

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
		JOB NUMBER <i>NT-075-09-9</i>	
To NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		DATE RECEIVED <i>5/4/09</i>	
1 FROM (Agency or establishment) Department of Interior		<u>Notification to Agency</u> 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION Assistant Secretary of Indian Affairs			
3 MINOR SUBDIVISION Office of the Chief Information Officer			
4 NAME OF PERSON WITH WHOM TO CONFER Richard Wikberg	5 TELEPHONE 703-735-4281	DATE <i>5/1/09</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 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 type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE <i>5/1/09</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>		TITLE Director, Office of Trust Records
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED RETENTION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1	Please See Attached Schedule for: Probate Management and Tracking System (ProTrac) <div style="display: flex; justify-content: space-between;"> Deputy Bureau Director, Trust Services Date </div> <div style="display: flex; justify-content: space-between;"> <div> <i>[Signature]</i> Acting BCIO <i>Sanny Bhagwan</i> Chief Information Officer - Indian Affairs </div> <div> Date <i>4/16/08</i> </div> </div>		

SF-115 Attachment

Job No N1-75-09-9

Revisions approved by Ms Yolanda Montoya via e-mail on March 10, 2011 (*YMontoya*)

Department of Interior Office of the Special Trustee for American Indians

Probate Case Management and Tracking System (ProTrac)

Description: The Probate Case Management and Tracking System (ProTrac) is a relational database that includes scanned images in [TIF, PDF, etc] formats that uses commercial off the shelf (COTS) software application specifically tailored and designed to support all probate management activities such as tracking the status of probate case file processing and review, adjudication, updating the BIA Inventory (BIAINV), providing probate backlog status reports, and other reports. Data required for the probate system is extracted from the following systems: Integrated Records Management System (IRMS), Land Records Information System (LRIS), Trust Funds Accounting System (TFAS) and Trust Assets and Accounting Management System (TAAMS). System data content is encoded from the following documents: Death Certificates, Wills, Final Probate Decisions, Administrative Law Judge (ALJ) Decisions/Orders, Heir-ship Cards/Forms and Distribution to Beneficiaries. ProTrac became operational in 2004.

~~a Inputs~~

~~Each BIA regional office and corresponding agency is responsible for encoding new cases, examining "initial load" cases and making corrections.~~

~~ProTrac requires data pertaining to all persons for who the BIA is responsible for providing probate services. To meet the need, information is added into the people database, the system will update that person's information, not only within their own records, but also within related records, such as benefactors, relatives, and other related parties.~~

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

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

b Master Data File

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 System Notice

c Scanned Images

1. Archival Scanned Images Records include images of probate related documents scanned at accepted archival standards for preservation and placed in corresponding paper case files such as the Individual Indian Probate Case File (TR-4631-P5) scheduled for permanent retention

Disposition Instructions: PERMANENT. Transfer to the National Archives with related Master Data Files 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 probate related documents scanned below minimum archival standards for preservation and placed in corresponding paper case files such as the Individual Indian Probate Case File (TR-4631-P5) 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—Case files specific queries, sorts, reports, tables, and related records and data compilation reports (e.g., management reports and plans) that are created for case files, studies, inquiries, inspections, and related program files~~

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

[Item d1, Outputs, 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 Offices 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 filed in case specific files May be arranged as subject 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

e—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 after with Master Data File identified in Item b above (Disposition Authority is GRS 20/Item 11a2)