

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <i>NI-075-09-6</i>	
1 FROM (Agency or establishment) <b>Department of the Interior</b>		Date Received <i>3/4/09</i>	
2 MAJOR SUB-DIVISION <b>Office of the Special Trustee for American Indians</b>		NOTIFICATION TO AGENCY  In accordance with the provisions of 44 USC 3303a, the disposition request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUB-DIVISION <b>Office of the Chief Information Officer</b>			
4 NAME OF PERSON WITH WHOM TO CONFER <b>Ethel Abera</b>	5 TELEPHONE <b>(505) 816-1600</b>	DATE <i>3/20/09</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
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,  <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE <i>12/18/08</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> <b>Ethel J Abera</b>		TITLE <b>Director, Office of Trust Records</b>
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<b>Please See Attached</b> This schedule adds the <b>6200 Series Appraisal Services</b> to OST's <b>6000 Series</b> of the Indian Affairs Record Schedule		

SF-115 Attachment

NARA Job No N1-75-09-6

Schedule changes to description and disposition instructions approved by Ms Yolanda Montoya via electronic mail on February 17, ~~2010~~ 2011

## INDIAN AFFAIRS RECORDS SCHEDULE 6200 Series (New) – Appraisal Services

(NEW)

### **TR-6200-P2 Program Correspondence and Policy Directives Files**

a Program Correspondence Files – Official Files

**Contents:** Records include program files that contain correspondence created, received and where action is taken or have the primary responsibility for documenting the activities which relate directly to the Office of the Special Trustee for American Indians Appraisal Services function. Correspondence consist of incoming and outgoing originals or copies of letters, memoranda, reports, forms, attachments and other materials that pertain to the program activities of the office in which these records are created or received and maintained. Also included are electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

**Filing Arrangement:** Arrange alphabetically by subject

**Official File:** Office of Record.

**Disposition Instruction: PERMANENT.** Cut off at fiscal year end. Maintain in office of record for a maximum of 2 years after cutoff and then transfer paper records to the records center and electronic records to the National Archives. Subsequent legal transfer of the records will be as jointly agreed to between DOI and NARA, as specified in NARA standards applicable at the time of transfer.

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

**Contents** Records include files related to the internal program policy, guidance and regulations of daily operations for the Office of the Special Trustee for the American Indians Appraisal Services. Records consist of the preparation, review, documentation of design related to policy development, regulation case history, public comment, proposed and final regulation, clearance, publication and final distribution of a directive in a manual, bulletin or handbook format outlining internal policy, procedure, organization, instruction and delegation of authority. Also included are electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

**Filing Arrangement:** Arrange alphabetically by subject then chronologically  
**Official File:** Office of Record.

**Disposition Instructions: PERMANENT.** Cut off at fiscal year end when superseded or rescinded. Maintain in office of record for a maximum of 5 years after cutoff and then transfer paper records to the records center and electronic records to the National Archives. Subsequent legal transfer of the records will be as jointly agreed to between DOI and NARA, as specified in NARA standards applicable at the time of transfer.

(NEW)

**TR-6201-P5** Appraisal Services Case/Work Files (Trust)

**Contents:** Records include trust case/work files that document real property appraisal services prepared by the Office of the Special Trustee for the American Indians (OST) that are used by the Bureau of Indian Affairs and/or Public Law 93-638 realty tribal programs (Note: the National Business Center (NBC) creates and maintains records that document real property appraisal but they are not, nor have they ever been, used by NBC to manage Indian trust assets). These records contain a complete history of the requested actions along with other data, information and documentation necessary to support the appraiser's opinions and conclusions and to show compliance with all Uniform Standards of Professional Appraisal Practice (USPAP) applicable to the specific type of appraisal service and valuation product provided along with any other applicable standards, regulations or legal requirements, e.g., the Uniform Appraisal Standards for Federal Land Acquisitions (UASFLA). Trust case/work files include, but are not limited to, copies of client requests for appraisal services; instructions for agency staff appraisers, contract appraisers or 3<sup>rd</sup> party appraisers, pre-appraisal conference (and other meeting) notes, field notes, subject data from realty specialists (legal descriptions, title reports, maps, zoning, land use descriptions, etc.), correspondence with realty specialists, ownership/proponents and/or appraisers, analyses, supplemental data, summaries of any written reports, testimony or a transcript of testimony, and final signed (true) copies of valuation products, e.g., appraisal services reports, reviews and consulting reports. (Note: Outputs consisting of printable or exportable electronic statistical reports by region and/or bureau are filed in an Appraisal Request System(s) are covered by TR-6203-P5.) Also included are electronic mail, documents created by word processing and spreadsheet software applications and supporting documentation.

**Filing Arrangement:** Arranged by reservation or an Alaskan region and then by request system number.

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

**Disposition Instructions:** **PERMANENT.** Cut off at fiscal year end in which final report or other valuation product/service requested has been completed Maintain in office for a maximum of 2 years after cutoff and then retire paper records to the records center and electronic records to the National Archives Subsequent legal transfer of the records will be as jointly agreed to between DOI and NARA, as specified in NARA standards applicable at the time of transfer

(NEW)

**TR-6202-P5** Appraisal Request System

**Contents:** The Appraisal Request System(s) provide Indian Trust land appraisal request case file status tracking capabilities to Indian Affairs employees and users from tribes and other government offices At this time, appraisal request systems include Appraisal Tracking System (ATS), Alaska Appraisal Tracking System (AATS) and the Indian Trust Appraisal Request System (ITARS) This system list may change or expand.

The application(s) are designed to follow an appraisal request electronically, from assignment to completion, allowing users to initiate and track the request in all stages of the process The systems supply statistical capability, standardize the submission of requests and offer a number of search variables, while improving management of appraisal activities

System users key in the appraisal request's information; the specialist conducting the appraisal, the name of the requestor (Tribes, a consortium or agency personnel) and contractor information. Information maintained in the appraisal tracking system are appraisal requests, land information, appraisal data, appraisal award information, appraisal amounts estimates and requestor data A history of the appraisal request case file processing is created and a variety of appraisal requests management reports are compiled such as a report on appraisal backlogs complete with count and an indication of time frames

a. Input Files

~~The inputs to the system include Name of requestor data, townsite data, allotment data, legal description and tract data, assigned appraiser and reviewer information, dates appraised, market value information, land usage data, inspection data, location codes, award dates, appraisal estimates, contractor data, sales data and report data~~

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

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

[Item TR-6202-P5a, Inputs, is not a request for disposition authority rather instructions to use existing disposition authorities without superseding them ]

b. Master Data Files

The Appraisal Request System's database(s) are compiled logically in tables containing appraisal service and real property data. Information/data captured within the Appraisal Request Tracking System(s) include appraisal approving and reviewing official information, data relating to the owner and location (state, county and legal description), specification of property rights to be appraised, appraisal results, appraisal funding information, costs of services associated with appraisals and contractor and historical data. Master data files contain data related to request records and a unique number assigned to each individual request. Some of the appraisal request case file tracking systems contain scanned images of documents associated with appraisal requests.

**Disposition Instructions: PERMANENT.** Create duplicate copy of records off-line and physically transfer to the National Archives upon approval of this schedule in accordance with NARA instructions and guidance. Subsequent legal transfer of the records will be as jointly agreed to between DOI and NARA, as specified in NARA standards applicable at the time of transfer.

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

c. Scanned Images

- 1 Archival Scanned Images. Records include images of appraisal request related documents scanned at accepted archival standards for preservation and placed in corresponding paper case files such as the Appraisal Services Case/Work Files and Realty Files scheduled for permanent retention.

**Disposition Instructions: PERMANENT.** Transfer to the National Archives with related Master Data Files (TR-6202-P5b) as specified in NARA standards applicable at the time of transfer.

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

- 2 Non-Archival Scanned Images. Records include images of appraisal request related documents scanned below minimum archival standards for preservation and placed in corresponding paper case files such as the Appraisal Services Case/Work Files and Realty Files scheduled for permanent retention.

**Disposition Instructions: TEMPORARY.** Destroy or delete scanned images when no longer needed for business or reference purposes

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

d System Generated Documents/Outputs

- 1 ~~System Generated Documents in Case Files—Queries, sorts, reports, tables and related records and data compilation reports (e.g., management reports and plans), studies, inquiries, inspections and related program files—Records include outputs consisting of printable or exportable (electronic) statistical reports summarizing appraisal services workload by region and/or bureau and acreage appraised by month or quarter as well as completed and in-process appraisal services request summaries and copies of scanned images linked to requests—(Note—Those copies of completed appraisal services request summaries that are filed in Appraisal Services Case/Work Files (Trust) are covered by TR-6202-P5)—Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications and supporting documentation~~

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

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

~~[NOTE Item TR-6202-P5c1, System Generated Documents in Case Files, is not a request for disposition authority rather instructions to use existing disposition authorities without superseding them.]~~

- 2 System Generated Documents Organized by Program, Regional, Agency or Field Office Data compilation reports (e.g., management reports and plans) that are not case file specific and generated bi-weekly, monthly, quarterly and annually These reports cannot be easily separated and file in case specific files Filed by system report name, Program, Region, Agency or Field Office, job run date and fiscal year

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

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

e System Documentation

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

~~**Disposition Instructions:** PERMANENT Transfer to the National Archives with data files identified in Item TR 6202-P5b, above. (Disposition Authority is GRS 20/Item 11a2 )~~