication and final distribution of a directive in a manual, bulletin or handbook format outlining internal policy, procedure, organization, instruction and delegation of authority. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange alphabetically by subject then chronologically.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when superceded or rescinded. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
SERIES: 5300  
Education – School Facilities

5301-T5  School Functional Requirements Files

NARA JOB #
N1-075-05-5
Approved
10/24/2005

Refer to 2401-P5 Facilities Management Report Files

RESERVED
5302-T3  School Equipment Planning Files

NARA JOB #  N1-075-05-5
Approved  10/24/2005

Refer to 3/3 Routine Procurement Files (use applicable item)

RESERVED
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 5300  
Education – School Facilities

5303-T4  
School Renovation/Repair Budget Files

NARA JOB # N1-075-05-5  
Approved  
10/24/2005

Refer to 2401d-P5 Facilities Management Report Files – Operations and Maintenance (O&M) Report Files

OR

NARA JOB # N1-075-05-5  
Approved  
10/24/2005

Refer to 2401h-P5 Facilities Management Report Files – Administration Report Files

RESERVED
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES:  5300  
Education – School Facilities

5304a-T1  Educational Facilities Inventory Master Files
NARA JOB #  N1-075-05-5
Approved  10/24/2005

Refer to 2401a-P5 Facilities Management Report Files – Inventory Report Files

5304b-T0  Educational Facilities Inventory Master Files (Magnetic tape data)
NARA JOB #  N1-075-05-5
Approved  10/24/2005

To Be Determined for Scheduling

RESERVED
Indian Affairs Records Schedule

Series: 5300  
Education – School Facilities

5305-T3  
School Project Planning Files

NARA JOB #  
N1-075-05-5

Approved  
10/24/2005

Refer to 2415-P5 Facilities Project Management Case Files

Reserved
INDIAN AFFAIRS RECORDS
SCHEDULE

5400 Series
SCHOOL OPERATIONS

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
5400-P5 Program Correspondence and Policy/Directives Files

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 documentation of the activities which relate directly to the Education School Operations program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by subject.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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 Education School Operation program. Records consist of the preparation, review, documentation of decision related to policy development, regulation case history, public comment, proposed and final regulation, clearance, publication and final distribution of a directive in a manual, bulletin or handbook format outlining internal policy, procedure, organization, instruction and delegation of authority. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange alphabetically by subject then chronologically.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when superceded or rescinded. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
5401-P5 Student Cumulative Files

NARA JOB #: N1-075-05-5
Approved 10/24/2005

Contents: Records include attendance record, grade report/cards, transcripts, student behavior reports, parental consents, achievement test scores (scores only), scoring page, Certificate of Indian Blood, Certificate of Lineage and Pre-Kindergarten history form. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange by grade then alphabetically by name.


Disposition Instructions: PERMANENT. Cut off at school year end in which student graduates, leaves school or transfer cumulative file to new BIA school. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-22).
RESERVED
5403-P5 School Student Activity Account Files

Contents: Records include individual and club organization fiscal files of students, plan of operation, balance sheet, invoices, cancelled checks, bank statements, deposit slip copies, audit documentation and receipts. 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 club organization.


Disposition Instructions: PERMANENT. Cut off at school year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-22).
**School Curriculum Files**

**Contents:** Records include curriculum or course outline for courses taught at a Bureau of Indian Affairs (BIA) school, individual school code, course identification number and title, course outline schedule and State standards. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange by content area then alphabetically.

**Official File:** Action (originating/receiving) Office.

**Disposition Instructions:** PERMANENT. Cut off at school year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
5405-P5  Education Publication Files

Contents: Records include planning, development, lay-out, designing, and final publication of school newspapers, bulletins, pamphlets, student handbook, student yearbook and newsletters. Original copy is the only record copy. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange by publication type then chronologically.


Disposition Instructions: PERMANENT. Cut off at school year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Library Catalog Files

Contents: Records include printouts of manual or electronic card catalog showing author, title, subject, educational support materials, and cross-reference indicating descriptive detail for shelf location of book, publication or item. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange by title, author, subject, reading level or call number.


Disposition Instructions: PERMANENT. Cut off at school year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
5407-P5 Audio-Visual Material Files

Contents: Records include audio-visual items and equipment for slides, motion pictures, photographs, video tape, cassette tape and Compact Discs (CDs) created by the school that document school programs and activities. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange by media type then chronologically.


Disposition Instructions: PERMANENT. Cut off at school year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
5408-P5  School History Files

Contents: Records include historical documents of school history including name, location, type of school, grade levels served, size of reservation where school is located, authority establishing school, date school opened, number of students and employees, narrative history of school, school yearbook, listing of buildings on school grounds, legal description, ownership of land, school board membership, tribes serviced, map of tribe, school operating status, and letter of accreditation. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.


Disposition Instructions: PERMANENT. Cut off at school year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
5409-P5 Indian School Equalization Program (ISEP) Files

Contents: Records include all documents generated to determine student count (eligibilities, transportation, etc.) which affect school budget allocations. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.


Disposition Instructions: PERMANENT. Cut off at school year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
5410-P5 Student Attendance Files

Contents: Records include printouts of attendance records used for statistical purposes which show student name and address, school, parent or guardian, tribe, census roll number, and family numbers. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange by grade level then alphabetically by student name.

Official File: Action (originating/receiving) Office

Disposition Instructions: PERMANENT. Cut off at school year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-22).
5411-P5  Student Enrollment/Attendance Report Files

Contents: Records include printouts of Student Enrollment System (SES) showing daily, monthly and annual attendance roster reports used to develop school census reports. Statistics include student/parent or guardian name, address, school, and tribal census roll number. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence. (Note: These do not include individual attendance records in student case files).

Filing Arrangement: Arrange by grade level then chronologically by date.


Disposition Instructions: PERMANENT. Cut off at school year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-22).

5411b-P3  Student Attendance Reports

Refer to 5411-P5 Student Enrollment/Attendance Reports

RESERVED
SERIES:  5400  
Education – School Operations

5412-P5  
School Transportation and Accident Report Files

Contents:  Records include school vehicle (regular, bus routes, and school activities) reports on mileage, maintenance, and accident reports relating to school or student (not maintained at the area school). Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement:  Arrange chronologically.


Disposition Instructions:  PERMANENT.  Cut off at school year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center.  Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

5412b-T3  
School Transportation Reports

Refer to 5412-P5 School Transportation and Accident Report Files

RESERVED
5413-P5  Education and Statistic Report Files

Contents: Records include dormitory compliance, Adequate Yearly Progress (AYP), Title I, program monitoring reports, school reports, Therapeutic Residential Model, periodic and annual narrative and statistical reports documenting results of education programs, excluding those reports listed in the 5410-P5 Student Attendance Files. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange by program or chronologically.


Disposition Instructions: PERMANENT. Cut off at school year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

5413b-T5  Education Reports and Statistics

Refer to 5413-P5 Education and Statistics Report Files

RESERVED
**INDIAN AFFAIRS RECORDS SCHEDULE**

**SERIES: 5400  Education – School Operations**

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**5414-P5  Education Survey Response and Report Files**

a. **Education Survey Response Files**

NARA JOB # N1-075-05-5
Approved 10/24/2005

Records include hard copies of information obtained from students responding to surveys and are compiled by the Bureau of Indian Affairs (BIA) Office of Indian Education Program (OIEP) schools for statistics and studies regarding the education of Indian children such as residential life, drug use, and higher education. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

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

**Official File:** Action (originating/receiving) Office.

**Disposition Instructions:** PERMANENT. Cut off at school year end in which survey is completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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b. **Education Survey Report Files**

NARA JOB # N1-075-05-5
Approved 10/24/2005

Records include hard copy printouts of results from surveys and reports compiled by the Bureau of Indian Affairs (BIA), Office of Indian Education Program (OIEP) schools for statistics and studies regarding the education of Indian children such as residential life, drug use, and higher education. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

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

**Official File:** Action (originating/receiving) Office.

**Disposition Instructions:** PERMANENT. Cut off at school year end in which survey is completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
5415-P5  

**Education Program Audit Case Files**

**Contents:** Records include information accumulated during the audit of a school operation. Required audit is to assure accuracy, propriety and legality in the use of assets which includes final audit report, response, comment, recommendation, and corrective action plan. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange chronologically.

**Official File:** Action (originating/receiving) Office.

**Disposition Instructions:** PERMANENT. Cut off at school year end in which corrective actions to audit are completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
5416-P5 Public Law 100-297 Contract/Grant Case Files

Contents: Records include information related to the award of contracts or grants for activities authorized under Public Law 100-297 (amendments, audits, draw downs, tribal resolutions, etc.) Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange by state, tribe, then alphabetically by contract number.


Disposition PERMANENT: Cut off at school year end in which the contract or grant ends. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

5416b-P5 Public Law 100-297 Contract/Grant Case Files

Refer to 5416-P5 Public Law 100-297 Contract/Grant Case Files

RESERVED
SERIES: 5400

Education – School Operations

5417-P5

Student Transcript Files

NARA JOB #
N1-075-05-5
Approved
10/24/2005

No longer used

RESERVED
**Exceptional Child Case Files**

**Contents:** Records include documents relating to a student's eligibility determination, referral, evaluation, diagnosis and placement of a student in an exceptional category, including referrals, evaluation summaries, psychological reports, or similar diagnostic reports, professional reports on diagnosis and recommendation for placement; parental/guardian approvals for testing and placement, document release or transfer, progress summary and report; original copies of the Individual Education Program Plan (IEP) of services provided and needed, case files of students referred or evaluated, but not placed for services, due process documents, mediation, complaints, and other documents as required by law. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange by grade level then alphabetically by student surname.

**Official File:** Action (originating/receiving) Office.

**Disposition Instructions:** PERMANENT. Cut off at school year end in which student graduates, leaves school, services are terminated, placement is not made or student reaches the age of 22. Record of students placed for services may be transferred to receiving school upon student transfer. If student does not transfer, follow procedures for retirement. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-22).

**Exceptional Child Case Files**

Refer to 5418-P5 Exceptional Child Case Files

RESERVED
**INDIAN AFFAIRS RECORDS SCHEDULE**

**SERIES: 5400**

**Education – School Operations**

5419-P5  **Individual Education Program (IEP) Service Plan Files**

**NARA JOB #**

N1-075-05-5  **Contents:** Records include teacher and service provider documentation of Individual Education Plans (IEP) services for students receiving special education services. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange chronologically.

**Official File:** Action (originating/receiving) Office.

**Disposition Instructions:** PERMANENT. Cut off at school year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-22).**
5420-P5  Intensive Residential Guidance (IRG) Program Files

NARA JOB #: 5420-P5
N1-075-05-5
Approved 10/24/2005

Contents: Records include documentation of services relating the referral, evaluation, and placement of a student in the Intensive Residential Program such as referrals, evaluation summaries, psychological reports or similar diagnostic reports, professional reports on diagnosis and recommendations for services, parental/guardian approvals for evaluation, placement; document release or transfer, progress summaries/reports, services plan, including case files of students referred or evaluated but not placed. 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 student name.


Disposition Instructions: PERMANENT. Cut off at school year end in which student graduates, leaves school, services terminate, placement is not made or when student reaches the age of 22. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-22).

5420b-T3  Intensive Residential Guidance (IRG) Program

NARA JOB #: 5420b-T3
N1-075-05-5
Approved 10/24/2005

Refer to 5420-P5 Intensive Residential Guidance (IRG) Program

RESERVED
Monitoring Report Files

Contents: Records include documents relating to monitoring or evaluation of an educational program’s progress, achievement of objectives, attainment of academic/dormitory standards, fiscal expenditures, recommendations, findings, follow-up and progress on corrective actions, notification letter, self-assessment, final report, follow-up letter, progress report, Office of Indian Education Program (OIEP) validation and contracts. 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 school then chronologically.


Disposition Instructions: PERMANENT. Cut off at school year end in which corrective actions are completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
5422-P5  School Board and Record Files

Contents: Records include resolutions, by-laws, constitutions, policy/procedures, and agendas that validate the decision of a school board at duly called meetings at school and agency location, including minutes of meeting, mileage, and stipend claim, and expenditure report. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.


Disposition Instructions: PERMANENT. Cut off at school year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
5423-P5  Student Personal Health, Accident, or Injury Incident Files

Contents: Records include documents relating to personal injury, accident, serious illness or death of student under the supervision of BIA staff including Report of Accident/Incident (DI-134), notification and sympathy correspondence to parents or guardian, detailed statement of accident in the case of death and legal documentation. 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 student name.


Disposition Instructions: PERMANENT. Cut off at school year end in which incident has been resolved. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-22).
Contents: Records include documentation of the daily number of meals served to children at specified rates, number of milk served, program income from federal reimbursement, program expenditure for food and labor, other expenditures such as value of donated food, food cycle menu, standardized recipe, USDA commodity record, meal application, hearing on free lunch eligibility, documentation of student and parent involvement, record of compliance with procurement regulation, documentation requiring verification of eligibility, edit check, on-site review, health inspection reports, and distribution agreement with the Human Health Service Department, Income Support Division and Community Development and Commodities Section. Documents also include audit report and written response, civil right complaint, resolutions, claim for reimbursement including applicability for non-Provision and Provision II. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically by month.


Disposition Instructions: PERMANENT. Cut off at school year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Contents: Records include individual deposits, cancelled checks, bank statements, copies of deposits and withdrawals, and audit documents. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange by grade then alphabetically by student name.


Disposition Instructions: PERMANENT. Cut off at school year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-22).
5426-P5  

**Student Enrollment Files**

**Contents:** Records include enrollment application, Certificate of Indian Blood (CIB), Certificate of Lineage, birth certificate, social security number (SSN), guardianship documents, court and/or legal documents, and original parental or guardianship consents. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange by grade then alphabetically by student name.

**Official File:** Action (originating/receiving) Office.

**Disposition Instructions:** PERMANENT. Cut off at school year end in which student graduates or separates from school. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-22).**
## Residential Log Files

**NARA JOB #** N1-075-05-5

**Approved** 10/24/2005

**Contents:** Records include log book containing phone calls, medication, parental or guardian visits, student checkouts, security checks, shift changes, tutoring schedules, and incidents. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange chronologically.

**Official File:** Action (originating/receiving) Office.

**Disposition Instructions:** PERMANENT. Cut off at school year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-22).
5428-P5 Residential Document Files

NARA JOB #: N1-075-05-5
Approval: 10/24/2005

Contents: Records include dormitory schedules, detail schedules, tour of duty schedules, student residential roster and residential handbook/manual. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange chronologically.


Disposition Instructions: PERMANENT. Cut off at school year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-22).
**In-House Training Files**

**Contents:** Records include presentation materials, agendas, handouts created by the organization, evaluations, summaries, sign-in sheets, consultant contracts, fliers created or provided by the organization, training approvals, hotel contracts and summaries of credit hours. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange chronologically by training subject.

**Official File:** Action (originating/receiving) Office.

**Disposition Instructions:** PERMANENT. Cut off at school year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Indian Affairs Records Schedule

Series: 5400  Education – School Operations

5430-P5  Student Health Files

Nara Job #  N1-075-05-5  Approved  10/24/2005

Contents:  Records include immunization record, original medical parental or guardian consent, medical history records and medical authorizations.  Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement:  Arrange by grade then alphabetically by student name.


Disposition Instructions:  PERMANENT.  Cut off at school year end in which student graduates or separates from school. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

Some records may be subject to the Privacy Act (BIA-22).
5431-P5  Student Services Files

Contents: Records include Parent/Guardian No Child Left Behind Compact form, disciplinary action/report (due process), parent/guardian authorization (to include field trip, travel, special activities, etc), travel information and counseling service documents. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange by grade then alphabetically by student name.


Disposition Instructions: PERMANENT. Cut off at school year end in which student graduates or separates from school. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-22).
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<th>NARA JOB #</th>
<th>Official File:</th>
<th>Disposition Instructions:</th>
<th>Contents:</th>
<th>Filing Arrangement:</th>
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<td>Action (originating/receiving) Office.</td>
<td>PERMANENT. Cut off at school year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.</td>
<td>Records include but are not limited to referrals, intervention reports, agendas, evaluations, follow-up reports, minutes and progress reports. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.</td>
<td>Arrange alphabetically by team or student.</td>
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5433-P5  Pre-Kindergarten Student Files

NARA JOB # N1-075-05-5
Approved 10/24/2005

Contents: Records include parent contract, demographic information, parental records, enrollment information, service documents, Certificate of Indian Blood (CIB), developmental screenings/assessments and health records. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange by program then alphabetically.


Disposition Instructions: PERMANENT. Cut off at school year end in which participating student completes the third grade. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-22).
5400 Education – School Operations

5434-P5

504 (Civil Rights Act of 1974) Case Files

Contents: Records include referrals, plan and documentation of disability and implementation plans. 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 student name.


Disposition Instructions: PERMANENT. Cut off at school year end in which case is closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-22).
INDIAN AFFAIRS RECORDS
SCHEDULE

5500 Series
EDUCATION SUPPLEMENTAL PROGRAMS

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
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<th>NARA JOB #</th>
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<th>5500-P5 Program Correspondence and Policy/Directives Files</th>
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<td>b. Program Policy/Directives Master Set with Case History Files – Official Files.</td>
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<td>10/24/2005</td>
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<td>spreadsheet software applications, supporting</td>
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<td>documentation, and related correspondence.</td>
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<td><strong>Filing Arrangement:</strong> Arrange alphabetically by subject then chronologically.</td>
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<td><strong>Official File:</strong> Office(s) with primary responsibility.</td>
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<td><strong>Disposition Instructions:</strong> PERMANENT. Cut off at</td>
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<td>fiscal year end when superceded or rescinded. Maintain</td>
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<td>in office of record for a maximum of 5 years after cut</td>
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<td>off; and then retire to records center. Subsequent legal</td>
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<td>transfer of the records to the National Archives of the</td>
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<td>United States will be as jointly agreed to between the</td>
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<td>United States Department of Interior and the National</td>
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<td>Archives and Records Administration.</td>
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<tr>
<td>Series</td>
<td>Description</td>
<td>Status</td>
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<td>5501-P5</td>
<td>Chapter 1 Title I Project Files</td>
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<tr>
<td>SERIES: 5500</td>
<td>Education – Supplemental Programs</td>
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<td>5502-P5</td>
<td><strong>Chapter 1 Title I Complaint Files</strong></td>
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<tr>
<td>NARA JOB #</td>
<td>Refer to 1401-P5 Investigation and Litigation Files</td>
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<td>N1-075-05-5</td>
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**RESERVED**
## INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES:** 5500  
**Education – Supplemental Programs**

<table>
<thead>
<tr>
<th>5503a-P3</th>
<th>Chapter 1 Annual Evaluation Report Files</th>
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| NARA JOB #  
N1-075-05-5  
Approved  
10/24/2005 | Refer to 5513-P5 Assessment Report Files |

<table>
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<tr>
<th>5503b-T2</th>
<th>Chapter 1 Annual Evaluation Report Files</th>
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</table>
| NARA JOB #  
N1-075-05-5  
Approved  
10/24/2005 | Refer to 5513-P5 Assessment Report Files |

**RESERVED**
5504-T4         Title IV Files

NARA JOB #
N1-075-05-5
Approved
10/24/2005

Refer to 5510-P5 Supplemental Education Program Files

RESERVED
<table>
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<td>5505-T4</td>
<td>Title VII - Bilingual Education Files</td>
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<td>Approved</td>
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<td>Approved</td>
<td>10/24/2005</td>
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</table>

RESERVED
5506-P5  

Johnson O’Malley (JOM) Act Files

Contents: Records include plans for administering JOM funds received through contracts with the BIA which identifies methods and extents of JOM payments, eligibility criteria for school districts and students, general fund support, special services, records and reports, budget and contract procedures, costs, and special conditions. Includes plans from each school district with estimates of JOM funds required. 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 contract number.


Disposition Instructions: PERMANENT. Cut off at school year end in which contract term ends. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
5507-T6  Johnson O'Malley (JOM) Act State Annual Plan Report Files

NARA JOB #  Refer to 5506-P5 Johnson O'Malley (JOM) Act Files
N1-075-05-5
Approved
10/24/2005

RESERVED
# Indian Affairs Records Schedule

**Series:** 5500  
**Education – Supplemental Programs**

<table>
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<tr>
<th>Code</th>
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<td>Johnson O'Malley (JOM) Act Contracts</td>
<td>N1-075-05-5</td>
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<td>5508b-P3</td>
<td>Johnson O'Malley (JOM) Act Contracts (Official record copy)</td>
<td>N1-075-05-5</td>
<td>10/24/2005</td>
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<td>Refer to 5506-P5 Johnson O'Malley (JOM) Act Files</td>
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</tbody>
</table>

**Reserved**
SERIES: 5500  Education – Supplemental Programs

5509-T3  Monitoring Reports

NARA JOB #  Refer to 5421-P5 Monitoring Report Files
N1-075-05-5
Approved
10/24/2005

RESERVED
Contents: Records include documents relating to supplemental sub-grant programs funded by the U.S. Department of Education and distributed through the Washington D.C. Office of Indian Education Programs. Documents related to supplementary flow through funds received at the school. Program files contain the project application, budget and funds distribution document, expenditure report, signed assurances, status reports and on-site monitoring reports, local improvement plan and/or materials developed as a result of the project, correspondence, and related information and other documents required by the state for a responsive program. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software application, supporting documentation, and related correspondence.

Filing Arrangement: Arrange by program then chronologically.


Disposition Instructions: PERMANENT. Cut off at school year end in which funding has ended. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
**5511-P5**  
**English Language Learners (ELL) Case Files**

**NARA JOB #** N1-075-05-5  
**Approved** 10/24/2005

**Contents:** Records include initial assessment, English Language Learner (ELL) plan, parental notification permission, waivers and follow-up evaluation. Also included are printouts of electronic mail documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange by grade then alphabetically.

**Official File:** Action (originating/receiving) Office.

**Disposition Instructions:** PERMANENT. Cut off at school year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
**Indian Education Files**

**Contents:** Records include application, approved project, transfer of funds, budget, funding documents, financial transactions, letter of grant award, annual reports, school calendars, and evaluations to include summer school programs. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software application, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange alphabetically.

**Official File:** Action (originating/receiving) Office

**Disposition Instructions:** PERMANENT. Cut off at school year end in which grant is completed or ended. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Assessment Report Files

Contents: Records include pre-test and post-test scores from standard achievement tests, portfolios, other evaluative information required, course assessment and placement testing. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software application, supporting documentation, and related correspondence.

Filing Arrangement: Arrange alphabetically by assessment.


Disposition Instructions: PERMANENT. Cut off at school year end in which assessment report is complete. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
**5514-P5**  
**School-wide Title Files**

**Contents:** Records include Consolidated School Reform Plans (CSRP), subsequent yearly amendments, annual reports, school calendars, school report cards, accreditation, parent notification of school status and Adequate Yearly Progress (AYP), Office of Indian Education Program (OIEP) letter of school status and AYP, AYP status report and AYP Appeals to include summer school programs. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software application, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange chronologically.

**Official File:** Action (originating/receiving) Office.

**Disposition Instructions:** PERMANENT. Cut off at school year end in which new legislation becomes effective. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
Indian Affairs Records
Schedule

6000 Series
Office of the Special Trustee
For American Indians (OST)
TR-6000-P2  Program Correspondence and Policy/Directives Files

a. Program Correspondence Files – Official Files

NARA JOB # N1-075-08-1
Approved 2/28/2008

Contents: 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 function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by subject 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 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 United States Department of the Interior and the National Archives and Records Administration.

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

NARA JOB # N1-075-08-1
Approved 2/28/2008

Contents: Records include files created and related to the internal program policy, guidance and regulations of daily operations for the Office of the Special Trustee for American Indians. 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 of Record.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when superseded or rescinded. Maintain in office of record for a maximum of 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 United States Department of the Interior and the National Archives and Records Administration.
TR-6001-P2  Litigation Case Files

Contents: Records include documents for legal proceedings affecting the Office of the Special Trustee for American Indians as well as investigation reports, statement of claim, Statute of Limitation report, pleading deposition, court reports, notification of daily activity, requests for document production, employee/supervisory certification forms, supporting document and other related correspondence. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by case file then chronologically.

Official File: Office of Record.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when case is closed. Maintain in office of record for a maximum of 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 United States Department of the Interior and the National Archives and Records Administration.
<table>
<thead>
<tr>
<th>TR-6002-P2</th>
<th>Investigative Case Files</th>
</tr>
</thead>
</table>

**NARA JOB #** N1-075-07-17  
Approved 5/17/2007  

**Contents:** Records include statement of allegations, investigative reports, witness statements, photographs, evidence and supporting documentation. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

**Filing Arrangement:** Arrange numerically by case number then chronologically.

**Official File:** Office of Record.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when case is closed. Maintain in office of record for a maximum of 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 United States Department of the Interior and the National Archives and Records Administration.
TR-6003-P2  PL 93-638 Compact/Contract and Trust Program Files

NARA JOB # N1-075-07-17
Approved 5/17/2007

Contents: Records include self-determination compacts/contracts, memoranda of understanding, modifications, Annual Funding Agreements and supporting documentation for tribes that compact or contract Office of the Special Trustee for American Indians trust programs. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by Tribe then compacts/contract number then chronologically.

Official File: Office of Record.

Disposition Instructions: PERMANENT. Cut off at fiscal year end of funding. Maintain in office of record for a maximum of 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 United States Department of the Interior and the National Archives and Records Administration.
Controlled Correspondence Office Files

Contents: Records include action item requests and supporting documentation to include copies of priority correspondence, reports, and other information in response to inquiries from beneficiaries, Indian Leaders, department offices and other Federal agencies within the Department of the Interior and Office of the Special Trustee for American Indians. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange by control number.

Official File: Office of Record.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when action item is completed. Maintain in office of record for a maximum of 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 United States Department of the Interior and the National Archives and Records Administration.
TR-6005-P2  Assessment Files

NARA JOB # N1-075-07-17
Approved 5/17/2007

Contents: Records include correspondence, reports, questionnaires, action copies of assessment finding, and other records that identify program internal control weaknesses, and corrective actions and supporting documentation taken to resolve such problems. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by region, agency or tribe then chronologically.

Official File: Office of Record.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when corrective actions have been corrected. Maintain in office of record for a maximum of 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 United States Department of the Interior and the National Archives and Records Administration.
TR-6006-P2  Annual Audit Report Files

NARA JOB # N1-075-07-17

Contents: Records include documents created in response to formulating annual audits on Tribal and other trust funds and IIM trust funds managed by the Office of the Special Trustee for American Indians to independent auditor/Office of Inspector General. Files include detailed work papers, supporting documentation, financial statements and records pertaining to the audit submission for the entire agency. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange chronologically.

Official File: Office of Record.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when audit has been completed. Maintain in office of record for a maximum of 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 United States Department of the Interior and the National Archives and Records Administration.
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<th>Project Case Files</th>
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<td>Contents: Records include documents relating to projects that are mission related, or initiatives by the Office of the Special Trustee for American Indians as well as information on project, project guidelines, determinations on approval, budget levels, summary reports, meeting notes, action plans, goals and objectives, supporting documentation and other related documents. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.</td>
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<td><strong>Filing Arrangement:</strong> Arrange alphabetically by project name then chronologically.</td>
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<td><strong>Official File:</strong> Office of Record.</td>
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<tr>
<td>5/17/2007</td>
<td><strong>Disposition Instructions:</strong> PERMANENT. Cut off at fiscal year end when project is complete. Maintain in office of record for a maximum of 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 United States Department of the Interior and the National Archives and Records Administration.</td>
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6008-P2  Training Files

NARA JOB # N1-075-07-17
Approved  5/17/2007

Contents: Records include presentation materials, agendas, evaluations, summaries, sign-in sheets, training approvals, hotel contracts, training announcements, summaries of credit hours, schedules, rosters, supporting documentation and other related documents from formally established schools which train employees in specialized areas. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by training subject then chronologically by training date.

Official File: Office of Record.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when training is completed. Maintain in office of record for a maximum of 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 United States Department of the Interior and the National Archives and Records Administration.
TR-6009-P2 Research Request Files

NARA JOB # N1-075-07-17
Approved 5/17/2007

Contents: Records include documentation created for the functional activity of record retrieval services for the daily operations of the agency and area field offices of the Office of the Special Trustee for American Indians and the Bureau of Indian Affairs. Print out reports consist of the record request form, file processing checklist, metadata sheets from the Box Inventory Search System (BISS) which identify record box location information, box ordering information, copies or lists of records provided in response to requests, copies of official response to requestors, proof of records delivery, i.e. copy of shipping information or facsimile transmittal sheet. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange numerically by request number.

Official File: Office of Record.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when request is completed. Maintain in office of record for a maximum of 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 United States Department of the Interior and the National Archives and Records Administration.
TR-6010-P2  Litigation Research Files

Contents: Records include documents evidencing records retrieval and disclosure services provided to litigant researchers at the American Indian Records Repository (AIRR). Records consists of copies of correspondence to litigants for authorization to conduct research at AIRR; box ordering, receipt, tracking and return information; when applicable, proof of delivery of requested record copies. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by litigant or tribe name.

Official File: Office of Record.

Disposition Instructions: PERMANENT. Cut off at fiscal year end in which litigation is completed. Maintain in office of record for a maximum of 2 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 United States Department of the Interior and the National Archives and Records Administration.
6011-P2 Access Files

NARA JOB # N1-075-07-17 Approved 5/17/2007

Contents: Records include documentation related to the authorization of Indian records access by Federal contract researchers assigned to the American Indian Records Repository (AIRR). Records consist of copies of correspondence from the Office of Trust Records Director outlining individuals’ authorization to access Indian records at AIRR; research agreements; and notices of authorization withdrawal or termination, when applicable. 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 contractor company name, then alphabetically by authorized researcher name.

Official File: Office of Record.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when authorization is withdrawn or terminated. Maintain in office of record for a maximum of 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 United States Department of the Interior and the National Archives and Records Administration.
(New) TR-6012-P2  Indian Services Special Disbursing Agent (ISSDA) Case Files

NARA JOB # N1-075-08-02 Approved 05/06/2009

Indian Services Special Disbursing Agent (ISSDA) Case Files

Contents: Record includes Check Lists, Query Builder Reports, Preliminary Daily Disbursement Records (DDR), Check Accountability Forms, Check-In Worksheets, ARP Check Registers, $10,000 and over/Out of Country Reports, Requests from Accounting Services for voids, labels, inserts, lease reversal disbursement lists, miscellaneous paperwork, notes referencing this check date, Check Verification Forms (CVF), Machine Count forms, Mailing Information (copy of permit forms, Mail Receipts, Registered Mail Lists, Green Cards), Verification Lists (VT Report), Final Daily Disbursement Reports (DDR), Osage Quarterly Annuity (sub-file), and Osage Lake Fund (sub-file, quarterly distribution). 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 of Record.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 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 United States Department of the Interior and the National Archives and Records Administration.

a. Oil and Gas Case Files

Contents: Record includes Check Accountability Forms, Requests from Accounting Services for miscellaneous paperwork, notes referencing this check date, Stage VI Reports, Production Schedules, Individual Region files, ITS Reports, Requests from Accounting Services for voids, labels, inserts, lease reversal disbursement lists, Check Verification Forms (CVF), Postage Reports, Registered Lists, Verification Lists (VT Report) and Final Daily Disbursement Records (DDR). 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 of Record.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 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 United States Department of the Interior and the National Archives and Records Administration.
b. Wind River Per Capita Case Files

**Contents:** Record includes Check Accountability Forms, Check-In Worksheets, Check Registers, $10,000 and over/Out of Country Reports, Requests from Accounting Services for voids, labels, inserts, lease reversal disbursement lists, Federal Express labels, Check Verification Forms (CVF), Verification Lists (VT Report), Daily Disbursement Records (DDR), and Faxed DDR w/remaining postage. 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 of Record.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 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 United States Department of the Interior and the National Archives and Records Administration.

c. Post Office and Private Mail Company Records

**Contents:** Record includes return receipts, reports of loss and mistreatment of mail, metered mail reports and permit reports. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Arrange 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 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 United States Department of the Interior and the National Archives and Records Administration.

d. Tracking and Control Records

**Contents:** Record includes logs, registers, and other records used to control and document ISSDA mailings, including invoice/advice registers, IIM and Tribal statement worksheets and check logs. 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 of Record.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 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 United States Department of the Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT.
The Box Index Search System functions as a search engine to search for boxes retired to the American Indian Records Repository in Lenexa, Kansas. BISS was created primarily to address longstanding concerns regarding records management and management of records related to the management of Indian Trust Funds. The system is used for all records retired from BIA and OST. BISS also addresses the requirement for Interior to have a systematic index of inactive records especially those related to the trust funds and the management of trust funds. After the development of BISS and the first year of indexing inactive records information into BISS, the U.S. Federal District Court (D.C.) issued an order that required the index of boxes of records that may contain responsive documents to litigation requests and document production requests. Boxes retired to AIRR are assigned Accession Numbers that are used to log, track, and retrieve boxes stored at AIRR. Accession Numbers, Box Location within AIRR are identified on the SF135. The BISS system contains information, such as the accession numbers, identifiers recorded on the file labels by the creating and maintaining BIA and OST program offices, the respective Agency or Program office code, and the type of records or documents contained within each file in a box. BISS does not contain or capture information on the box location within AIRR.

BISS data resides on a Dell Server with the operating system as Windows 2000 Advanced Server. The database software is SQL Server 2000 and the web server is Microsoft IIS 5.0. The software applications consist of MS Office XP and PTFS's ArchivalWare.

A. Source Records/Inputs

1. Source Records (Paper): The inputs to BISS consist of boxes of inactive records sent to the AIRR.

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

Official Record of the Master Data File contains information on Box Number, Box Title, Box Source, Tribes identified File Title, and Document Types. The Box Number is the primary key. Office of Record: Office of Trust Records
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. (N1-075-06-2)

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. (N1-075-06-2)

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.

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. *(N1-075-06-2)*

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
INDIAN AFFAIRS RECORDS SCHEDULE

6100 Series
INDIAN FIDUCIARY FINANCIAL TRUST
## TR-6100-P2

**Program Correspondence and Policy/Directives Files**

**NARA JOB #** N1-075-06-9

**Approved** 6/28/2006

**Records Series:** Indian Fiduciary Financial Trust 6/28/2006

**SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES**

**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.**

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

**NARA JOB #** N1-075-06-9

**Approved** 06-28-2006

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.
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.
### 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:**


**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.**
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.


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

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.
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.


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.
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.
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
• Historical spreadsheets for each loss and claim.
• Individual Indian Monies (IIM) interest rate for the three month period

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.
TR-6107-P2  Intra-Governmental Fiduciary Transactions Confirmation System Report (IFCS)

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

Note:

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.
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 6100  Indian Fiduciary Financial Trust

TR-6108-P2  Standard General Ledger (SGL) Edit Checks File

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-224 Statement of Transactions monthly worksheet
- SF-1219 Statement of Accountability monthly worksheet
- SF-1220 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.
TR-6109-P2  Overnighter Reconciliation Report

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).

Approved 12/17/2003

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.

RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02.
TR-6110-P2  Treasury Investment Reconciliation

NARA JOB # N1-075-04-7
Approved 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.
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)
- Trust Assets Report Individual Indian Monies (IIM) ONLY by Asset Class
- Trust Assets Report TRIBAL ONLY by Asset Class
- Account Balance by Treasury Account Symbol (TAS) Book vs. Fed Cost Report
- 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.
Department of the Interior (DOI) Financial Securities Market Value Footnote

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

Series: 6100  
Indian Fiduciary Financial Trust

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

NARA Job #  
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).

N1-075-04-7  
Approved  
12/17/2003  
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.
<table>
<thead>
<tr>
<th>NARA JOB #</th>
<th>Purpose: To report the monthly financial balances and for use in the audited of the final reported Financial Statements.</th>
</tr>
</thead>
<tbody>
<tr>
<td>N1-075-04-7</td>
<td>Note:</td>
</tr>
</tbody>
</table>

**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.**
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.
<table>
<thead>
<tr>
<th>NARA JOB #</th>
<th>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.</th>
</tr>
</thead>
<tbody>
<tr>
<td>TR-6116-P2</td>
<td>Note: 1. Related Electronic Systems: Trust Funds Accounting System (TFAS)</td>
</tr>
<tr>
<td></td>
<td>Content:</td>
</tr>
<tr>
<td></td>
<td>• Statement of Differences-Deposits and Disbursements</td>
</tr>
<tr>
<td></td>
<td>• Proposed Adjustments to SF-1219/1220 Statement of Accountability/Transactions</td>
</tr>
<tr>
<td></td>
<td>• SF-224 Statement of Transactions worksheet</td>
</tr>
<tr>
<td></td>
<td>• SF-1219 worksheet and SF-1220 worksheet</td>
</tr>
<tr>
<td></td>
<td>• SF-1220 worksheet</td>
</tr>
<tr>
<td></td>
<td>Filing Arrangement: Arranged chronologically.</td>
</tr>
<tr>
<td></td>
<td>Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.</td>
</tr>
<tr>
<td></td>
<td>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.</td>
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<td>RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02.</td>
</tr>
</tbody>
</table>
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.
TR-6118-P2       Summary of Overdraft Tribal Accounts Balances

NARA JOB #      Purpose: To report all monthly Tribal overdraft accounts activity.
N1-075-04-7     Note:  
Approved          1. Related Electronic Systems: Trust Funds Accounting System (TFAS) 
12/17/2003       

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
<table>
<thead>
<tr>
<th>NARA JOB #</th>
<th>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.</th>
</tr>
</thead>
<tbody>
<tr>
<td>N1-075-04-7</td>
<td>Note:</td>
</tr>
<tr>
<td>Approved</td>
<td>1. Related Electronic Systems: Trust Funds Accounting System (TFAS)</td>
</tr>
<tr>
<td>12/17/2003</td>
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<tr>
<td></td>
<td>Content:</td>
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<tr>
<td></td>
<td>• House Account End of the Month (EOM) Report (MS Access Format)</td>
</tr>
<tr>
<td></td>
<td>Filing Arrangement: Arranged chronologically.</td>
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<tr>
<td></td>
<td>Official File: Office of Trust Reporting and Reconciliation is identified as the office of record.</td>
</tr>
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<td>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.</td>
</tr>
<tr>
<td></td>
<td>RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR OS-02</td>
</tr>
</tbody>
</table>
TR-6120-P2  Quarterly Wind River (WR) Check Reporting

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

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

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
Current Overdraft Monitoring Report

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

N1-075-04-7
Approved 12/17/2003

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
**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**
**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**
Interest Factor Reconciliation File

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:

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

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 #       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).
N1-075-04-7     Note:
Approved
12/17/2003


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
Daily Cash Statement File

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:

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
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:**

**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.

- JM428i2P.001 – Individual Indian Monies (IIM) to Pool Fund
- JM428i2P.002 – Individual Indian Monies (IIM) to Pool Fund
- JM460bl.001 – Post Set Batch Blotter
- JM460bl.001 – Post Set Batch Blotter
- JM463en0.001 – End of Day
- 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**
Daily Retroactive Investment Report File

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:

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
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

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
Minerals Management Service (MMS) Reconciliation Report File

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:

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
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:

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

4. Monthly Cash Statement Classification Comparison to the SF-224, SF-1219/1220 Activity –
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
<table>
<thead>
<tr>
<th>NARA JOB #</th>
<th>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.</th>
</tr>
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<tbody>
<tr>
<td>Approved 12/17/2003</td>
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<tr>
<td></td>
<td><strong>Content:</strong></td>
</tr>
<tr>
<td></td>
<td>• All Trust Assets Report</td>
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<tr>
<td></td>
<td>• Schedule of Treasury Securities held at Treasury</td>
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<td></td>
<td>• Statement of Accounts</td>
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<td>• Report of Position Not Held at Custodian</td>
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<td></td>
<td>• Report of Custodian Positions Not Held on TFAS</td>
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<tr>
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<td>• Performance Bond-Cash Comparison</td>
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<td>• Reconciliation of Daily Balances</td>
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<tr>
<td></td>
<td>• Report of Custodian Positions Out of Balance</td>
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<td>• Position Reconciliation worksheet</td>
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<td>• Report of Custodian Positions in Balance</td>
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<td>• End of Day Bank Reconciliation</td>
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<td>• Custodial Statement of Securities</td>
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**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**
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
- 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
<table>
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<th>TR-6135-P2</th>
<th>Daily Interest Reconciliation</th>
</tr>
</thead>
</table>

**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:**

**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**
TR-6136-P2 Monthly Daily Disbursement Report (VT) Reconciliation File

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


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
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:

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
Quarterly Internal Review Reports

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

Note:

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
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
- **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
• 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.


• 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) (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.
• **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**
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:**

**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**
**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:

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.
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:

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.
Daily Overdraft Report

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:

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.
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.
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


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


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.
<table>
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<tr>
<th>TR-6148-P2</th>
<th>Daily Indian Service Special Disbursing Agent (ISSDA) Disbursement Report</th>
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<tr>
<td>NARA JOB #</td>
<td>Purpose: To report and show all daily Individual Indian Monies' check disbursements.</td>
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<tr>
<td></td>
<td>Content: • Daily Disbursement Reports (DDR) • Verification List</td>
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<td>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.</td>
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<td>RECORDS ARE SUBJECT TO THE PRIVACY ACT 5 USC 552a and INTERIOR, OS-02.</td>
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</table>
**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 5-777/5-4218 – 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.**
TR-6150-P2  Reconciliation of Individual Indian Monies (IIM) Financial Statement Interest Earnings

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


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

<table>
<thead>
<tr>
<th>TR-6151-P2</th>
<th>Individual Indian Monies (IIM) Case Files</th>
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</thead>
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**NARA JOB #**  
N1-075-04-7  
**Approved**  
12/17/2003

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

**Note:**

**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.**
<table>
<thead>
<tr>
<th>4852</th>
<th>IIM Ledgers and Cards</th>
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NARA JOB #  Refer to TR-6151-P2 – *Individual Indian Monies (IIM) Case Files*
N1-075-04-7
Approved
12/17/2003

**RESERVED**
SERIES: 6100

Indian Fiduciary Financial Trust

4853  IIM Posting and Control Records

NARA JOB # Refer to TR-6151- P2 – Individual Indian Monies (IIM) Case Files
N1-075-04-7
Approved
12/17/2003

RESERVED
4854  IIM Duplicate Posting and Control Records

NARA JOB #  Refer to TR-6151- P2 – Individual Indian Monies (IIM) Case Files
N1-075-04-7
Approved
12/17/2003

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

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

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**RESERVED**
RESERVED
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 contain 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


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

NARA JOB #  System Description:
N1-075-04-7  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.

12/17/2003  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.
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.
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
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<th>SERIES: 6100</th>
<th>Indian Fiduciary Financial Trust</th>
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<td>Related Unscheduled Series/Systems:</td>
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<td>PADSCAPS</td>
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<td>SEI Security</td>
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<tr>
<td>Location:</td>
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</tr>
<tr>
<td>Points of contact:</td>
<td>Chief Information Officer, Office of the Special Trustee for American Indians</td>
</tr>
</tbody>
</table>
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)
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.
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.
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 inquiries 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)
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.
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.
INDIAN AFFAIRS RECORDS
SCHEDULE

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Appraisal Services
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<td>TR-6202e-P5</td>
<td>Appraisal Request System - System Documentation (NEW)</td>
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</table>
6200-P5 Program Correspondence and Policy Directives Files

NARA JOB # N1-075-09-6

Approved 6/8/2011

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.

NARA JOB # N1-075-09-6

Approved 6/8/2011

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.
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.
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 3rd 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.
TR-6202-P5  Appraisal Request Systems

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.
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.

   Data restricted in accordance with Privacy Act Notice as required.
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.
INDIAN AFFAIRS RECORDS
SCHEDULE

9000 Series
HISTORICAL TRUST ACCOUNTING

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
## NARA JOB # a. Program Correspondence Files – Official Files

### Contents:
Records include program correspondence files that are created; received and where action is taken; or have the primary responsibility for documentation of the activities which relate directly to the Historical Trust Accounting program function. Records relate to program management, program projects, including, but not limited to: Judgment and Per Capita Individual Indian Money (IIM) Accounts, Land-based IIM Accounts, Special Deposit IIM Accounts (SDA), Tribal Trust Accounting, and Data Digitization and Validation. Records include, but are not limited to, incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program and administrative 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 under general subject areas, such as: (1) General Program Management, (2) Judgment and Per Capita IIM Accounts, (3) Land-based IIM Accounts, (4) SDA IIM Accounts, (5) Tribal Trust Accounting, and then alphabetically by subject.

**Official File:** Central Office.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off, and then retire to the Federal 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 the Interior and the National Archives and Records Administration.

### SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT

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

### Contents:
Records include files relating to the internal program policy, guidance and regulations of daily operations for the Historical Trust Accounting program. Records consist of the preparation, review, and documentation of decisions related to policy development, to the Administrative Record of The Historical Accounting Plan for Individual Indian Money, regulation case history, public comment, proposed and final regulations, clearances, publications 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: Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when superseded or rescinded. Maintain in office of record for a maximum of 5 years after cut off, and then retire to the Federal 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 the Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT
# Indian Affairs Records Schedule

**Series:** 9000  
**Historical Trust Accounting**

<table>
<thead>
<tr>
<th>NARA JOB #</th>
<th>Contents: Records include program correspondence files that are created; received and where action is taken; or have the primary responsibility for documentation of the activities which relate directly to the Historical Trust Accounting program function. Records include, but are not limited to, 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 electronic finding aids, printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.</th>
</tr>
</thead>
<tbody>
<tr>
<td>TR-9002-P5</td>
<td><strong>Executive Director's Chronological File</strong></td>
</tr>
<tr>
<td><strong>Filing Arrangement:</strong></td>
<td>Arrange chronologically by date received or created.</td>
</tr>
<tr>
<td><strong>Official File:</strong></td>
<td>Central Office.</td>
</tr>
<tr>
<td><strong>Disposition Instructions:</strong></td>
<td><strong>PERMANENT.</strong> Cut off at fiscal year end when superseded or rescinded. Maintain in office of record for a maximum of 5 years after cut off, and then retire to the Federal 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 the Interior and the National Archives and Records Administration.</td>
</tr>
<tr>
<td><strong>SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT</strong></td>
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</tr>
</tbody>
</table>

**SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES**

Page 4 of 10
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 9000 Historical Trust Accounting

TR-9003-P3 Cobell v. Norton Related Electronic Mail Records

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

Contents: Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records and relate to:
(1) Cobell v Norton litigation; (2) American Indian trust reform; or (3) administration of Individual Indian Money (IIM) accounting, including any attachments to the record messages after they have been copied to paper.

Filing Arrangement: Arrange by staff member and then chronologically by date.

Official File: Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 3 years after cut off, and then retire to the Federal 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 the Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT
**Indian Reservation Histories**

**Contents:** Records include individual histories of Indian reservations. The history of each reservation is in the form of a narrative that contains information such as the location of records relating to the reservation, the major treaties or legislation relating to the reservation, the process of allotment, and information on resource development, judgment funds or other information on disbursement of trust fund monies. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

**Filing Arrangement:** Arrange by BIA Region and then by Indian tribe.

**Official File:** Central Office.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off, and then retire to the Federal 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 the Interior and the National Archives and Records Administration.
TR-9005-P5

**Historical Accounting Quality Control Files**

**Contents:** Records include audit working files of the historical accounting projects. A quality control review is conducted on various types of historical accounting reconciliations and related activities, such as verifying the reliability of the data contained in the Accounting Reconciliation Tool, the information technology system utilized for account reconciliations. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

**Filing Arrangement:** Arrange by subject of quality control review and then chronologically by date.

**Official File:** Central Office.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off, and then retire to the Federal 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 the Interior and the National Archives and Records Administration.

**b. Quality Control Reports**

**Contents:** Records include quality control reports summarizing the quality control reviews of historical accounting projects and activities. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

**Filing Arrangement:** Arrange by subject of quality control review and then chronologically by date.

**Official File:** Central Office.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off, and then retire to the Federal 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 the Interior and the National Archives and Records Administration.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT**
Contents: Records consist of periodic reports on (1) the completion of each project or phase of a project in historical accounting; (2) meta analysis (overview analysis) of studies and reports; and (3) any specific or ad hoc statistical analysis. The reports include detailed explanations of the methodology utilized to derive any statistical samples and how the data was analyzed to predict within a specified margin of error the accuracy of historical accounting projects. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange chronologically by date.

Official File: Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off, and then retire to the Federal 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 the Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT
TR-9007-P5  Historical Trust Accounting Document Request Tracking and Control Files

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

Contents: Records include logs, registers, copies of requested documents and other records used to control or document the status of requests for accounting records necessary to reconcile accounts or document account transactions. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange by BIA Agency and then either chronologically or by subject.

Official File: Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to the Federal 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 the Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT
TR-9008-P5 Historical Statement of Account Files

a. Mailings

Contents: Records relating to the development of Historical Statements of Account mailed to account owners. Records include the cover letter for each mailing, the Historical Statement of Account, the brochure on Historical Statements of Account, a Statement of Limitations (if required for the mailing), and the Interest Comparison Statement (if required), and the record copies of the statements mailed to account holders. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange chronologically by mailing date and then by the accounting group number assigned to each Indian Tribe.

Official File: Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to the Federal 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 the Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT

b. Returned Mail

Contents: Returned Historical Statement of Accounts mailed to account owners for which further research failed to identify the correct address. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange chronologically by mailing date and then by the accounting group number assigned to each Indian Tribe.

Official File: Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off, and then retire to the Federal 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 the Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT
SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES

INDIAN AFFAIRS RECORDS SCHEDULE

9100 Series

SPECIAL DEPOSIT ACCOUNT (SDA) PROJECT FILES

Historical Trust Accounting

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
SERIES: 9100  Special Deposit Account (SDA) Project Files

<table>
<thead>
<tr>
<th>TR-9101-P5</th>
<th>SDA Project Case Files</th>
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<tbody>
<tr>
<td><strong>NARA JOB #</strong></td>
<td><strong>Contents:</strong> Records include financial and accounting records documenting transactions within each SDA batch. These records include, but are not limited to, vouchers and schedules of withdrawal and credits (SF-1081), public vouchers for refund (SF-1047), Bureau of Indian Affairs (BIA) intra-bureau cash transaction authorizations (BIA-4285), journal vouchers (SF-1017-G), lease agreements, farming and grazing permits, and may include TAAMS, IRMS, and TFAS reports. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.</td>
</tr>
<tr>
<td>N1-075-06-08</td>
<td><strong>Filing Arrangement:</strong> Arrange by BIA Region and then by SDA account number.</td>
</tr>
<tr>
<td><strong>Approved</strong></td>
<td><strong>Official File:</strong> Record copy maintained by originating office.</td>
</tr>
<tr>
<td>9/28/2006</td>
<td><strong>Disposition Instructions:</strong> PERMANENT. Cut off at fiscal year end when project is completed. Maintain in office of record for a maximum of 5 years after cut off, and then retire to the Federal 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 the Interior and the National Archives and Records Administration.</td>
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<td><strong>SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT</strong></td>
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</table>
INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 9100 Special Deposit Account (SDA) Project Files

TR-9102-P5 SDA Chronological File

Contents: Records include program correspondence files that are created, received, and where action is taken, or have the primary responsibility for documentation of the activities which relate directly to the SDA Project program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange chronologically by date received or created.

Official File: Field Offices with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off, and then retire to the Federal 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 the Interior and the National Archives and Records Administration.

Closed Series: Dates: From 2001 – December 30, 2005

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT
INDIAN AFFAIRS RECORDS SCHEDULE

9200 Series
Tribal Trust Accounting Project Files
Historical Trust Accounting
TR-9201-P5  Tribal Trust Accounting Project Files

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

Contents: Records include files relating to Tribal trust accounting and to the historical trust accounting support OHTA provides the Department of Justice in Tribal account cases. Records include, but are not limited to, incoming and outgoing originals or copies of correspondence, reports, forms, project plans, 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 Tribe and by subject.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off, and then retire to the Federal 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 the Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT
INDIAN AFFAIRS RECORDS

SCHEDULE

9900 Series

Electronic Systems

(Office of 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.
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.
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.
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.)
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.)
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

Point of contact: Allen Naranjo, SDA Program Manager, OHTA, 505-796-3172.
INDIAN AFFAIRS RECORDS SCHEDULE

Crosswalk

16 BIAM (Release 3) to IARS
OST – Unscheduled Records to 6000 Series
4800 (IFFTRS) to 6100 Series

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
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SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
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SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES
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### 16 BIAM (Release 3)

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Transmittals

- Transmittal No. 1 – Release of the Indian Affairs Records Schedule (IARS)

Nonrecord Material

- Disposition of Nonrecord Material

Crosswalk

- 16 BIAM to IARS
- 6000 “Unscheduled” incorporated into the IARS
- 4800 Indian Fiduciary Financial Trust Records Schedule to 6100 Indian Fiduciary Financial Trust Records Series

IARS Records Series

- 100 – General Administrative
- 1000 (1200) - Executive Management
- 1300 – Indian Gaming
- 1400 – Legal
- 1500 – Indian Self-Determination
- 2100 – Budget
- 2300 – Contracts
- 2400 – Facilities Management
- 2500 – Finance
- 2600 – Payroll
- 2700 – Personnel
- 2800 – Property Management & Procurement
- 2900 – Safety
- 3200 – Acknowledgement
- 3300 – Employment Assistance
- 3400 – Housing
- 3500 – Law Enforcement
- 3600 – Social Services
- 3700 – Tribal Government
- 4200 – Credit
- 4300 – Environmental Quality Services
- 4400 – Forestry & Fire
- 4500 – Natural Resources
- 4600 – Real Estate Services & Land, Title & Records Office
- 4700 – Roads
- 4900 – Irrigation & Power
- 5200 – Continuing Education
- 5300 – School Facilities
IARS Records Series continued

- 5400 – School Operations
- 5500 – Education Supplemental Programs
- 6000 – Office of the Special Trustee for American Indians (OST)
- 6100 – Indian Fiduciary Financial Trust Records Series (IFFTRS)
- 9000 – Historical Trust Accounting (OHTA Only)
- 9100 – Special Deposit Account (SDA) Project Files (OHTA Only)
- 9200 – Tribal Trust Accounting Files (OHTA Only)
- 9900 – Electronic Systems (OHTA Only)