ISSUING OFFICIAL SIGNATURE

(Part 2)

APPROVAL RECORD (Modified DI-228)	1. TYPE OF DOCUMENT	2. IDENTIFICATION NUMBER
	OST-WPM	OST-WPM-TR-8

3. SUBJECT/ TITLE

Receipt of Incomplete Accessions at the American Indian Records Repository (AIRR)

4. SUMMARY OF DOCUMENT CONTENTS

5. RELEASE NUMBER AND DATE

RELEASE NUMBER:	DATE SUBMITTED:
16-33	09-16-2016

6. ISSUING OFFICIAL SIGNATURE:

9/28/2016

X

Signed by: DEBRA DUMONTIER

Debra DuMontier, Deputy Special Trustee

United States Department of the Interior
OFFICE OF THE SPECIAL TRUSTEE FOR AMERICAN INDIANS
4400 Masthead N.E.
Albuquerque, NM 87109

OST-Wide Policy Memorandum

Deputy Special Trustee – Program Management
Office of Trust Records

Number: OST-WPM-TR-8 **Effective:** 9/28/2016

Expires: 9/28/2017

Title: Receipt of Incomplete Accessions at the American Indian Records Repository (AIRR)

1. **Purpose.** This interim policy is to establish procedures when to follow incomplete accessions arrive at the AIRR.

2. **Scope.** This interim policy applies to the Office of the Special Trustee for American Indians (OST) and Indian Affairs (IA) programs/offices that transfer inactive records to the AIRR.

3. **Policy.** OST and IA shall ensure the following procedures are followed when incomplete accessions are received at the AIRR:

   A. AIRR. Three business days after receipt of an incomplete accession, the Destination Responsible Official (DRO) shall:
      1. Provide notification via e-mail to the following:
         a. Originating Responsible Official (ORO)
         b. Regional Records Liaison (RRL) or Records Management Specialist (RMS) and respective Supervisor
         c. OST/IA Privacy Act (PA) and/or Security Officer
         d. Chief, Division of Records Management Policies, Procedures, and Training
         e. Chief, Division of Records Management Operations
      2. Immediately follow-up with a telephone call to the ORO and respective RRL/RMS to confirm receipt of the e-mail notification and information.

   B. Office of Trust Records (OTR). RRL/RMS shall:
      1. Contact and notify the ORO to begin an investigation within one business day of the DRO's e-mail notification.
      2. Provide technical assistance, as necessary, to the ORO on all aspects of follow up activity including the ORO's submission of weekly updates and IARM Form 2013, Missing or Illegal Destruction of Records Report until the matter is resolved.

C. OST/IA Program Office. ORO shall:

1. Contact the shipping carrier immediately to initiate a trace on the box(es) not received at the AIRR.
2. Notify the Program Manager/Supervisor that an incomplete accession has been received at the AIRR.
3. Submit a status update on the investigation to the DRO, RRL/RMS, and PA/Security Officer weekly, beginning from the initial DRO notification to resolution.
4. Complete the following actions 10 business days after the DRO's initial e-mail notification if box(es) are not located:
   a. Amend the original approved IARM Form 2006, Inactive Records Move Request, and Inventory to reflect the actual number of box(es) received at the AIRR, and submit to the DRO.
   b. Complete and submit the IARM Form 2013, Missing or Illegal Destruction of Records Report to the respective RRL/RMS for review and processing and provide a courtesy copy to OST/IA PA Officer.

4. Roles and Responsibilities.

A. **Responsible Records Officer (OTR Director).** Provide records loss report to the appropriate Bureau, Department of Interior and National Archives and Records Administration officials.

B. **Senior Managers (Deputy Special Trustees, Directors, and Fiduciary Trust Officers).** Ensure that program managers and supervisors are familiar with the content of this instruction and implement the interim policy as outlined.

C. **Program Managers and Supervisors (Program Directors, Division Chiefs, Branch Chiefs, and Office Supervisors).** Ensure Records Contacts and personnel who maintain records are fully aware of this interim policy and are in compliance.

D. **Records Contacts (program's designated first point of contact for records management operations and activities).** Comply with this interim policy and ensure its distribution throughout the location(s) served.

Approval.

9/28/2016

X

Signed by: DEBRA DUMONTIER

Debra DuMontier, Deputy Special Trustee