REQUEST FOR RECORDS DISPOSITION AUTHORITY

LEAVE BLANK (NARA use only)
JOB NUMBER N1-075-04-7
Date Received 11-20-2003

To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION
8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001

1. FROM (Agency or establishment)
U.S. Department of the Interior

2. MAJOR SUB-DIVISION
Office of the Special Trustee for American Indians

3. MINOR SUB-DIVISION

NOTIFICATION TO AGENCY

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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
Donna Erwin	505-816-1313	12-17-03	John W. Carlin

6. **AGENCY CERTIFICATION**

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 ____ 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,

☑ is not required ☐ is attached; or ☐ has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
11/18/03	Ethel J. Abeita	Director, Office of Trust Records

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Please See Attached. **This schedule covers the 4800 Series and the following sections of 2500 Series from the 16 BIAM:** 2516-T3F - Statement of Transaction (SF-224) Files 2517-T3F - Nonexpenditure Transfer Authorization (SF-1151) Files 2520-T3F - Journal Voucher Files 2521-T3F - Voucher & Schedule of Payment Files 2522a-T3F - Cash Documents by Appropriation Files 2524-T3F - Schedule of Canceled Checks (SF-1098) Files 2538a-T3F - Printout Copies of Certificate of Deposit Files 2540-T3F - Advice of Collection Files 2542-T3F - Unappropriated Receipts Trial Balance Files 2543-T3F - Special Disbursing Agent Files 2544-T3F - Trial Balance Files 2545-T3F - Reconciliation Statement Files 2523-T3 - Daily Disbursement Report Files 11/17/03 PRINCIPAL DEPUTY SPECIAL TRUSTEE DATE OFFICE OF THE SPECIAL TRUSTEE FOR AMERICAN INDIANS		

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
2516-P Reporting	**Reporting Receipts and Disbursements to Treasury:** **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 Series: 2516-T3F, 2522a-T3F, 2543-T3F, 2544-T3F and 4803-T3F 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) and Intra-governmental Payment and Collection (IPAC) Records are subject to the Privacy Act 5 USC 552a. **Content:** 1. <u>SF-1219 Statement of Accountability and SF-1220 Statement of Transactions</u> • 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	Chronological	**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.

Series	Content:
2516-P con't.	2. <u>SF-224 Statement of Transactions</u> • 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 Office of Trust Reporting and Reconciliation is identified as the office of record.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
2520-P Receipting, Disbursing & Transfers	**Transfer Files:** **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 series: 2520-T3F 2. 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). Records are subject to the Privacy Act 5 USC 552a.	(1) Office of Field Operations – file daily in chronological order. (2) Office of Trust Services – file daily in chronological order by batch transaction number.	**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.

Series	Content:
2520-P con't.	• SF-1081 Voucher and Schedule of Withdrawals and Credits • GAO 1017 Journal Voucher (JV encoding prefix) • BIA Form 4285 Intra-Bureau Cash Transaction Authorization (BB encoding prefix) • IPAC (Intergovernmental Payment and Collection) • Work tickets • Supporting documentation such as lease distribution/interest calculation, probate/lease contract and worksheets/vouchers. The Office of Field Operations is identified as the office of record.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
2521-P Receipting, Disbursing & Transfers	**Disbursement Files:** **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 series: 2521-T3F 2. 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). Records are subject to the Privacy Act 5 USC 552a. **Content:** • SF-1166 Voucher and Schedule of Payments (VS encoding prefix) • Form 5-4250 Indian Service Special Disbursing Agent (ISSDA) • Daily Disbursements Report (DDR) (VT encoding prefix) • SF-1034 Public Voucher for Purchases and Services other than Personal • SF-1147 Public Voucher for Refunds The Office of Field Operations is identified as the office of record.	(1) Office of Field Operations – file daily in chronological order. (2) Office of Trust Services – file daily in chronological order by batch transaction number.	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
2523-P Reporting	**Daily Indian Service Special Disbursing Agent (ISSDA) Disbursement Report:** **Purpose:** To report and show all daily Individual Indian Monies' check disbursements. NOTE: 1. Related Series: 2523-T3, 4803-T3F and 4804-T3F 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • Daily Disbursement Reports (DDR) • Verification List • Check Register Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
2538-P Receipting, Disbursing & Transfers	**Cash Receipting Files:** **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 series: 2538a-T3F 2. 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). Records are subject to the Privacy Act 5 USC 552a.	(1) Office of Field Operations – file daily in chronological order. (2) Office of Trust Services – file daily in chronological order by batch transaction number.	**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.

Series	Content:
2538-P con't.	• Mail Logs • SF-215 – Deposit Tickets • Form 5-777/5-4218 – Field Receipts • DI-1040 – Bills for Collection • Form 4284 – Schedules of Collections • Completed bank deposit ticket • Work tickets • Copies of Remittances • Supporting documentation such as lease distribution/interest calculation, probate/lease contract and worksheets/vouchers. The Office of Field Operations is identified as the office of record.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
2544-P Reporting	**Reconciliation of Individual Indian Monies 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. NOTE: 1. Related Series: 2544-T3F and 4858a-T3F 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • Individual Indian Monies Financial Statements • Individual Indian Monies Account (IM6039716) Earnings Accrual Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4801-P Investments	**Investment Files**: **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 series: 4801 2. Related Electronic Systems: Money Max, Trust Funds Accounting System (TFAS), and Bloomberg. Records are subject to the Privacy Act 5 USC 552a.	Numerical by coupon rate	**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.

Series	Content:
4801-P con't.	• Records of investments • Statements of income producing security accounts • Bonds • Investments reports • Trade ticket • Money Max System reports • Related correspondence. Office of Trust Funds Management is identified as the office of record.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4802-P Account Maintenance	**Tribal Case Files:** **Purpose**: Tribal Accounts are established in accordance with 25 CFR § 115.702. NOTE: 1. Related series: 4802-P10 2. Related Electronic Systems: Trust Funds Accounting System (TFAS). Records are subject to the Privacy Act 5 USC 552a. **Content**: • Legal documentation such as tribal resolutions, Public Laws, use and distribution plans • Routine File Maintenance documentation • Financial Transaction documentation such as budget, per capita payouts, SF-1166 Schedule of Payments, Electronic Fund Transfers (EFT) • ACH disbursements, interest calculation worksheets • General Information and other related correspondence: letters to/from account holders, memos to the file, customer statements • SF-1034 Public Voucher for Purchases and Services other than Personal • BIA Form 4285 Transfer Between Appropriations The Office of Field Operations is identified as the office of record.	Office of Field Operations files daily by Tribal name then in numerical order by account number.	**PERMANENT**: Cut off files at 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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4803-P Reporting	**Weekly Indian Services Special Disbursing Agent (ISSDA) Disbursement Report:** **Purpose:** To report all Individual Indian Monies disbursement checks on a weekly basis to Treasury. NOTE: 1. Related Series: 4803-T3F and 4804-T3F 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • Weekly Check Report • Indian Service Special Disbursing Agent (ISSDA) E-data File • Daily Disbursement Report (DDR) Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4804-P Reporting	**Monthly Check Inventory Reconciliation Report:** **Purpose:** To reconcile and report on a monthly basis all 0000-4844 checks used to checks ordered from Treasury. NOTE: 1. Related Series: 4804-T3F 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • Daily Disbursement Reports • Monthly Check Inventory Report • Check Order Listing Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4805-P New Series Reporting	**Agency Electronic Funds Transfer (EFT) Payment Report:** **Purpose:** This report lists the total number of Electronic Funds Transfer (EFT) payments sent to accountholders per month. The Electronic Funds Transfer (EFT) payments are compared to payments made by checks. NOTE: 1. Related series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) and the Electronic Certification System (ECS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • Summary of Wind River Per Capita checks for current month • Custodian's daily activity for current month • SF1166 Voucher and Schedule of Payments daily activity for current month • Daily Disbursement Report - VT daily activity for current month • Electronic Funds Transfer (EFT) Report – All Check Disbursement • Individual Indian Monies (IIM) Electronic Funds Transfer – Disbursement Code 55 • Individual Indian Monies (IIM) Electronic Funds Transfer Disbursement 42, 43, 60, 61, and 85 • Tribal – Checks using SF1166 Voucher and Schedule of Payments (VS prefix) • Tribal Electronic Funds Transfer • Comparison to prior period worksheet	Chronological	**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.

Series	Content:
4805-P con't	• EFT and check distribution data worksheet • Summary of Mescal payment for month

Office of Trust Reporting and Reconciliation is identified as the office of record.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4806-P New Series Reporting	**Quarterly Loss/Claims Report:** **Purpose:** To report Individual Indian Monies claims and summarize the potential and actual losses pending settlement and interest calculated. NOTE: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content**: • Tribal Treasury overnighter rates for the three month period • Individual Indian Monies (IIM) interest rate for the three month period • Historical spreadsheets for each loss and claim Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4807-P New Series Reporting	**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: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) and BPD - Intra-Governmental Fiduciary Transactions Confirmation System (IFCS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • General Ledger Summary of 14X5265-ALL and 14X8030-ALL for Balances • Overnighter Accounts Receivable and Assets Reconciliation • Summary of General Ledger Summary Activity • Interest Expense Calculation worksheet from BPD. Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4808-P New Series Reporting	**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 Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • Monthly Standard General Ledger (SGL) Trial Balance summary • SF-1219 Statement of Accountability monthly worksheet • SF-1220 Statement of Transactions monthly worksheet • SF-224 Statement of Transactions (SF-224) monthly worksheet • Overnighter Account Receivable Report • SGL Balance Check Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4809-P New Series Reporting	**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). NOTE: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • All Trust Assets Report (Book Value Amounts) for overnighter balances • Daily Overnighter Activity spreadsheet • Interest Earnings month-to-date • Daily Null Transactions by Batch Report (Overnighter Only) Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4810-P New Series Reporting	**Treasury Investment Reconciliation:** **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 Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) and Intra-Governmental Payment and Collection (IPAC) Records are subject to the Privacy Act 5 USC 552a. **Content:** • 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 Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4811-P New Series Reporting	**Outside Treasury Investment Reconciliation:** **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 Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • Overnighter Reconciliation report • Trust Assets Report Individual Indian Monies (IIM) ONLY by Asset Class • Trust Assets Report TRIBAL ONLY by Treasury Account Symbol (TAS) • Trust Assets Report TRIBAL ONLY by Asset Class • Account Balance by Treasury Account Symbol (TAS) Book vs. Fed Cost Report • Treasury Investment Reconciliation • Custodians activity and adjustment report Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4812-P New Series Reporting	**DOI Financial Statements Securities Market Value Footnote:** **Purpose:** To provide the market values of non-Treasury securities included in the financial statements of the Department of the Interior. NOTE: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • 5265 assets report (MS Access format) • 8030 assets report (MS Access format) • JM437AUO Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4813-P New Series Reporting	**DOI Financial Statements Receipts Breakdown Footnote:** **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. NOTE: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • General Ledger Summaries for accounts under Treasury Account Symbol 14X5265 and 14X8030 • SF-6655 – Receipt Account Report balance amounts Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4814-P New Series Reporting	**Individual Indian Monies (IIM) Interim Financial Statements:** **Purpose:** To report the monthly financial balances and for use in the audited of the final reported Financial Statements. NOTE: 1. Related series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • Account Balance by Treasury Account Symbol (TAS) Book vs. Fed Cost Report • Trust Assets Report Individual Indian Monies (IIM) ONLY by Asset Class • JM428ca2 Custom Audit Report (CAR) • 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 • BB log from SF224 Daily Activity • Overnighter Reconciliation • Individual Indian Monies (IIM) Earnings Accrual and Amortization detail • Individual Indian Monies (IIM) transfer summary	Chronological	**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.

Series	Content:
4814-P con't	• Analysis of receipts and disbursements • Individual Indian Monies (IIM) Trial Balance and Adjusting Journal Entries • Research and Reclassification of Receipts file

Office of Trust Reporting and Reconciliation is identified as the office of record.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4815-P New Series Reporting	**Tribal and Other Interim Financial Statements:** **Purpose:** To report the monthly financial balances and activity and for use in the audited of the final reported Financial Statements. NOTE: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • Account Balance by Treasury Account Symbol (TAS) Book vs. Fed Cost Report • Trust Assets Report TRIBAL ONLY by Asset Class • Overnighter receipt confirmations for the first day of the next months for the following five Treasury Account Symbols (TAS): 14X5265, 14X6803, 14X8030, and 14X6140 • JM428car, JM428ca1, and JM428ca3 - Custom Audit Report (CAR) • Minerals Management Service (MMS) Data Fax Transmittal Sheet for the first day of the following month for Tribal Cash Accrual Schedule	Chronological	**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.

Series	Content:
4815-P con't.	• Tribal and Other Transfer Summary • Tribal Trial Balance and Adjusting Journal Entries (other and combined) • Research and Reclassification of Receipts file • Overnight Accrual for other accounts file Office of Trust Reporting and Reconciliation is identified as the office of record.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4816-P New Series Reporting	**Reconciliation of Statement of Differences (TFS6652):** **Purpose:** To reconcile Treasury's balances reported by the banks to balances reported by Office of Trust Funds Management for Agency Location Code (ALC) 14210651 and 00004844. NOTE: 1. Related Series: 2516-T3F, 2517-T3F, 2522a-T3F, 2543-T3F and 4803-T3F 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • Statement of Differences-Deposits and Disbursements • Proposed Adjustments to SF-1219/1220 Statement of Accountability/Transactions • SF-224 Statement of Transactions worksheet • SF-1219 worksheet • SF-1220 worksheet Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4817-P New Series Reporting	**Individual Indian Monies Overdraft Report:** **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 Series: None 2. Related Electronic Systems: Trust Funds Accounting System (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • End of Month Overdraft Report for House Accounts and Individual Indian Monies Accounts • Overdraft Individual Indian Monies (IIM) End of Month Report • Overdrafted Individual Indian Monies (IIM) Summary Report • SEI_OD_House Report (MS Access format) • SEI_OD_IIM Report (MS Access format) Office of Trust Reporting and Reconciliation is identifies as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4818-P New Series Reporting	**Summary of Overdraft Tribal Accounts Balances:** **Purpose:** To report all monthly Tribal overdraft accounts activity. NOTE: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • Tribal Overdraft Report • Account Balance Report Fed Cost Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4819-P New Series Reporting	**House Suspense Balances Report:** **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. NOTE: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • House Account End of the Month (EOM) Report (MS Access Format) Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4820-P New Series Reporting	**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. NOTE: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • Daily Disbursement Reports for Wind River Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4821-P New Series Reporting	**Current Overdraft Monitoring Report:** **Purpose:** To monitor and report the number of days and amount the Individual Indian Monies accounts are in overdraft status. NOTE: 1. Related series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • Overdraft Individual Indian Monies (IIM) End of Month Report • Monthly Overdraft Report Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4822-P New Series Reporting	**Taxable Earnings Report:** **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 Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **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 • Hard copy of duplicate forms provided to accountholders • Hard copy of all corrected Form 1099's and the corresponding Form 1096 • Correspondence from IRS, accountholders and various officials • IRS Form 4804 - Transmittal for IRS reporting for magnetic media • 1998-2002, Internal Revenue Service penalty notice and settlement documents pertaining to Joseph Clark • Internal Revenue Service penalty notices and responses for 1998 – 2001	Chronological	**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.

Series	Content:
4822-P con't.	• Internal Revenue Service magnetic media to support penalty notices • Hard copy of the annual IIM factor calculation used to compute 1099 interest amounts 1998-2002 • Osage Lake Funds summary records for life estates • Osage Quarterly Reports for the Osage tribal mineral trust • Mescal Settlement documents and research • New Mexico gross receipts tax review binder with invoice copies from the period 4/25/99 through 4/7/03 • Tax test account data reports Office of Trust Reporting and Reconciliation is identified as the office of record.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4823-P New Series Reporting	**Tax Issue Reporting:** **Purpose:** To prepare, report and document tax related issues and research activities. NOTE: 1. Related Series: None 2. Related Electronic Systems: None Records are subject to the Privacy Act 5 USC 552a. **Content:** • Internal Revenue Codes • United States Supreme Court cases • Treaties and/or other agreements • Land Claims Settlements • Judgment Awards • Beneficiary correspondence Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4824-P New Series Reconciliation	**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: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Daily Accounts Distribution System (DADS), Intregrated Records Management System (IRMS) and other Bureau of Indian Affairs Real Property Systems. Records are subject to the Privacy Act 5 USC 552a. **Content:** • Monthly Interest Reconciliation report • Interest Factor Adjustment report • One Number Reconciliation report • Prior month Individual Indian Monies (IIM) Interest Factor • Monthly Overdraft	Chronological	**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.

Series	Content:
4824-P con't.	• Close Accounts Processing System/ Partial Account Distribution System (CAPS/PADS) monthly interest distribution worksheet • Lease monthly interest distribution worksheet • Journal of Transactions – IM6039716 • Daily Individual Indian Monies (IIM) Subsidiary to Individual Indian Monies (IIM) Pool Reconciliation. Office of Trust Reporting and Reconciliation is identified as the office of record.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4825-P New Series Reconciliation	**Daily Cash Reconciliation File:** **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 day balances on Trust Fund Accounting System (TFAS). NOTE: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government Online Accounting Link System (GOALS II). Records are subject to the Privacy Act 5 USC 552a. **Content:** • Daily transaction report • Batch Status Report • JM462en0.001 - End of Day report • Previous day Daily Cash Reconciliation Report • I2P Individual Indian Monies (IIM) Sub to Individual Indian Monies (IIM) Pool Reconciliation report • Classification of Daily Disbursement Report (CDD-TFAS)	Chronological	**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.

Series	Content:
4825-P con't.	• Overnighter worksheet with detailed supporting information • Daily Cash Reconciliation report Office of Trust Reporting and Reconciliation is identified as the office of record.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4826-P New Series Reconciliation	**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: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government Online Accounting Link System (GOALS II). Records are subject to the Privacy Act 5 USC 552a. **Content:** • Daily CASHLINK Report – Deposit Ticket (SF-215) and Debit Voucher (SF-5515) • Electronic Funds Transfer (EFT) Transfers • Minerals Revenue Management report • Treasury SF-1081 (Voucher and Schedule of Withdrawals and Credits) • SF-1166 (Voucher and Schedule of Payments) reports • SF-1098 (Scheduled of Canceled or Undelivered Checks)	Chronological	**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.

Series	Content:
4826-P con't.	• Government On-Line Account Link System (GOALS II) Transaction Report per Agency Location Codes (ALC) • Intra-Governmental Payment and Collection (IPAC) Transaction Reports per Agency Location Codes • Preliminary and Final – Daily Indian Service Special Disbursing Agent (ISSDA) Disbursements Reports Office of Trust Reporting and Reconciliation is identified as the office of record.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4827-P New Series Reconciliation	**Trust Fund Accounting System (TFAS) and Individual Indian Monies (IIM) Daily Reconciliation File:** **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 Transactions IM6039716. NOTE: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS). Records are subject to the Privacy Act 5 USC 552a.	Chronological	**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.

Series	Content:
4827-P con't.	This file consists of the follow two major reports and other records used and maintained to prepare these reports: 1. Daily Individual Indian 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. • Daily Individual Indian Monies (IIM) Subsidiary to Individual Indian Monies (IIM) Pool Reconciliation worksheet • JM428i2P.001 Individual Indian Monies (IIM) to Pool Fund • JM428i2P.002 Individual Indian Monies (IIM) to Pool Fund • JM460bli.001 Post set batch blotter • JM463mn0.001 Daily mini ledger (IM6039716) • JM463en0.001 End of Day • Batch Status Report Office of Trust Reporting and Reconciliation is identified as the office of record.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4828-P New Item Reconciliation	**Daily Retroactive Investment Report File:** **Purpose:** To report receipts over $50,000.00 posted to the Trust Funds Accounting Systems (TFAS) after the A.M. sweep for retroactive investment purposes. NOTE: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government Online Accounting Link System (GOALS II). Records are subject to the Privacy Act 5 USC 552a. **Content**: • Daily CASHLINK (Electronic Funds Transfers) Report • Cash Batch Control Log • Close Accounts Processing System and Partial Account Distribution System (Caps/Pads) Batch Control Log • Tribal and Individual Indian Monies (IIM) Pool Cash/Units Batch Control Log • Customer Stratus Station (CSS) Cash Batch Control Log Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4829-P New Item Reconciliation	**Control ID 462/463 Reconciliation Report File:** **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 Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • Cash Reconciliation Ledger report • JM428SM1 (jm428sm1.001) • JM428SM2 (jm428sm2.001) • JM428GNM (jm428gnm.002) • JM428BSO (jm428bs0.001) • JM428LEA, ID428 • JM460POO (jm460po0.001) • JM462PYO jm462py0.462)	Chronological	**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.

Series	Content:
4829-P con't.	• JM428CCO (jm428cc0.001) • JM428CCO (jm428cc0.003) • JM428CCO (jm428cc0.004) • JM428DEP jm428dep.001) • JM428CPT (jm428cpt.001) • Monthly Interest Program (jm428int.000) • Oil/Gas Interface Report (jm428oil.001) • Range Interface Report (jm428rng.001) • Lease Interface Report (jm428lea.001) • Per Capita Interface Program (jm428cap.001) • Osage Interface Report (JM428osg.003) • Payouts - check requests & direct deposit requests for Individual Indian Monies (IIM) (jm463py0.463) • JM428SM0 (jm428sm0.001) • JM428I2P (jmi2p.002) • End of Day Blotter (jm460en0.001)) • End of Day Blotter (jm462en0.001) • End of Day Blotter (jm463en0.001) • Batch Status Report • Grand Total of ID462/ID463 • Reconciliation Report Office of Trust Reporting and Reconciliation is identified as the office of record.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4830-P New Series Reconciliation	**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 Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS). Records are subject to the Privacy Act 5 USC 552a. **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). Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4831-P New Item Reconciliation	**Minerals Management Service (MMS) Reconciliation Report File:** **Purpose:** This is an internal journal used to detail the daily IMMS0712 account of transactions. This journal is to assist in the Undisbursed Appropriation Account Ledger (TFS-6653) month-end reclassification discrepancies, which may exist in Treasury Accounts by Symbol. NOTE: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government Online Accounting Link System (GOALS II). Records are subject to the Privacy Act 5 USC 552a. **Content:** • Minerals Management Service (MMS) Voucher and Schedule of Withdrawals and Credits (SF-1081) Log • Deputy Disbursing Agent (DDA) Statement – first day of month • Monthly DDA Statement – 14X6039, 14X6803 Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4832-P New Series Reconciliation	**SF 6653/6654 Reconciliation Reports and Analysis Worksheet File:** **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: 1. Related Series: 2516-T3F and 2522a-T3F 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government Online Accounting Link System (GOALS II). Records are subject to the Privacy Act 5 USC 552a.	Chronological	**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.

Series	Content:
4832-P con't.	(1) Prior Months Macro File Worksheet • IM500 (IM6039716 Journal) • I2P Journal (Individual Indian Monies, IIM, Subsidiary to Individual Indian Monies (IIM) Pool Reconciliation) • Daily Cash Statement (2) SF6653/6654 Reconciliation (Undisbursed Appropriations Account Ledger/Trial Balance). • Previous month's SF-6653/6654 month end worksheet • Respective month's ending Daily Cash Reconciliation report • Monthly Cash Statement Compilation report • Minerals Management Service Reconciliation worksheet • Miscellaneous Treasury Receipts Clearing Account (OT3220) Reconciliation • SF-6653/6654 Analysis Report • SF-224 Statement of Transactions • SF-224 Detail Reports • SF-1219/1220 Statement of Disbursements • SF-1219/1220 Detail Reports • Respective month end Minerals Management Service Fax Report • Account Balance by Treasury Account Symbol (TAS) Book vs. Fed Cost Report

Series	Content:
4832-P con't.	(3) SF6653 Analysis (Undisbursed Appropriations Account Ledger). • Daily Cash Statement report for the last day of the month • Daily Cash Reconciliation report for the last day of the month • Monthly Daily Cash Statement report • Miscellaneous Treasury Receipts Clearing Account (OT3220) Reconciliation • Previous month's SF-6653/6654 Analysis Report • Previous month's SF-6653/6654 (Undisbursed Appropriations Account Ledger/Trial Balance) • Minerals Management Service Fax by TAS report (4) Monthly Cash Statement Classification Comparison to the SF-224, SF-1219/1220 Activity • Daily Cash Statement reports • SF-224 Statement of Transactions • SF-224 Detail Reports • SF-1219/1220 Statement of Differences • SF-1219/1220 Detail Reports • SF-6653 Undisbursed Appropriations Account Ledger (5) Monthly Cash Statement Classification. • Prior Month's Cash Statement Activity

Office of Trust Reporting and Reconciliation is identified as the office of record.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4833-P New Series Reconciliation	**Month End Unit Reconciliation:** **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. NOTE: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS). Records are subject to the Privacy Act 5 USC 552a. **Content:** • All Trust Assets Report • Reconciliation of Daily Balances • Schedule of Treasury Securities held at Treasury • Statement of Accounts • Report of Custodian Positions Out of Balance • Report of Position Not Held at Custodian • Position Reconciliation worksheet	Chronological	**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.

Series	Content:
4833-P con't.	• Report of Custodian Positions in Balance • Report of Custodian Positions Not Held on TFAS • End of Day Bank Reconciliation • Performance Bond-Cash Comparison • Custodial Statement of Securities Office of Trust Reporting and Reconciliation is identified as the office of record.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4834-P New Series Reconciliation	**One Number Reconciliation:** **Purpose:** Reconciles the activity in the Individual Indian Monies (IIM) control account and all tribal accounts with Treasury balances. NOTE: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government Online Accounting Link System (GOALS II). Records are subject to the Privacy Act 5 USC 552a. **Content:** • Individual Indian Monies (IIM) Systems Balance Analysis Reports • Tribal Systems Balance Analysis Reports • IM6039716 • Earnings Accrual for the respective month ending • Schedule of Accounts Receivable • One Number worksheet from Monthly Interest Factor Adjustment Reconciliation • Interest Overdraft Balance and Change worksheet from Monthly Interest Factor Adjustment Reconciliation	Chronological	**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.

Series	Content:
4834-P con't.	• I2P Balancing (Individual Indian Monies (IIM) Sub to Individual Indian Monies, IIM, Pool Reconciliation) • Journal of Transactions IM6039716 • Monthly SF-6653/6654 balances to TFAS Cash balances for the respective month • Trust Asset Report IIM ONLY (Book Value Amounts) for the respective month • Trust Asset Report TRIBAL ONLY by Treasury Account Symbol (TAS) for the respective month • Account Balance by Treasury Account Symbol (TAS) Book vs. Fed Cost Report for the respective month Office of Trust Reporting and Reconciliation is identified as the office of record.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4835-P New Series Reconciliation	**Daily Interest Reconciliation:** **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: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government Online Accounting Link System (GOALS II). Records are subject to the Privacy Act 5 USC 552a. **Content:** • Trust Fund Accounting System Transaction Register (TFAS – TR) • IIMPOOLINT Daily Transaction Report. Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4836-P New Series Reconciliation	**Monthly Daily Disbursement Report (VT) Reconciliation File:** **Purpose:** This report reconciles the interest earned and ensures interest factor includes all earnings and distributions. NOTE: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government Online Accounting Link System (GOALS II). Records are subject to the Privacy Act 5 USC 552a. **Content:** • Financial Management Service (FMS) 1219-Statement of Accountability • Daily Indian Service Special Disbursing Agent (ISSDA) Disbursement Report • VT (Check Register) reconciliation report with supporting worksheets • Monthly Cash Statement with VT information for the previous month Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4837-P New Series Reconciliation	**Reconciliation List and Fax Confirmations:** **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: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government Online Accounting Link System (GOALS II). Records are subject to the Privacy Act 5 USC 552a. **Content:** The records used to prepare the report are hard copies of the confirmations received from the fax machine for each region. Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4838-P New Series OST	**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: 1. Related series: None 2. Related Electronic Systems: Trust Funds Accounting System (TFAS) Records are subject to the Privacy Act 5 USC 552a. **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 Each office is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4839-P New Series Interest	**Individual Indian Monies (IIM) Pool Earnings:** **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. Office of Trust Funds Management uses the factor to distribute the earnings to the IIM Accounts. The Branch of Accounting Services sends interest factor information to the Office of Information Technology Services which generates the interest factor interface file; and initiates a program to post to IIM accounts. NOTE: 1. Related series: None 2. Related Electronic Systems: Trust Funds Account System (TFAS) and Integrated Records Management System (IRMS). Records are subject to the Privacy Act 5 USC 552a.	Numerical by coupon rate	**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.

Series	Content:
4839-P con't.	• 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 for the month • Trust Funds Accounting System (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

Series	Content:
4839-P con't.	• 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

Series	Content:
4839-P con't.	• 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

Series	Content:
4839-P con't.	• 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 • Daily Account Distribution System (DADS) Full With Close Log: Used in determining the Daily Account Distribution System (DADS) Log Totals • 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) (FULL) Cash Blotter page: Used in the Daily Account Distribution System (DADS) Log process • Daily Account Distribution System (DADS) (Partial) Cash Blotter page: Used in the DADS process

Series	Content:
4839-P con't.	• 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

Series	Content:
4839-P con't.	• 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

Series	Content:
4839-P con't.	• 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)

The Office of Trust Funds Management is identified as the office of record.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4840-P New Series Interest	**One Day Overnight Security Investment:** **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: 1. Related series: None 2. Related Electronic Systems: Trust Funds Accounting System (TFAS), Polaris, and Bloomberg. Records are subject to the Privacy Act 5 USC 552a.	File chronological by fiscal year and month	**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.

Series	Content:
4840-P con't.	• Cover Letter • Investment Confirmation Letter • Overnight Amount Calculation Worksheet • Computer Controlled Cash Management Reports • Current Day's Control Log • Summary of Interest Report • Interest Earnings month to date worksheet • Overnight Rate Calculation worksheet • Batch Status Report • Daily Reconciliation AM worksheet • Today's Settlement Report from SMAC • Report of Income Posted • Individual Indian Monies (IIM) Transaction Recap Report • Previous Day's PM Control Long • Report of all scheduled payments • Uninvested Cash Report • Full Call Posting Journal, if applicable • GNMA Live Report, if applicable • FHLMC Live Report, if applicable • FNMA Live Report, if applicable

The Office of Trust Funds Management is identified as the office of record.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4841-P New Series Interest	**Overnight Interest Factor:** **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 series: None 2. Related Electronic Systems: Trust Funds Accounting System (TFAS) Records are subject to the Privacy Act 5 USC 552a. **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.	**Chronologically**	**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.

Series	Content:
4841-P con't.	• 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. The Office of Trust Funds Management is identified as the office of record.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4842-P New Series Reporting	**Standard General Ledger Compilation Report:** **Purpose:** To report and record all activity in accounts to a general ledger formation on a monthly and quarterly basis. NOTE: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • TFAS transactions report for current month • Overnighter Accounts Receivable report • Trust Assets Report TRIBAL ONLY by Asset Class • Monthly Accounts Receivable report • Monthly Amortization Summary report Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4843-P New Series Reporting	**Standard General Ledger (SGL) Report to National Business Center (NBC):** **Purpose:** To report quarterly the amounts by standard general ledger accounts to the National Business Center (NBC) for all on-budget accounts activity. NOTE: 1. Related Series: None 2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content**: • General Ledger Summaries for 14X5265-ALL • 14X5265 – Financial Statements • 14X8030 – ALL • 14X8030 – Financial Statements Office of Trust Reporting and Reconciliation is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4844-P New Series Reporting	**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: 1. Related series: None 2. Related Electronic Systems: Trust Funds Accounting System (TFAS) Records are subject to the Privacy Act 5 USC 552a. **Content:** • E-mail Notifications (to Issues Team, Accountants, Branch and Division Chiefs) • Copy of Daily Overdraft Report The Office of Trust Funds Management is identified as the office of record.	Chronological	**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.

Series	Title and Description of Records	Filing Instructions	Disposition Instructions
4851-P Account Maintenance	**Individual Indian Monies (IIM) Case Files:** **Purpose**: Accounts are established for individuals who have an interest in income producing trust assets and/or are recipients of judgment and other per capita distributions. NOTE: 1. Related series: 4851-P5, 4853-P5 and 4857-T3F 2. Related Electronic Systems: Trust Funds Accounting System (TFAS) Records are subject to the Privacy Act 5 USC 552a. **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 (IRS) Forms W-9, 1099-Interest, and 1099-MISC;heirship 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);	Office of Field Operations files daily in chronological order.	**PERMANENT**: Cut off files at 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.

Series	Content:
4851-P con't.	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. The Office of Field Operations is identified as the Office of record.

Series

4871-P
New Series
Systems

System Title: Trust Funds Accounting System (TFAS)

System Description:

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.

Series

4871-P
con't.

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.

b. Master Data Files:

The Master data files contains 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

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. 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.

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.

Series

4871-P
con't.

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.

Series Additional Information for: **Trust Funds Accounting System (TFAS)**

4871-P con't.

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**

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**

Series

4872-P
New Series
Systems

System Title: Daily Account Distribution System (DADS)

System Description:

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.

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.

Series

4872-P
con't.

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.

Series

4872-P con't.

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.

Series

4872-P
con't.

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**

Related Unscheduled Series/Systems: **TFAS**
ODR
PADSCAPS
SEI Security

Location: **Albuquerque, New Mexico**

Points of contact: **Chief Information Officer, Office of the Special Trustee for American Indians**

2500 Series Conversion Table
Office of the Special Trustee for American Indians

16 BIAM (1989 Version)	Proposed Schedule (2003 Version)		Related Series
2516-T3F - Statement of Transaction (SF-224) Files	2516-P	Reporting Receipts and Disbursements to Treasury	2522a-T3F, 2543-T3F, 2544-T3F and 4803-T3F
2517-T3F - Nonexpenditure Transfer Authorization Files		Reserved (no longer used)	
2520-T3F - Journal Voucher Files	2520-P	Transfer Files	
2521-T3F - Voucher and Schedule of Payment Files	2521-P	Disbursement Files	
2522 - Cash Documents By Appropriation Files 2522a-T3F 2522b-T0 2522c-T0		Reserved (Combined with 2516)	
2523-T3 - Daily Disbursement Report Files	2523-P	Daily Indian Services Special Disbursing Agent (ISSDA) Disbursement Report	4803-T3F and 4804-T3F
2524-T3F - Schedule of Cancelled Checks Files		Reserved (Combined with 4851 and 4802)	
2538 - Certificate of Deposit Files 2538a-T3F 2538b-T0	2538-P	Cash Receipting Files	
2540-T3F - Advice of Collections Files		Reserved (Combined with 2538)	
2542-T3F - Unappropriated Receipts Trial Balance Files		Reserved (Combined with 4802)	
2543-T3F - Special Disbursing Agent Files		Reserved (Combined with 4851)	

Blue - Updated record series
Red - New record series

FINAL

2500 Series Conversion Table
Office of the Special Trustee for American Indians

16 BIAM (1989 Version)	Proposed Schedule (2003 Version)		Related Series
2544-T3F - Trial Balance Files	2544-P	Reconciliation of Individual Indian Monies Financial Statement Interest Earnings	4858a-T3F
2545-T3F - Reconciliation Statement Files		Reserved (no longer used)	

Blue - Updated record series
Red - New record series

FINAL

4800 Series Conversion Table
Office of the Special Trustee for American Indians

16 BIAM (1989 Version)	Proposed Schedule (2003 Version)		Related Series
4801-P3 - Security Account Files	4801-P	Investment Files	
4802-P10 - Tribal Trust Accounts General Ledger Files	4802-P	Tribal Case Files	
4803-T3F - Indian Services Special Disbursing Agent (ISSDA) Report Files	4803-P	Weekly Indian Services Special Disbursing Agent (ISSDA) Disbursement Report	4804-T3F
4804-T3F - Monthly Check Reconciliation Listing Files	4804-P	Monthly Check Inventory Reconciliation Report	
Unscheduled	4805-P	Agency Electronic Funds Transfer (EFT) Payment Report	
Unscheduled	4806-P	Quarterly Loss/Claims Report	
Unscheduled	4807-P	Intra-Governmental Fiduciary Transactions Confirmation System Report (IFCS)	
Unscheduled	4808-P	Standard General Ledger (SGL) Edit Checks File	
Unscheduled	4809-P	Overnighter Reconciliation Report	
Unscheduled	4810-P	Treasury Investment Reconciliation	
Unscheduled	4811-P	Outside Treasury Investment Reconciliation	
Unscheduled	4812-P	DOI Financial Statements Securities Market Value Footnote	
Unscheduled	4813-P	DOI Financial Statements Receipts Breakdown Footnote	
Unscheduled	4814-P	Individual Indian Monies (IIM) Interim Financial Statements	
Unscheduled	4815-P	Tribal and Other Interim Financial Statements	

Blue - Updated record series
Red - New record series

FINAL

4800 Series Conversion Table
Office of the Special Trustee for American Indians

16 BIAM (1989 Version)	Proposed Schedule (2003 Version)		Related Series
Unscheduled	4816-P	Reconciliation of Statement of Differences (TFS6652)	2516-T3F, 2517-T3F, 2522a-T3F, 2543-T3F and 4803-T3F
Unscheduled	4817-P	Individual Indian Monies Overdraft Report	
Unscheduled	4818-P	Summary of Overdraft Tribal Accounts Balances	
Unscheduled	4819-P	House Suspense Balances Report	
Unscheduled	4820-P	Quarterly Wind River (WR) Check Reporting	
Unscheduled	4821-P	Current Overdraft Monitoring Report	
Unscheduled	4822-P	Taxable Earnings Report	
Unscheduled	4823-P	Tax Issue Reporting	
Unscheduled	4824-P	Interest Factor Reconciliation File	
Unscheduled	4825-P	Daily Cash Reconciliation File	
Unscheduled	4826-P	Daily Cash Statement File	
Unscheduled	4827-P	Trust Fund Accounting System (TFAS) and Individual Indian Monies (IIM) Daily Reconciliation File	
Unscheduled	4828-P	Daily Retroactive Investment Report File	
Unscheduled	4829-P	Control ID 462/463 Reconciliation Report File	
Unscheduled	4830-P	I2P (Individual Indian Monies (IIM) Subsidiary to Individual Indian Monies (IIM) Pool) Journalizing	

Blue - Updated record series
Red - New record series

FINAL

4800 Series Conversion Table
Office of the Special Trustee for American Indians

16 BIAM (1989 Version)	Proposed Schedule (2003 Version)		Related Series
Unscheduled	4831-P	Minerals Management Service (MMS) Reconciliation Report File	
Unscheduled	4832-P	SF 6653/6654 Reconciliation Reports and Analysis Worksheet File	2516-T3F and 2522a-T3F
Unscheduled	4833-P	Month End Unit Reconciliation	
Unscheduled	4834-P	One Number Reconciliation	
Unscheduled	4835-P	Daily Interest Reconciliation	
Unscheduled	4836-P	Monthly Daily Disbursement Report (VT) Reconciliation File	
Unscheduled	4837-P	Reconciliation List and Fax Confirmations	
Unscheduled	4838-P	Quarterly Internal Review Reports	
Unscheduled	4839-P	Individual Indian Monies (IIM)) Pool Earnings	
Unscheduled	4840-P	One Day Overnight Security Investment	
Unscheduled	4841-P	Overnight Interest Factor	
Unscheduled	4842-P	Standard General Ledger Compilation Report	
Unscheduled	4843-P	Standard General Ledger (SGL) Report to National Business Center (NBC)	
Unscheduled	4844-P	Daily Overdraft Report	
4851-P5 - IIM Case Files	4851-P	Individual Indian Monies (IIM) Case Files	4853-P5 and 4857-T3F

Blue - Updated record series
Red - New record series

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4800 Series Conversion Table
Office of the Special Trustee for American Indians

16 BIAM (1989 Version)	Proposed Schedule (2003 Version)		Related Series
4852-IIM - Ledgers and Cards		Reserved (combined with 4851)	
4853-P5 - IIM Posting and Control Records		Reserved (combined with 4851)	
4854-T3 - IIM Duplicate Posting and Control Records		Reserved (combined with 4851)	
4855 - IIM Name File 4855a-T1 4855b-T0		Reserved (combined with 4871)	
4856-T3 - IIM Balance Forward Files 4856a-T3 4856b-T3		Reserved (combined with 4851)	
4857-T3F - Cash Collection Files		Reserved (combined with 2538)	
4858 - General Ledger Detailed Listings 4858a-T3F 4858b-T0		Reserved (combined with 4871)	
4859-T3F - IIM Deposit Ticket Files		Reserved (combined with 2538)	
Unscheduled	4870	Electronic Records (SYSTEMS) - RESERVED -	
Unscheduled	4871-P	Trust Fund Accounting System (TFAS)	4851-P5, 4852, 4853-P5, 4854-T3, 4855, 4856, 4858, 4859-T3F
Unscheduled	4872-P	Daily Account Distribution System (DADS)	

Blue - Updated record series
Red - New record series

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