

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		NI-075-06-8	
1. FROM (Agency or establishment) Department of the Interior		Date received 3-13-2006	
2. MAJOR SUBDIVISION Office of the Secretary		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION Office of Historical Trust Accounting (OHTA)		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Sharon C. Michel, OHTA Records Manager	5. TELEPHONE NUMBER 254-2116 (202) 927-5346	DATE 3/20/06	ARCHIVIST OF THE UNITED STATES Allen Warrick
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 <u>21</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,  <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE March 9, 2006	SIGNATURE OF AGENCY REPRESENTATIVE <i>Sharon Michel</i>		TITLE OHTA Records Manager
7. ITEM NO	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	Chapter 9000, Revised 16 BIAM (2006), Historical Trust Accounting (OHTA)  This is a new chapter of formerly all unscheduled records in the Office of Historical Trust Accounting. OHTA falls under the immediate supervision of the Office of the Secretary of the Interior, however, under a previous agreement with NARA, certain American Indian records are to be centrally scheduled within Record Group 075. The series in this chapter include:  TR-9001, Program Correspondence and Policy/Directives Files TR-9002, Executive Director's Chronological File TR-9003, Cobell v Norton Related Electronic Mail Records TR-9004, Indian Reservation Histories TR-9005, Historical Accounting Quality Control Files TR-9006, Historical Trust Statistical Reports TR-9007, Historical Trust Accounting Document Request Tracking and Control Files TR-9008, Historical Statement of Account Files TR-9101, SDA Project Case Files TR-9102, SDA Chronological File TR-9201, Tribal Trust Accounting Project Files		
2	TR-9901, Accounting Reconciliation Tool (ART)  This is an electronic system schedule for the Accounting Reconciliation Tool.		

TR 9902 Special Deposit Account (SDA) Plus

*SL 10/12/06*      *Copies sent to Agency, NARA, NR*

**16 BIAM UPDATE**

**Bureau of Indian Affairs Records Schedule  
Historical Trust Accounting**

**DRAFT 5/10/06  
Modification sent to NARA**

**SERIES: 9000**

**REVISED 16 BIAM (2006)**

**9000 – HISTORICAL TRUST ACCOUNTING**

**(Added to the 16 BIAM)**

## 16 BIAM UPDATE

SERIES: 9000

Bureau of Indian Affairs Records Schedule  
Historical Trust Accounting

DRAFT 5/10/06  
Modification sent to NARA

### 9000 SERIES - RECORDS COMMON TO MOST OFFICES

(New)  
TR-9001-P5

#### Program Correspondence and Policy/Directives Files

##### a. Program Correspondence Files – Official Files

**Contents:** Records include program correspondence files that are created; received and where action is taken; or have the primary responsibility for documentation of the activities which relate directly to the Historical Trust Accounting program function. Records relate to program management and OHTA program projects, including, but not limited to: Judgment and Per Capita Individual Indian Money (IIM) Accounts, Land-based IIM Accounts, Special Deposit IIM Accounts (SDA), Tribal Trust Accounting, and Data Digitization and Validation. Records include, but are not limited to, incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program and administrative activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

**Filing Arrangement:** Arrange under general subject areas, such as: (1) General Program Management, (2) Judgment and Per Capita IIM Accounts, (3) Land-based IIM Accounts, (4) SDA IIM Accounts, (5) Tribal Trust Accounting, and then alphabetically by subject.

**Official File:** Central Office.

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

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

**Contents:** Records include files relating to the internal program policy, guidance and regulations of daily operations for the Historical Trust Accounting program. Records consist of the preparation, review, and documentation of decisions related to policy development, to the Administrative Record of The Historical Accounting Plan for Individual Indian Money, regulation case history, public comment, proposed and final regulations, clearances, publications and final distribution of a directive in a manual, bulletin or handbook format outlining internal policy,

## 16 BIAM UPDATE

Bureau of Indian Affairs Records Schedule  
Historical Trust Accounting

DRAFT 5/10/06  
Modification sent to NARA

SERIES: 9000

procedure, organization, instruction and delegation of authority. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

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

**Official File:** Central Office.

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

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT**

**NARA Job Number: N1-075-Pending**

## 16 BIAM UPDATE

SERIES: 9000

Bureau of Indian Affairs Records Schedule  
Historical Trust Accounting

DRAFT 5/10/06  
modification sent to NARA

(New)

TR-9002-P5

### Executive Director's Chronological File

**Contents:** Records include program correspondence files that are created; received and where action is taken; or have the primary responsibility for documentation of the activities which relate directly to the Historical Trust Accounting program function. Records include, but are not limited to, incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are electronic finding aids, printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

**Filing Arrangement:** Arrange chronologically by date received or created.

**Official File:** Central Office.

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

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT**

**NARA Job Number: N1-075-Pending**

## 16 BIAM UPDATE

SERIES: 9000

Bureau of Indian Affairs Records Schedule  
Historical Trust Accounting

DRAFT 5/10/06  
modification sent to NARA

(New)

TR-9003-P5

**Cobell v. Norton Related Electronic Mail Records**

**Contents:** Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records and relate to: (1) *Cobell v. Norton* litigation; (2) American Indian trust reform; or (3) administration of Individual Indian Money (IIM) accounting, including any attachments to the record messages after they have been copied to paper.

**Filing Arrangement:** Arrange by staff member and then chronologically by date.

**Official File:** Central Office.

**Disposition Instructions: PERMANENT.** Cut off at fiscal year end. Maintain in office of record for a maximum of 3 years after cut off, and then retire to the Federal Records Center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of the Interior and the National Archives and Records Administration.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT**

**NARA Job Number: N1-075-Pending**

## 16 BIAM UPDATE

SERIES: 9000

Bureau of Indian Affairs Records Schedule  
Historical Trust Accounting

DRAFT 5/10/06  
modification sent to NARA

(New)  
TR-9004-P

### Indian Reservation Histories

**Contents:** Records include individual histories of Indian reservations. The history of each reservation is in the form of a narrative that contains information such as the location of records relating to the reservation, the major treaties or legislation relating to the reservation, the process of allotment, and information on resource development, judgment funds or other information on disbursement of trust fund monies. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

**Filing Arrangement:** Arrange by BIA Region and then by Indian tribe.

**Official File:** Central Office.

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

**NARA Job Number: N1-075-05-Pending**

## 16 BIAM UPDATE

Bureau of Indian Affairs Records Schedule  
Historical Trust Accounting

DRAFT 5/10/06  
modification sent to NARA

SERIES: 9000

(New)  
TR-9005-P5

### Historical Accounting Quality Control Files

#### a. Quality Control Reviews

**Contents:** Records include audit working files of the historical accounting projects. A quality control review is conducted on various types of historical accounting reconciliations and related activities, such as verifying the reliability of the data contained in the Accounting Reconciliation Tool, the information technology system utilized for account reconciliations. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

**Filing Arrangement:** Arrange by subject of quality control review and then chronologically by date.

**Official File:** Central Office.

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

#### a. Quality Control Reports

**Contents:** Records include quality control reports summarizing the quality control reviews of historical accounting projects and activities. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

**Filing Arrangement:** Arrange by subject of quality control review and then chronologically by date.

**Official File:** Central Office.

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



**16 BIAM UPDATE**

---

**Bureau of Indian Affairs Records Schedule  
Historical Trust Accounting**

**DRAFT 5/10/06  
modification sent to NARA**

---

**SERIES: 9000**

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT**

**NARA Job Number: N1-075-Pending**

## 16 BIAM UPDATE

SERIES: 9000

Bureau of Indian Affairs Records Schedule  
Historical Trust Accounting

DRAFT 5/10/06  
modification sent to NARA

(New)

TR-9006-P5

### Historical Trust Statistical Reports

**Contents:** Records consist of periodic reports on (1) the completion of each project or phase of a project in historical accounting; (2) meta analysis (overview analysis) of studies and reports; and (3) any specific or ad hoc statistical analysis. The reports include detailed explanations of the methodology utilized to derive any statistical samples and how the data was analyzed to predict within a specified margin of error the accuracy of historical accounting projects. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

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

**Official File:** Central Office.

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

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT**

**NARA Job Number: N1-075-Pending**

## 16 BIAM UPDATE

SERIES: 9000

Bureau of Indian Affairs Records Schedule  
Historical Trust Accounting

DRAFT 5/10/06  
modification sent to NARA

(New)

TR-9007-P5

### Historical Trust Accounting Document Request Tracking and Control Files

**Contents:** Records include logs, registers, copies of requested documents and other records used to control or document the status of requests for accounting records necessary to reconcile accounts or document account transactions. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

**Filing Arrangement:** Arrange by BIA Agency and then either chronologically or by subject.

**Official File:** Central Office.

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

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT**

**NARA Job Number: N1-075-Pending**

## 16 BIAM UPDATE

Bureau of Indian Affairs Records Schedule  
Historical Trust Accounting

DRAFT 5/10/06  
modification sent to NARA

SERIES: 9000

(New)

TR-9008-P5

### Historical Statement of Account Files

#### a. Mailings

**Contents:** Records relating to the development of Historical Statements of Account mailed to account owners. Records include the cover letter for each mailing, the Historical Statement of Account, the brochure on Historical Statements of Account, a Statement of Limitations (if required for the mailing), and the Interest Comparison Statement (if required), and the record copies of the statements mailed to account holders. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

**Filing Arrangement:** Arrange chronologically by mailing date and then by the accounting group number assigned to each Indian Tribe.

**Official File:** Central Office.

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

#### b. Returned Mail

**Contents:** Returned Historical Statement of Accounts mailed to account owners for which further research failed to identify the correct address. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

**Filing Arrangement:** Arrange chronologically by mailing date and then by the accounting group number assigned to each Indian Tribe.

**Official File:** Central Office.

**Disposition Instructions: PERMANENT.** Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off, and then retire to the Federal Records Center. Subsequent legal transfer of the records to the National Archives of the United States will be as

## 16 BIAM UPDATE

**Bureau of Indian Affairs Records Schedule  
Historical Trust Accounting**

**DRAFT 5/10/06  
modification sent to NARA**

**SERIES: 9000**

---

jointly agreed to between the United States Department of the Interior and the National Archives and Records Administration.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT**

**NARA Job Number: N1-075-Pending**

## 16 BIAM UPDATE

SERIES: 9000

Bureau of Indian Affairs Records Schedule  
Historical Trust Accounting

DRAFT 5/10/06  
modification sent to NARA

### 9100 SERIES – SPECIAL DEPOSIT ACCOUNT (SDA) PROJECT FILES

(New)  
TR-9101-P5

#### SDA Project Case Files

##### a. Transaction Documentation Files

**Contents:** Records include financial and accounting records documenting transactions within each SDA. These records include, but are not limited to, vouchers and schedules of withdrawal and credits, public vouchers for refunds, BIA intra-bureau cash transaction authorizations, journal vouchers, lease agreements, farming and grazing permits, and title status reports. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

**Filing Arrangement:** Arrange by BIA Region and then by SDA account number.

**Official File:** Record copy maintained by SDA field offices.

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

#### **SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT**

**NARA Job Number: N1-075-Pending**

##### b. Transaction Documentation Working Files

**Contents:** Copies of financial and accounting records documenting transactions within each SDA. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

**Filing Arrangement:** Arrange by BIA Region and then by SDA account number.

## 16 BIAM UPDATE

Bureau of Indian Affairs Records Schedule  
Historical Trust Accounting

DRAFT 5/10/06  
modification sent to NARA

SERIES: 9000

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

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

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT**

**NARA Job Number: N1-075-Pending**

## 16 BIAM UPDATE

SERIES: 9000

Bureau of Indian Affairs Records Schedule  
Historical Trust Accounting

DRAFT 5/10/06  
modification sent to NARA

(New)  
TR-9102-P5

### SDA Chronological File

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

**Filing Arrangement:** Arrange chronologically by date received or created.

**Official File:** Field Offices with primary responsibility.

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

**Closed Series:** Dates: From 2001 – December 30, 2005

Cubic feet: 2

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT**

**NARA Job Number: N1-075-Pending**



## 16 BIAM UPDATE

Bureau of Indian Affairs Records Schedule  
Historical Trust Accounting

DRAFT 5/10/06  
modification sent to NARA

SERIES: 9000

### 9200 SERIES – TRIBAL TRUST ACCOUNTING PROJECT FILES

(New)

TR-9201-P5

#### Tribal Trust Accounting Project Files

**Contents:** Records include files relating to Tribal trust accounting and to the historical trust accounting support OHTA provides the Department of Justice in Tribal account cases. Records include, but are not limited to, incoming and outgoing originals or copies of correspondence, reports, forms, project plans, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

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

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

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

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT**

**NARA Job Number: N1-075-Pending**

## 16 BIAM UPDATE

### Bureau of Indian Affairs Records Schedule Historical Trust Accounting

SERIES: 9000

Draft 8/28/06

## 9900 SERIES – ELECTRONIC SYSTEMS

TR-9901-P  
New Series  
Systems

System Series: Accounting Reconciliation Tool (ART)

### System Description:

In *Cobell v. Norton*, 226 F. Supp. 2d 1, 148 (D.D.C. 2002), the United States District Court for the District of Columbia (Court) directed the Department of the Interior (DOI) to conduct a historical accounting for about 260,000 Individual Indian Monies (IIM) accounts. In July 2001, DOI established the Office of Historical Trust Accounting to support this task. The Accounting Reconciliation Tool (ART) is the information technology system used to facilitate the historical accounting of IIM and tribal accounts. Historical data are based on data received from the Trust Fund Accounting System (TFAS) managed by DOI's Office of Special Trustee, the predecessor Integrated Records Management System (IRMS), and other Bureau of Indian Affairs Real Property Systems. ART is a closed system containing private and confidential trust data on individual Indian and tribal accounts utilized to facilitate the reconciliation of selected trust accounts and/or transactions against supporting records. There is no public access to the ART data. ART operates out of OHTA's office in Washington, DC, and connects through a private network to professional accounting firms located in Albuquerque, NM, Los Angeles, CA, and at OHTA's facility within the American Indian Records Repository (AIRR) in Lenexa, KS. In addition to IIM accounts, ART includes a module for the reconciliation of tribal accounts. Information in ART includes beneficiary name and address, transaction history, investments, receipts, disbursements and imaged records necessary to reconcile account transactions through fiscal year 2000. The system is also used for statistical sampling to verify account accuracy and to support quality control audits of reconciled transactions.

The operating system is Microsoft Server 2003, the database is Microsoft SQL Server 2000. ART has a full backup on a weekly basis with incremental daily backups.

## 16 BIAM UPDATE

---

### Bureau of Indian Affairs Records Schedule Historical Trust Accounting

SERIES: 9000

Draft 8/28/06

---

#### a. Source Data

##### a.1 BIA and OST Data

ART's historical record is populated by electronic land records obtained from BIA's Trust Asset Accounting Management System (TAAMS), OST's (TFAS), and the predecessor IRMS. Records received from these systems are validated to insure completeness and correctness before they are entered into ART. The records represent trust transactions and refer to ownership, transaction type, basis, and amount. Also, OST's Box Index Search System (BISS) is included in ART to assist in the identification of relevant records stored in the AIRR that are needed for the accounting reconciliation process.

**Disposition Instructions: PERMANENT. Apply disposition instructions approved for paper, microfilm and electronic records in NARA Job Nos. N1-075-04-7 and N1-075-06-2.**

##### a.2. Department of Justice (DOJ) Concordance Data

DOJ provides OHTA with Concordance hard drives containing tif images and data of tribal transactions. This data (images) are coded and entered into ART for use in IIM and tribal accounting.

**Disposition Instructions: PERMANENT.** Create duplicate copy of data off-line and transfer to the National Archives at the end of every three fiscal years in accordance with NARA regulations, such as those currently cited in 36 CFR 1228.270, and related NARA instructions and guidance. Subsequent legal transfer of the records to the National Archives of the United States will be jointly agreed to between DOI and NARA.

#### b. Master Data Files

The Master Data File contains information on individual Indian and tribal accounts and account holders: transactions, ownership and references to supporting documents; missing transactions (digitized data); statistical tables; data tables; accountant work papers/files; and documentation on the analyses conducted and the tables used to determine and identify sample transactions. ART includes images of supporting paper official records such as leases, financial documents, etc., where the images are obtained from searches of IIM paper records, BIA Agency working files, archived files, and third-party (e.g., tribal) sources.

## 16 BIAM UPDATE

### Bureau of Indian Affairs Records Schedule Historical Trust Accounting

SERIES: 9000

Draft 8/28/06

**Disposition: PERMANENT.** Create duplicate copy of data off-line and transfer to the National Archives at the end of every three fiscal years in accordance with NARA regulations, such as those currently cited in 36 CFR 1228.270, and related NARA instructions and guidance. Subsequent legal transfer of the records to the National Archives of the United States will be jointly agreed to between DOI and NARA.

#### c. Outputs

Outputs support historical account reconciliations for OHTA program projects, including, but not limited to: Judgment and Per Capita IIM Accounts, Land-based IIM Accounts, and Tribal Trust accountings. Outputs include but are not limited to (1) reconciled transactions, (2) samples for quality control review or statistical analysis, (3) reconciliation work papers, (4) quality control review work papers, (5) account holder statements, (6) imaged financial documents relating to account holder transactions, (7) reports, (8) tables, and related program files. Outputs are in XML and PDF format and paper.

##### c.1. Paper Outputs

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

##### c.2. Electronic Outputs. XML and PDF files on DVDs.

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

#### d. Documentation

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

**Disposition: PERMANENT.** Transfer to the National Archives with system data as identified in item b above.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT**

**NARA Job Number: N1-075-Pending**

## 16 BIAM UPDATE

---

### Bureau of Indian Affairs Records Schedule Historical Trust Accounting

**SERIES: 9000**

**Draft 8/28/06**

---

Additional Information for: Accounting Reconciliation Tool (ART)

Users: Department of the Interior  
Office of Historical Trust Accounting  
Tribes  
Department of Justice  
Department of the Treasury  
Various other Federal Agencies

Program: Office of Historical Trust Accounting

Function: Accounting Management

Related Scheduled Series/Systems: 4871 TFAS  
IRMS  
TAAMS  
4851 IIM Cases Files  
4802 Tribal Case Files

NARA Job No.:

Location of the two servers: 1801 Pennsylvania Ave., Washington, DC, 20006, and the Federal Records Center, AIRR, Lenexa, KS.

# 16 BIAM UPDATE

Bureau of Indian Affairs Records Schedule  
Historical Trust Accounting

DRAFT 3/23/06  
Sent to NARA for review/approval

SERIES: 9000

TR-9902-P  
New System

System Title: Special Deposit Account (SDA) Plus

System Description:

SDA Plus is a comprehensive project tracking system developed to assist the Office of Historical Trust Accounting (OHTA) contractors in the historical Special Deposit Account (SDA) distribution project. SDA plus is designed to:

- Automate several tasks that are required as part of the distribution project;
- Maintain data integrity of both source transaction data and data created throughout the distribution process;
- Control and standardize the capture of specific additional information obtained;
- Facilitate comprehensive status reporting at the project, account, document, transaction, and task level;
- Integrate all aspects of the project, from source transaction analysis to the posting of distributions and transfers resulting from final Recommended Action Forms (RAF); and
- Ensure and often automate the quality control of each task in the distribution process.

SDA Plus is a Microsoft Access 2002 application and requires Microsoft Word and Microsoft Excel to realize full functionality. SDA Plus is fully backed up on a daily basis.

a. Source Data

a.1 OST Data

SDA Plus' historical record is populated by electronic account transactions obtained from the Office of the Special Trustee's (OST) current Trust Funds Accounting System (TFAS) and historical Indian Records Management System (IRMS). Records received from these systems are validated to insure completeness and correctness before they are loaded into SDA Plus. The records represent financial Trust transactions relating to Special Deposit (House) Accounts maintained by the OST.

## 16 BIAM UPDATE

Bureau of Indian Affairs Records Schedule  
Historical Trust Accounting

DRAFT 3/23/06  
Sent to NARA for review/approval

SERIES: 9000

**Disposition Instructions: PERMANENT.** Apply disposition instructions approved for paper, microfilm, and electronic records. (See OST/BIA records schedules for TFAS.)

a.2. Supporting Data

Additional information derived from official Trust records such as leases, financial documents, transaction ledgers, and ownership records is key punched or electronically imported into and stored within the application's database.

**Disposition Instructions: PERMANENT.** Apply disposition instructions approved for paper, microfilm, and electronic records. (See OST/BIA records schedules for TFAS.)

b. Master Data Files

The Master data files contain certain TFAS-derived information on specific special deposit accounts, the status of the distribution effort conducted for each particular account, and additional information on each financial transaction added to the application. In addition, a control file of all Recommended Action Forms created is maintained which reflects certain information pertaining to the final product of the distribution efforts.

**Disposition: PERMANENT.** Create duplicate copy of data off-line and transfer to the National Archives at the end of each fiscal year in accordance with NARA regulations, such as those currently cited in 36 CFR 1228.270, and related NARA instructions and guidance.

c. Outputs

Outputs support historical (pre-1/1/2003) SDA distributions and include the following: TFAS, IRMS, and manual ledger account activity details; residual balance summaries; Recommended Action Forms (RAF); document request listings; and various status reports at both a detailed and summary level.

c.1. Paper Outputs

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

## 16 BIAM UPDATE

Bureau of Indian Affairs Records Schedule  
Historical Trust Accounting

DRAFT 3/23/06  
Sent to NARA for review/approval

SERIES: 9000

c.2. Electronic Outputs Document account listings can be produced in Microsoft Excel format.

**Disposition Instructions: PERMANENT.** Apply disposition instructions approved for paper, microfilm, and electronic records. (See OST/BIA records schedules for TFAS.)

d. Documentation

Documentation to be sent with Master Data Files (item b) include: file specifications, data specifications, table and record layouts, user guides, technical documentation, and output specifications.

**Disposition: PERMANENT.** Transfer to the National Archives with items identified in item b above.

**SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT**

**NARA Job Number: N1-075-Pending**

Additional Information for: **SDA Plus**

Users: **Department of the Interior Contractors**

Program: **Office of Historical Trust Accounting**

Function: **Accounting Management**

Related Scheduled Series/Systems: 4871 TFAS  
IRMS

NARA Job No.:

Location of the server: various DOI contractor locations as determined by Office of Historical Trust Accounting

Point of contact: Allen Naranjo, SDA Program Manager, OHTA, 202-254-5509.