

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>71-048-06-1</i>	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date Received <i>9-1-2005</i>	
FROM: (Agency or establishment) Department of the Interior		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Office of the Secretary		In accordance with the provisions of 44 U.S.C., 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved or "withdrawn" in column 10.	
3. MINOR SUBDIVISION National Business Center			
4. NAME OF PERSON WITH WHOM TO CONFER Pamala R. Quallich	4. TELEPHONE NUMBER 202-208-3909	DATE <i>9/29/06</i>	ARCHIVIST OF THE UNITED STATES <i>Mr. W...</i>
5. AGENCY INFORMATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>10</u> page(s) are not needed now for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies.  <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE August 29, 2005	SIGNATURE OF AGENCY REPRESENTATIVE <i>Pamala R. Quallich</i>		TITLE Office of the Secretary Records Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1.	See Attached List of Record Descriptions and Requested Disposition Authorities.	N/A	
<i>cc Agency NARA NARA NARA</i>			

# SF 115 Supplementary Cover Sheet

## Summary:

This action establishes 1 new Office of the Secretary series entitled: "Appraisal Services Files."

## Reason for submission:

- (1) This action provides for the disposition of records created by the Appraisal Services Directorate of the National Business Center, within the Office of the Secretary.
- (2) This action also *incorporates the series into the numbering pattern of the Office of the Secretary's new records schedule*. See attachment.

9020. Appraisal Services Files. These files contain records maintained by the Appraisal Services Directorate (ASD) of the National Business Center (NBC) that document the work of the ASD in providing real property appraisal services both to internal agency clients (the bureaus and offices that comprise the Department of the Interior) and to external clients (e.g., other Federal agencies). They contain the signed record (or “true”) copy of all valuation products prepared by and for the ASD. They do not contain the signed copies (or “originals,” typically 3 in number) of valuation products that are provided to client agencies. These records are covered by the client agencies’ respective records schedules, and are generally filed with other records relating to the actions for which the real property appraisal services were requested and performed.

9021.a Appraisal Services Policy and Guidance Files: ASD Files. These files contain the record copy of formal real property appraisal services policy and guidance documents issued by the Office of the Chief Appraiser. Policy and guidance documents are numbered chronologically in accordance with established NBC conventions and remain in effect until formally superseded or deleted.

Disposition: PERMANENT. Cut off at end of fiscal year. Transfer to the National Archives 5 years after cutoff.

9021.b Appraisal Services Policy and Guidance Files: Letter Files. These files contain the record copy of real property appraisal services guidance documents issued in letter, memo, or email form by headquarters, regional, state, or local offices of the ASD. These less formal guidance documents are organized chronologically by date issued.

Disposition: TEMPORARY. Cut off at end of fiscal year. Destroy 3 years after cutoff or when superseded, whichever is longer.

9021.c Appraisal Services Policy and Guidance Files: Drafts and Clearances Files (Administrative Record). These files contain the administrative record of the development of real property appraisal services policy and guidance documents issued by the ASD, at any level, and covered by items 9021.a and 9021.b. They include, but are not limited to: backup materials collected in the course of

preparing policy and guidance documents; selected drafts of real property policy and guidance documents; official requests for comments related to the generation of policy and guidance documents, and comments received; and clearance records for final drafts of policy and guidance documents. The record copy of these documents is retained by and in the ASD office issuing the specific documents that they support.

Record copy. Disposition: TEMPORARY. Cut off at end of fiscal year. Destroy 2 years after cutoff, or when no longer needed to document policy and guidance development process, whichever is longer.

Other copies. Disposition: TEMPORARY. Cut off at transmittal to issuing office. Destroy/delete within 180 days after transmittal.

9021.d Appraisal Services Policy and Guidance Files: Drafts and Clearances Files (Other). These files, maintained in the ASD office issuing the specific documents that they support, contain other records issued or collected in the process of developing real property appraisal services policy and guidance documents issued by the ASD, at any level, and covered by items 9021.a and 9021.b. These records substantially duplicate or do not add, substantially, to the content of records covered by 9021.c.

Disposition: TEMPORARY. Destroy/delete within 180 days after the record copy of the respective policy and guidance documents has been issued.

9022. Appraisal Services Service-Level-Agreements Files. These files contain *copies* of service level agreements negotiated between the NBC and client agencies (both within and outside of the Department of the Interior) for the provision of real property appraisal (and other) services. These agreements are generally in effect for a period of no longer than three years, and are filed, in the Office of the Chief Appraiser, and in Regional Offices of the ASD, as applicable, by customer name and/or number. (Note: This schedule does not cover the record copy of these agreements, which is maintained elsewhere by the NBC, and is covered by the 4500 series of the OS records schedule.)

Retention: TEMPORARY. Cut off at expiration of agreement. Destroy 3 years after cutoff.

9023. Appraisal Request & Review Tracking System Files (ARRTS). These files contain records relating to the Appraisal Request & Review Tracking System (ARRTS), the Department of the Interior's web-based application to provide a common form for submission of real property appraisal services requests to the ASD. The system also provides a process for forwarding requests for valuation products for approval and assignment (to the appropriate staff in the ASD), a mechanism for tracking and reporting on these requests, and a vehicle for capturing the results of the real property appraisal services provided.

9023.a ARRTS Planning and Development Files. These files contain records relating to the initial planning and development of ARRTS, as well as records relating to its ongoing modification and enhancement. They include but are not limited to: records relating to system authorization; documents soliciting and providing input on functional requirements; documents detailing technical specifications; plans, timetables and milestone charts for system development; screen design mock-ups; records relating to system installation and testing; and system acceptance documents. Portions of these files are maintained in the Office of the Chief Appraiser, and portions of these files are maintained in the office of the system's maintenance provider in the NBC.

Disposition: TEMPORARY. Cut off at end of fiscal year in which the new version of the system or new enhancement to the system was successfully installed and accepted. Destroy/delete 5 years after cut-off.

9023.b       RESERVED

9023.c ARRTS Management & Maintenance Files. These files contain records relating to the routine management of the system issued by the Office of the Chief Appraiser. They also contain records relating to the day-to-day maintenance of the system created or received by the system's maintenance provider in the NBC. Management documents include, but are not limited to

administrative documents, e.g., documents relating to system costs and funding, and system-function documents, e.g., (system) Business Rules and Guidelines, Rules of Behavior, etc. Maintenance documents include, but are not limited to electronic and hard-copy print-outs created to monitor system usage, e.g., log-in files, password files, audit trail files, and system usage files; identify and correct system problems; back-up system data; and perform any other functions associated with routine and regular system maintenance and support.

Management documents. Disposition: TEMPORARY. Destroy when superseded or obsolete.

Maintenance documents. Disposition: TEMPORARY. Destroy or delete when no longer needed for administrative, legal, audit or other operational purposes. (GRS 20)

9023.d ARRTS Security Files. These files include all records relating to system security, risk analysis, and disaster and continuity planning, as described in OMB Circular No.A-130. These include, but are not limited to the following: System Security Plan, Asset Valuation\*, the PIA (Privacy Impact Assessment)\*, Contingency Plan, Self Assessment Checklist (NIST 800-26), Limited Technical Vulnerability Assessment, Configuration Management Plan, Risk Assessment Report, Security Testing and Evaluation Report, Certification Statement\*, and Accreditation Statement\*. The record copy of these documents is maintained in the office of the system's Security Officer. Another copy of those documents, as flagged by an asterisk in the above list, is also maintained in the office of the Chief Appraiser. Current copies of those documents needed to manage configuration changes and maintain the system in the event of technical or environmental disasters are also filed in the office of the system's maintenance provider in the NBC.

Disposition: TEMPORARY. Retain for the life of the system plus 5 years.

9023.e ARRTS Inputs Files. Data constituting each request for appraisal services is entered directly into the system by system users. Images are attached to requests by scanning *copies* of paper documents and linking them to system records. The attachment of documents to request-for-service records is optional; the attachment of valuation-product documents is system-required.

Disposition: TEMPORARY. Delete/destroy input documents after input and verification of data into master files or when no longer needed to support the reconstruction of the master files, whichever is later.

9023.f ARRTS Master (Data) Files. Master data files contain data identifying the client agency requesting real property appraisal services from the ASD, and data the ASD approving and reviewing officials for the request in question; data relating to the owner and location (state, county and legal description) of real property at issue; specification of property rights to be appraised; appraisal results; revenue source and funding code for payment of services rendered; and cost of services rendered. Master files also contain metadata related to request records, e.g., unique ARRTS number assigned to each individual request. Image files linked with master data files contain images of documents associated with requests for services and images of valuation products provided to client agencies in response to requests.

Disposition: TEMPORARY. Cut off at final updating of record. Archive to inactive storage media 25 years after cutoff. Delete 75 years after cutoff.

9023.g ARRTS Outputs (Reports) Files. System outputs consist 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, and Appraisal Services Case/Work Files (Trust), are covered by items 9024 and 9025, respectively.)

Disposition: TEMPORARY. Cut off at printing or export. Destroy when no longer needed for reference purposes.

9023.h ARRTS System Documentation Files. These files contain all records needed to interpret (read and understand) the data in the system. They include, but are not limited to: the system's program code and code translation tables (codebooks); data element definitions and dictionary; table descriptions; file

specifications; and record layout. These records pertaining to the technical description of the electronic system are maintained in the office of the system's maintenance provider in the NBC.

Disposition: TEMPORARY. Cut off at end of fiscal year in which superceded or obsolete. Destroy/delete 5 years after cutoff.

9023.i ARRTS User Manual & Training Files. These files contain records created to train or assist authorized systems users in using the system, and records relating to the administration of training in the use of the system provided to system users. They include, but are not limited to printed and electronic user guides, electronic "Help Screen" instructions; Power Point presentations, and handouts prepared for system demonstrations and user training, as well as announcements of and schedules for user training sessions, sign-in sheets documenting users trained, and other similar/related records. The record copy of these files is maintained in the office of the system's maintenance provider in the NBC.

Disposition: TEMPORARY. Cut off at end of fiscal year in which superceded or obsolete. Destroy/delete 2 years after cutoff.

9024. Appraisal Services Case /Work Files. Case/work files contain paper and electronic records documenting real property appraisal services prepared by and for the Appraisal Services Directorate. ). They 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). Case/work files include, but are not limited to: copies of client requests for appraisal services; instructions for agency staff appraisers, contract appraisers, or 3<sup>rd</sup> party appraisers; invoices for vendor services; 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 or testimony, or a transcript of testimony; and final signed (true) copies of valuation products, e.g., appraisal services reports, reviews, and consulting reports. They are numbered organized and filed by ARRTS number in central files in ASD offices.

DISPOSITION: TEMPORARY. Cut off files at completion of final report or other valuation product/service requested. Destroy 5 years after cutoff, or 2 years after final disposition of any judicial proceeding in which the appraiser provided testimony related to the assignment, or until no longer needed for official ASD business, *whichever is longer*.

9025. Appraisal Services Case/Work Files (Trust). Trust case/work files contain paper and electronic records documenting real property appraisal services prepared by and for the Appraisal Services Directorate for the Office of Special Trust (OST). They contain a complete history of the requested actions, along with all other data, information, and documentation necessary to support the appraiser's opinions and conclusions and to show compliance with all Uniform Standards of Professional Appraisal Practice (USPAP) applicable to the specific type of appraisal service and valuation product provided, along with any other applicable standards, regulations, or legal requirements, e.g., the Uniform Appraisal Standards for Federal Land Acquisitions (UASFLA). Trust case/work files include, but are not limited to: copies of client requests for appraisal services; instructions for agency staff appraisers, contract appraisers, or 3<sup>rd</sup> party appraisers; invoices for vendor services; 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 or testimony, or a transcript of testimony; and final signed (true) copies of valuation products, e.g., appraisal services reports, reviews, and consulting reports. They are numbered organized and filed -- separately from case/work files covered by 9024 -- by ARRTS number in central files in ASD offices.

These files are classed as Indian Fiduciary Trust (IFT) files.

Disposition: PERMANENT. Cut off files at completion of final report or other valuation product/service requested. Maintain in ASD office of record for 10 years, or until no longer needed for official ASD business, whichever is longer, and then retire to records center. Subsequent legal 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

9026. Appraisal Services Records Compliance Files. These files contain records maintained by the ASD's Records Compliance Officer documenting compliance audits of records management practices at headquarters, regional and field offices of the ASD. They include, but are not limited to, cyclical (periodic) and special (occasional) audits, reports and studies detailing the results of off-site and on-site reviews; recommendations for corrective action and detailed action plans; schedules for follow-up actions; procedural manuals; operational and internal control checklists and guidelines; and materials developed for presentations and briefings for senior agency management.

Disposition: TEMPORARY. Cut off at end of fiscal year. Destroy 6 years after cut-off (GRS 16, item 7), or when no longer needed for official ASD business, *whichever is longer*.

9027. Appraisal Services Records Compliance Files (Trust). These trust files contain records maintained -- separately from compliance files covered by 9026 -- by the ASD's Records Compliance Officer documenting compliance audits of trust records management practices at headquarters, regional and field offices of the ASD, and reviews conducted for the Office of Special Trust. They include, but are not limited to, cyclical (periodic) and special (occasional) audits; reports and studies detailing the results of off-site and on-site reviews; recommendations for corrective action and detailed action plans; schedules for follow-up actions; procedural manuals; operational and internal control checklists and guidelines; and materials developed for presentations and briefings for senior agency management.

These files are classed as Indian Fiduciary Trust (IFT) files.

Disposition: PERMANENT. Cut off at end of fiscal year. Maintain in office of record for 6 years, or until no longer needed for official ASD business, *whichever is longer*, and then retire to records center. Subsequent legal 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

9028        Appraisal Services Certification and Training Files. These files contain records relating to formal appraisal services training provided to non-Trust agency clients. These files include training plans and course syllabi; copies of contracts for and invoices submitted by professional training providers; training brochures and announcements; applications of prospective trainees; rosters of individuals trained; lists of certificates and credentials earned; and evaluations of training provided. These files are maintained in central files in ASD offices.

Disposition: TEMPORARY. Cut off at end of fiscal year. Destroy 3 years after cut-off , or when no longer needed for official agency business, *whichever is longer*.

9029. Appraisal Services Certification and Training Files (Trust). These files contain records relating to formal appraisal services training provided to the Office of the Special Trustee and to Tribes. These files include training plans and course syllabi; copies of contracts for and invoices submitted by professional training providers; training brochures and announcements; applications of prospective trainees; rosters of individuals trained; lists of certificates and credentials earned; and evaluations of training provided. These files are maintained -- separately from training files covered by 9028 -- in central files in ASD offices.

These files are classed as Indian Fiduciary Trust (IFT) files.

Disposition: PERMANENT. Cut off at end of fiscal year. Maintain in office of record for 6 years, or until no longer needed for official agency business,

*whichever is longer*, and then retire to records center. Subsequent legal 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

9029.1- **Reserved.**  
9029.7

9029.8 Appraisal Services Files on the Web. These files contain a description of the various appraisal services offered by the National Business Center and guidance as to how to obtain them, along with instructions as to how to use the Appraisal Request & Review Tracking System posted to the Department's website at doi.gov.

Disposition: TEMPORARY. Delete or update information within 60 days after it has become obsolete or out of date, as appropriate.

9029.9 Electronic Mail and Word Processing System Copies. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by this schedule, and electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

Disposition: TEMPORARY. Destroy/delete within 180 days after the recordkeeping copy has been produced, or when dissemination, revision or updating is completed, as appropriate (GRS 16, item 15).

- 9021.c Appraisal Services Policy and Guidance Files: Drafts and Clearances Files (Administrative Record**
- 9021.d Appraisal Services Policy and Guidance Files: Drafts and Clearances Files (Other)**
- 9022. Appraisal Services Service-Level-Agreements Files**
- 9023. Appraisal Request & Review Tracking System Files (ARRTS**
  - 9023.a ARRTS Planning and Development Files**
  - 9023.b Reserved**
  - 9023.c ARRTS Management & Maintenance Files**
  - 9023.d ARRTS Security Files**
  - 9023.e ARRTS Inputs Files**
  - 9023.f ARRTS Master (Data)**
  - 9023.g ARRTS Outputs (Reports) Files**
  - 9023.h ARRTS System Documentation Files**
  - 9023.i ARRTS User Manual & Training Files**
- 9024. Appraisal Services Case /Work Files**
- 9025. Appraisal Services Case/Work Files (Trust)**
- 9026. Appraisal Services Records Compliance Files**
- 9027. Appraisal Services Records Compliance Files (Trust**
- 9028 Appraisal Services Certification and Training Files**
- 9029. Appraisal Services Certification and Training Files (Trust**
  - 9029.1- 7 Reserved.**
  - 9029.8 Appraisal Services Files on the Web**
  - 9029.9 Electronic Mail and Word Processing System Copies**

**Not covered by  
old schedule.**

**K. Program/Projects (1100**