

ADVANCE COPY



United States Department of the Interior

BUREAU OF INDIAN AFFAIRS
WASHINGTON, D.C. 20245



IN REPLY REFER TO:

AUG 09 1994

BIAM Release NO. 9406

Memorandum

To: All Holders of 40 BIAM

From: Deputy Commissioner of Indian Affairs

Subject: Recision of 15 BIAM, Supplement 4, Department
Correspondence Procedures

This transmittal removes 15 BIAM, Supplement 4, Department of the Interior (DOI) "Correspondence and Mail Handbook," (433 DM), from the Bureau of Indian Affairs Manual (BIAM) System. The information contained in the abolished manual part is outdated and inappropriate to duplicate reissuance through the BIAM. It has been superseded by "Secretarial Correspondence Procedures Handbook," issued by the Department of the Interior in October 1991. That publication may be obtained from the Department of the Interior, Office of the Executive Secretariate.

Patrick A. Hayes

Acting Deputy Commissioner of Indian Affairs

Filing instructions:

- (a) Remove superseded material: (19 sheets)
15 BIAM, Supp. 4, Release 15-2
(dated 4/16/80)
- (b) Insert new material:
None
- (c) Pen-and-ink changes:
None

ADVANCE COPY

DEPARTMENT'S CORRESPONDENCE PROCEDURES
Table of Contents

1. Correspondence for Secretary and Under Secretary

- .1 Introduction
- .2 Incoming Mail Handling
- .3 Control
- .4 Preparation of Outgoing Correspondence
 - A. General
 - B. Stationery
 - C. Number of copies
 - D. Margins
 - E. Date
 - F. Sender's Reference
 - G. Subject
 - H. Address
 - I. Body of letter
 - J. Succeeding pages
 - K. Corrections or changes
 - L. Salutation and Complimentary Close
 - M. Signature Element
 - N. Enclosures
 - O. Distribution of copies
 - P. Memorandum for the Record, or transmittal
 - Q. Identification of office, writer, typist, etc.
 - R. Concurrence and surname
 - S. Preparation of envelopes
- .5 Coordination, Routing, and Dispatch
- .6 Signed Mail list
- .7 Overdue Correspondence List
- .8 Supersession

Illustrations A-D

DEPARTMENT'S CORRESPONDENCE PROCEDURES
Correspondence for Secretary and Under Secretary

1. Correspondence for Secretary and Under Secretary

1.1 Introduction. This manual supplement contains guidance and information from the Department's Executive Secretariat (ES memo dated 4/15/81) on the handling of correspondence of the Secretary and Under Secretary.

It is intended for use by those in the BIA preparing correspondence for Departmental signature.

As a general rule, when preparing BIA correspondence for signature in the Department, please refer to the U.S. Government Correspondence Manual, the GPO Style Manual and the Department of the Interior's Correspondence and Mail Handbook (433 DM).

Deviations from the guidance in the above publications are included in the information which follows.

Please refer to the 15 BIAM Supplement 1 for procedures for BIA correspondence for Bureau signature.

DEPARTMENT'S CORRESPONDENCE PROCEDURES
Correspondence for Secretary and Under Secretary

1.2 Incoming Mail Handling.

Incoming correspondence is reviewed by the Executive Secretariat to determine the priority and level of control required. The majority of incoming correspondence is referred to the appropriate bureau or office without control. Significant correspondence is controlled.

1.3 Control.

A. For controlled correspondence, the Executive Secretariat will:

- (1) Determine the type of action required and assign responsibility, using the Executive Secretariat Action Slip. (Illustration A)
- (2) Determine clearance requirements and signature level of reply.
- (3) Establish due date for the reply to reach the Executive Secretariat.
 - (a) Mail controlled for the signature of the Secretary or the Under Secretary usually will be assigned a due date of seven working days after control; however, occasionally the Executive Secretariat will assign a due date of more than seven working days after control. Mail will be considered overdue if it is not received in ES by the close of business on the due date.
 - (b) Mail controlled for the signature of an Assistant Secretary or a bureau official (including direct reply) will be assigned a due date of ten working days after control. This mail, too, is considered priority mail and will be overdue after the due date. Any necessary extensions will be granted by the Executive Secretariat on an individual basis. Since the Office of the Assistant Secretary concerned has primary responsibility for following up on mail at this level, that office should be informed by the ES Correspondence Analyst when a bureau obtains an extended due date.
- (4) Distribute information copies of incoming material to interested and affected offices, establishing the same distribution for information copies of the reply. The number of copies should be kept to the barest minimum and should not be routed to those with only slight interest. Offices receiving information copies neither take action nor prepare replies without coordinating intent with the designated action office.
- (5) The use of the ES Action Slip is restricted to the Executive Secretariat. Personnel in other offices are not authorized to use this form for control purposes.

DEPARTMENT'S CORRESPONDENCE PROCEDURES
Correspondence for Secretary and Under Secretary

- (6) Prepare a content analysis form for all correspondence assigned for signature of the Secretary or the Under Secretary. (Illustration B) For ES use only, the form defines explicitly what is required of the Secretary by the inquirer. It also relates the issues in the inquiry to current Departmental management and prescribes any necessary coordination within the Department. Finally, the form lists all offices required to surname a proposed response. Preparing offices are required to secure only the surname of their Assistant Secretary.
- B. The action office will contact the Executive Secretariat if it determines that the instructions contained on the Action Slip are not appropriate. The following situations would suggest such contact:
- (1) When the reply is to be prepared for a higher or lower level signature than specified on the Action Slip. Example: When the reply assigned for signature by an Assistant Secretary should actually be prepared for the Secretary's signature.
 - (2) When the due date for a Secretarial level reply cannot be met.
 - (3) When the specified type of action is considered inappropriate.
 - (4) When action has been assigned incorrectly.
- C. When it is impossible to make a full response within the seven working days, an interim response for the signature of the Secretary or the Under Secretary will be accepted as a basis for extending the original due date. New due dates will be assigned by the Executive Secretariat after the interim response is signed. Action offices will normally have one month to prepare the final reply and in special cases will be consulted to determine the new due date. The interim response should provide some of the requested information and a clear explanation of steps underway to complete the reply.
- D. A copy of the Executive Secretariat Action Slip is provided for the use of the action office. When the necessary action on controlled items is taken at the Assistant Secretary level or lower, the original typed copy of the Action Slip is to be returned to the Executive Secretariat as soon as action is completed. When the Executive Secretariat assigns action for signature of the Secretary or the Under Secretary, the Action Slip remains with the original incoming correspondence until the response is signed. When the "Appropriate Action" block is checked, the Action Slip should be returned to the Executive Secretariat even though no action is taken or required, in which case the slip should be noted "No reply is necessary."
- E. Responsibility for prompt and coordinated responses is placed on the Assistant Secretaries, who should assure that careful control methods are established within their offices.
- F. The response shall be prepared and returned to the Executive Secretariat within seven working days, which includes time for surnaming by the Assistant Secretaries. If this deadline cannot be met, interim responses are acceptable but should not be used indiscriminately.

BIAM REISSUE
FEBRUARY 1984

DEPARTMENT'S CORRESPONDENCE PROCEDURES
Correspondence for Secretary and Under Secretary

- G. An Assistant Secretary may request that correspondence be changed to his or her signature instead of as indicated on the control slip. When this is done, the representative of the Assistant Secretary should contact Art Russell (x38687) or the correspondence analyst whose name and phone number appear on the Action Slip, identifying the control number, a synopsis of the correspondence and the reason for requesting the lower signature level. If approval is given, the action office should send a copy of the final response to the Executive Secretariat.
- H. Controlled correspondence (i.e. that carrying an ES control slip) will be sent directly to the action office by ES, with a copy provided to the relevant Assistant Secretary.
- I. Offices receiving information copies of correspondence may seek the opportunity for first draft input by contacting the office that is assigned action.
- J. Note that the "Date" block on the correspondence control slip shows first the date of the incoming letter followed by the date it was received in ES.
- K. The general standards for identification of overdue correspondence for the signature of the Secretary or the Under Secretary are as follows:
- (1) Correspondence will be considered overdue when it has not left the action office, cleared the corresponding Assistant Secretary's office and arrived in the ES by the end of the seventh work day.
 - (2) Only the Executive Secretariat can extend due dates. Normally, such an extension will be related to an interim response to the original incoming correspondence.

1.4 Preparation of Outgoing Correspondence.

A. General.

- (1) Assure that the proper format is adopted for correspondence requiring the signature of the Secretary or the Under Secretary. All such correspondence should be written in the first person plural, i.e., "We have reviewed the . . .", "If we can be of further assistance . . .", etc. This allows flexibility of signature. A sample letter is included as Illustration C. Note that the inside address is placed above the salutation on the response letter, not at the bottom of the page.
- (2) Responses should normally not exceed two pages, and one page is preferable. For information memos and secretarial orders, the shorter the better. Punctuation should be in accordance with Chapter 8 of the GPO Style Manual.
- (3) Careful attention should be given to the mechanical production of secretarial correspondence. The IBM Courier or Prestige Pica (10 pitch) typing elements make neat originals and carbon copies.

BIAM REISSUE
FEBRUARY 1984

DEPARTMENT'S CORRESPONDENCE PROCEDURES
Correspondence for Secretary and Under Secretary

- (4) Correspondence prepared for signature, approval, or information of the Secretary and the Under Secretary will always be submitted through the Executive Secretariat unless the correspondence is of a personal or administratively confidential nature. In special infrequent instances when extreme urgency results in bypassing the Executive Secretariat, a copy of the material with information as to its disposition must be provided to the Executive Secretariat as soon as possible.
- (5) The Executive Secretariat will review correspondence for Secretarial action, information, or signature to ensure:
- (a) Completeness. Correspondence received without necessary background information will be returned for resubmission.
 - (b) Responsiveness. Replies to correspondence or Secretarial inquiries will be returned for resubmission if they do not fully respond to the inquiry.
- (6) Brevity and timeliness are interrelated since brief responses can be written quickly, and long delays often require that a drafter go into detail to justify the time taken to respond.
- (7) Many needlessly long delays result from putting a letter aside until some decision is reached, in part because some decision schedules are overly optimistic. If an incoming letter concerns a decision in process, an interim response should be prepared, with a promise to supply more information when available. It takes no longer to draft a reply to a letter the day it arrives than it does the day before the due date. The Department's standing with public officials and the general public is greatly enhanced by responsiveness.
- (8) Many drafters use the telephone to consult within the Department or to talk with authors of incoming letters. Calls within the Department help to prevent delays by allowing letters to be drafted in Washington rather than in the field. If drafters contact those to whom they are responding, they can explain any necessary delays. In such cases, the telephone contacts should be referenced in the written reply. If input is required from the field, the drafter should consult by telephone to save time.

B. Stationery.

Use formal stationery as described in 433 DM 1.4.

BIAM REISSUE
FEBRUARY 1984

C. Number of Copies.

Prepare an original, a courtesy copy (Congressional & Governors only), an official yellow file copy with surname ladder, and one copy for the Executive Secretariat reflecting all copies required. ES will prepare the required copies from the latter copy. All Secretarial-level correspondence should include on the "cc list" two copies for the Secretary's Reading File and a copy for each office on the ES Action Slip for "Info." Bulky enclosures should not be attached to the Secretary's Reading File copies.

DEPARTMENT'S CORRESPONDENCE PROCEDURES
Correspondence for Secretary and Under Secretary

D. Margins.

- (1) Allow at least one inch for the left and right margins (about 12 typing spaces).
- (2) The bottom margin should be about one inch (six typing lines).

E. Date.

Omit the date. It will be inserted after signature.

F. Sender's Reference.

Do not use a sender's reference number on the original letters prepared for the signature of the Secretary or the Under Secretary. If desired, the sender's reference may be typed on carbon copies.

G. Subject.

A subject line is not included in the formal letter.

H. Address.

- (1) The inside address will be typed at the left margin five lines down from the letterhead. Short letters will be an exception to this rule. No line in the address should be longer than four inches. Limit the address to five lines. The name of the State should be spelled out.
- (2) Use office symbols when addressing memoranda to other elements of the Department.

I. Body of Letter.

(1) Spacing.

Begin the body of the letter two lines below the salutation, flush with the left margin.

(2) Paragraphing.

(a) Paragraphs are not normally numbered in letters.

(b) Begin each main paragraph flush with the left margin. Subparagraphs should be indented four spaces beginning the typing with the fifth space. Single space the body of the letter; double space between paragraphs. Double space letters of one paragraph or less than 10 lines.

(3) Introductory text.

(a) Opening and closing sentences influence the tone of letters. These sentences should display a courteous attitude and attempt to establish rapport with the recipients of correspondence.

DEPARTMENT'S CORRESPONDENCE PROCEDURES
Correspondence for Secretary and Under Secretary

The formality of some opening sentences may appear cold to a recipient. A frequent example reads:

"This is in reference to your letter of"

Unless there are extenuating circumstances, dates of the incoming letter should be included in the opening, because this information helps the recipient process the letter. The following are examples of acceptable opening sentences:

"Thank you for your letter of March 20 concerning"

"Please excuse our delay in replying to your letter of"

"Your letter of . . . concerning . . . will be given"

- (b) For the first reference to the Department of the Interior or to the Secretary, use the full title rather than "the Department" or "the Secretary."

(4) Main subject text.

- (a) Often, correspondence can be limited to one page in length. A distinction should be made between incoming letters that request answers to questions and those that are simply stating a point of view. The former should be answered fully, even when a complete response requires several pages. However, many letters that offer analysis or argumentation do not require a point-by-point response. In such cases, provide a general statement of the Department's position and an assurance that the views will be taken into consideration during the decisionmaking process.
- (b) The style appropriate for letters differs from that used in technical memoranda. Therefore, correspondence for the signature of the Secretary or the Under Secretary should be drafted in a clear, crisp style. Very lengthy sentences and technical jargon should be avoided. Reading the text aloud will often indicate whether it is overly distant and complex or whether it flows smoothly, communicates clearly, and is conversational in tone.

(5) Closing text.

- (a) Closing sentences should be used to eliminate abrupt or impersonal endings. Often the best method of ending letters is an offer to provide further information or assistance (without overly committing the Secretary).
- (b) This Department encourages the human touch whenever possible. Therefore, please have at least a transitional line of closing instead of abruptly changing from the gist of the letter to "Sincerely." (For example: "The benefit of your thoughts (advice) is appreciated.")

DEPARTMENT'S CORRESPONDENCE PROCEDURES
Correspondence for Secretary and Under Secretary

J. Succeeding pages.

The second and succeeding pages of a letter are typed on plain paper, starting with the second page. The name of the addressee, exactly as it is shown on the first page, is typed seven lines from the top of the page and flush with the left margin. The page number is typed on the same line, flush with the right margin. The text continues two lines below the name of the addressee.

K. Corrections or changes.

Letters showing visible corrections or changes on the original or courtesy copies to be sent outside the Department will be returned for retyping.

L. Salutation and Complimentary Close.

Formal salutations are typed as shown in Chapter 5, Part I, of the U.S. Government Correspondence Manual. The Secretary and the Under Secretary will personalize the appropriate letters when signed. The formal complimentary close "Sincerely," is typed two lines below the last line of the letter to the right of center.

M. Signature element.

- (1) The signature block for the Secretary's correspondence is "SECRETARY". This facilitates using signatures other than the Secretary's if a lower signature level is appropriate. The signature block is typed five lines directly below the complimentary close.

SIGNATURE BLOCK SAMPLES:

Sincerely,

(5 spaces)

SECRETARY

Sincerely,

(5 spaces)

UNDER SECRETARY

- (2) The signature level designated by the Executive Secretariat should not be changed without Executive Secretariat clearance. Occasionally, we have been advised by the Office of the Secretary or the Under Secretary of the signature level desired. Changes to the signature level can disrupt the normal process for assuring that these interests are met. Assistant Secretaries or their representatives may propose that the signature level be lowered by calling the Correspondence Analyst whose name and phone number appear on the control ticket. The analyst will determine if a change may be made and advise the individual concerned.

N. Enclosures.

- (1) When material accompanies a letter, identify it in the text or in the bottom notation as an enclosure. When material accompanies a memorandum, identify it in the text or in the bottom notation as an attachment.

BIAM REISSUE
FEBRUARY 1984

DEPARTMENT'S CORRESPONDENCE PROCEDURES
Correspondence for Secretary and Under Secretary

- (2) When an enclosure is identified in the text, type the word "Enclosure" flush with the left margin, two lines below the signature block. For more than one enclosure, use the plural and indicate the number of enclosures, as "3 Enclosures."
- (3) When enclosures are not identified in text, type the appropriate notation as indicated below:

2 Enclosures:
Form Letters Handbook
Organization Chart

O. Distribution of copies.

Copies should correspond to those listed in the "Information" block on the ES control ticket.

cc: Secretary's File (Surname)
Secretary's Reading File (2)
US, S-SS, US-MM, US-BH
FW, LLM, LW, PBA, SOL, ES- MB, PR

Note: Initials are used to identify SIO, US and ES staff members.

P. Memorandum for the Record or Transmittal.

- (1) Certain subjects, because they involve legal or technical issues, are not readily adaptable to the style of conversational letters. In such cases, a memorandum for the record to the Secretary may be written. The memorandum may then be attached to a short cover letter to be signed by the Secretary or the Under Secretary.
- (2) When an office has initiated correspondence for which there is no incoming mail, an explanatory note to that effect should be attached. Such a summary should be succinct.
- (3) If the correspondence is in response to a request by the Secretary, that should be the lead phrase of the summary memo.

Q. Identification of office, writer, typist, etc.

- (1) When a letter is drafted or a draft is rewritten, a copy should be included for the office that prepared the initial draft. After noting the last cc, show the drafter's office, name, typist, date prepared, telephone extension, and the control number (if controlled by ES). Similar notations should be used for each rewrite of the reply.

Example: FWS:ESmith:bjk:4/19/80:x38643:#16950
Office Name Typist Date Ext. ES Control (if controlled)

BIAM REISSUE
FEBRUARY 1984

DEPARTMENT'S CORRESPONDENCE PROCEDURES
Correspondence for Secretary and Under Secretary

If a draft is rewritten subsequent to the first draft:

FWS:ESmith:bjk:4/19/81:x38643:#16950
Rewritten: SOL-FMcHale:jjs:4/22/81:x4444

- (2) If a letter is redrafted, a copy of the marked-up first draft with the initials of the person authorizing the redraft should be attached so that a visual check will show what changes have been made. The original surname copy should also be attached.

R. Concurrence and Surname.

- (1) Determination of appropriate surname routing is the responsibility of the Executive Secretariat. The Executive Secretariat will examine the correspondence to ensure adequate review in accordance with guidelines established in consultation with the Office of the Secretary, the Under Secretary, and other Secretarial Offices.
- (2) The Executive Secretariat will route the correspondence to appropriate offices for surname on the day of receipt. If a delay in surnaming is unavoidable, the surnaming office should notify the Correspondence Analyst whose name appears on the routing slip.
- (3) The Executive Secretariat will use simultaneous surnaming procedures when correspondence requires surnames of three or more offices. Under these procedures copies of the proposed reply and incoming item are distributed simultaneously to each office for concurrence. If the offices receiving the copies cannot surname the document as written, they should indicate in writing why they cannot or propose a rewrite. Preferably they should also contact the originating office to agree on the changes they desire. If no problems are identified in the simultaneous surnaming process, the Correspondence Analyst will transfer all surnames to the Secretary's file copy and forward it with the original for signature. All copies surnamed during the simultaneous surnaming process will be attached to the Secretary's file copy.
- (4) Too much mail has been delayed in the surname process after the assigned action office has completed work on the reply. Delays of up to several weeks sometimes occur within offices to which the reply is routed for concurrence. These delays put the Executive Secretariat in a difficult position. To get replies out within the ten-day objective established by the Secretary, mail must move through the office to which it is routed for surname within a maximum of one or two days. At the same time, ES responsibility for encouraging participation by all offices having an interest in a particular matter requires that the surname process not be short-circuited. Surnaming should be done on the day of receipt. If this is not possible, the Correspondence Analyst who controlled the item should be notified as to why a delay is necessary.
- (5) To assist in the identification of mail that should be surnamed and hand carried, the Executive Secretariat will route documents for surnaming in special folders.

BIAM REISSUE
FEBRUARY 1984

DEPARTMENT'S CORRESPONDENCE PROCEDURES
Correspondence for Secretary and Under Secretary

(6) A form for use as the "Secretary's file" or official surname copy is available in the Storage and Shipping Section, Room 1071, extension 6778, in the Main Interior Building. This form (See Illustration D) should be used for all correspondence prepared for signature by the Secretary and the Under Secretary.

- (a) When surnaming correspondence, legibly fill in the spaces for office, surname, and date.
- (b) All Assistant Secretaries should send to the ES the names of those staff members who may surname letters for the Assistant Secretary.

S. Preparation of Envelopes.

The original drafter should ensure that appropriate envelopes are prepared when distribution is required outside of DOL.

1.5 Coordination, Routing, and Dispatch.

- A. Once memos and correspondence are properly prepared for the Secretary or the Under Secretary, all items should be routed through the ES for proper processing.
- B. There will be occasional situations of extreme urgency in which the Secretary or the Under Secretary must sign a document before it has gone to ES. In these cases, either Kent Larsen (x33181) or Art Russell (x38687) is to be informed, and ES is to be provided a copy.

1.6 Signed Mail List.

The Executive Secretariat prepares a signed mail list reflecting items signed by the Secretary and the Under Secretary each day. Letters that bypass the control system will not appear on this list.

1.7 Overdue Correspondence List.

- A. An overdue correspondence list is prepared each Thursday by the Executive Secretariat and the Office of Congressional and Legislative Affairs. This report reflects correspondence overdue as of the close of business each Wednesday. All overdue Congressional mail at all signature levels will be included in this report. The report also indicates the number of letters controlled to each responsible official, the average departmental response time for letters signed during the week, and the total incoming letters clocked in and distributed by ES.

1.8 Supersession.

This Memorandum supersedes the February 6, 1981, Memorandum, Subject: Congressional Mail, signed by the Secretary.

BIAM REISSUE
FEBRUARY 1984

U. S. GOVERNMENT PRINTING OFFICE: 1961-339-210

IDENTIFICATION			DEPARTMENT OF THE INTERIOR EXECUTIVE SECRETARIAT		37404
Sen/Goldwater, Barry			ACTION SLIP		
DATE			SUBJECT		
3/24	RCYD 3/25	TO Secy	Funding for Canyon Day Unit Irrigation Project		
ACTION		IA	DUE		INFORMATION DUS, BIA, PBA, CL, ES-BB, AR, IS
Assigned To:			DATE		
			4/3		
X	PREPARE FOR SIGNATURE OF		REMARKS		
	Secretary				
	FOR DIRECT REPLY				
FOR APPROPRIATE ACTION		STAFFING			
FINAL ACTION					
RETURN SLIP TO ES WHEN COMPLETED		Stone	3/25	38612	
		ES STAFF	DATE	EXTENSION	



United States Department of the Interior

OFFICE OF THE SECRETARY
WASHINGTON, D.C. 20240

**OFFICIAL
FILE COPY**

SURNAME
DATE
OFFICE
SURNAME
DATE
OFFICE
SURNAME
DATE
OFFICE
SURNAME
DATE

BIAM REISSUE
FEBRUARY 1984



United States Department of the Interior

BUREAU OF INDIAN AFFAIRS
WASHINGTON, D. C. 20245

IN REPLY REFER TO:

15 BIAM Supp. 7, Release 1

DEC 13 1974

Memorandum

To: Holders of 15 BIAM Supplement 7
From: **Acting Deputy**
Commissioner of Indian Affairs

Subject: Disposition of Bureau Records Not Previously Scheduled

This release contains a list of records which were not previously scheduled for disposition. The listing includes computer produced financial management reports, personnel records, investigative records, and fire trespass claims files. These instructions will be the first sections of 15 BIAM Supplement 7, the new BIA Records Control Schedule, and are effective immediately.

In addition, the current BIA Records Control Schedule (Supplement 1 to 43 IAM 3.1) which identifies and includes disposition instructions for most other Bureau records is still valid and may be used until such time that the entire new schedule is issued.

Raymond V. Beath
Commissioner of Indian Affairs

Filing Instructions:

- (a) Remove superseded material:
None
- (b) Insert new material transmitted:
15 BIAM Supplement 7, Pages 1-5 (3 sheets)
- (c) Pen-and-ink changes:
None



OFFICE OPERATIONS
B.I.A. Records Control Schedule

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD AND INSTRUCTIONS</u>
FISCAL RECORDS		
1.	<p><u>Computer-Produced Financial Management Reports.</u> A legible copy of computer printout reports produced by the Bureau's computerized accounting and financial management system is retained at the Office of Record (Branch of Finance and Accounting, Albuquerque, New Mexico) for site audit and/or other administrative purposes. The Office of Record is responsible for maintaining a complete copy of each report produced from the Bureau's automated accounting and financial management system. It also maintains a complete inventory of the reports produced by the system including all pertinent information such as their title, as of date and date of production.</p>	<p>Retain a record copy of each report at the Office of Record. <u>Dispose</u> of report copies at all Bureau locations when the reports are no longer actively used.</p> <p><u>DISPOSAL AUTHORITY:</u></p> <p>Central Office Administrative decision on nonrecord copies.</p>
INVESTIGATIVE RECORDS		
2.	<p><u>Employee Violation and Misconduct Files.</u> (Complaints are of a serious nature and include Bureau employees involved in such things as statutory violations, financial and government property irregularities and official and personal misconduct. Cases are referred to the Department of Interior for investigation).</p> <p>These case files consist of the details of serious violations and misconduct by Bureau employees in narrative form and supplemented in certain cases by statements and other documentary evidence. The files are classified "Nonsecurity Confidential."</p> <p>These files shall be considered closed when a final disposition decision has been made on each case and providing all cases involving payment or restitution of funds by employees are settled in full.</p>	<p><u>Dispose</u> 4 years after the close of each case file. Applicable at the Central Office and at field offices maintaining copies of these files.</p> <p><u>DISPOSAL AUTHORITY:</u></p> <p>NC-75-75-1</p>

OFFICE OPERATIONS
B.I.A. Records Control Schedule

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD AND INSTRUCTIONS</u>
	INVESTIGATIVE RECORDS - Cont'd	
3.	<p><u>BIA Field Inspection Files</u> (Complaints or allegations are of a semi-serious nature and may involve BIA employees and may result in internal audits of problem areas, evaluations, etc.)</p> <p>These files consist of the details of the investigation of BIA employees, internal audits of problem areas, evaluations, etc. by the Bureau of Indian Affairs in narrative form and supplemented in certain cases by statements and other documentary evidence. The reports may assume memorandum form and are usually classified "Nonsecurity Confidential."</p> <p>These files shall be considered closed when a final disposition decision has been made on each case and providing all cases involving payment or restitution of funds by employees are settled in full.</p>	<p>Dispose 4 years after close of each case file. Applicable at the Central Office and at field offices maintaining copies of these files.</p> <p><u>DISPOSAL AUTHORITY:</u> NC-75-75-1</p>
	PERSONNEL RECORDS	
4.	<p><u>Appeal Files.</u> These include records of hearings, decisions, investigations, etc., developed in connection with employees' appeals from adverse actions such as removal, suspension, or change to lower grade. After Commissioner has issued decision, employee has 15 days to appeal to Civil Service Commission or Department. Files cease to be active when appeals are exhausted which would usually not be more than one or two years after Commissioner's decision is rendered.</p>	<p>Dispose 7 years after close of file. Applicable at the Central Office and at field offices maintaining copies of these files.</p> <p><u>DISPOSAL AUTHORITY:</u> NN-171-57</p>

OFFICE OPERATIONS
B.I.A. Records Control Schedule

ADMINISTRATIVE RECORDS

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD AND INSTRUCTIONS</u>
	PERSONNEL RECORDS - Cont'd	
5.	<u>Grievance Files.</u> These include employee's formal complaint against supervisory or management official. If employee is not satisfied with action taken at Commissioner's level, he has 15 days to appeal to Secretary for further determination. Files contain transcripts of hearings, statement of witnesses, etc. Usually can be considered as final after two years.	<u>Dispose</u> 7 years after close of file. Applicable at the Central Office and at field offices maintaining copies of these files. <u>DISPOSAL AUTHORITY:</u> NN-171-57
6.	<u>Discrimination Complaints (EEO) Files.</u> Employee's or job applicant's complaint that he has been discriminated against because of race, color, religion, etc. Files may include transcripts of hearings, affidavits, statements of witnesses, etc.	<u>Dispose</u> 7 years after close of file. Applicable at the Central Office and at field offices maintaining copies of these files. <u>DISPOSAL AUTHORITY:</u> NN-171-57

OFFICE OPERATIONS
B.I.A. Records Control Schedule

FORESTRY RECORDS

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD AND INSTRUCTIONS</u>
7.	<u>Timber and Fire Trespass Case Files.</u> These records are Bureau case files on trespass actions involving fire or cutting damage to Indian forest lands under Bureau of Indian Affairs supervision.	
a.	<u>Fire trespass case files which have been settled in full.</u> These case files are considered closed when they are settled in full.	Dispose 1 year after the date on which full settlement was received. (Prior to the disposal of these records the Agency Superintendent shall determine that settlement has been received in full.)
		<u>DISPOSAL AUTHORITY:</u> NC-75-75-2
b.	<u>Fire trespass case files which have been compromised.</u> These involve claims which have been referred by the Bureau of Indian Affairs to the Justice Department for settlement. These cases are considered closed when final compromise settlements are reached by the Attorney General of the United States or any person authorized by him and final payment based on the compromise settlement is received.	Dispose 1 year after the date on which final compromise settlement was received. (Prior to the disposal of these records the Agency Superintendent shall determine that the case is settled in full in accordance with the compromise settlement.)
		<u>DISPOSAL AUTHORITY:</u> NC-75-75-2

OFFICE OPERATIONS
B.I.A. Records Control Schedule

FORESTRY RECORDS

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD AND INSTRUCTIONS</u>
c.	<p><u>Fire trespass case files where no damages have been collected.</u> These case files are subject to 28 U.S.C. 2415 and 2416 and cover actions brought within 6 years after the date on which cause of action arose. The case is considered closed if no payment of damages or written acknowledgment of debt is received within a 7 year period after the date on which the cause of action arose.</p>	<p><u>Dispose 7 years after date on which cause of action arose providing no payment of damages or written acknowledgement of debt is received during that period of time.</u> (Prior to the disposal of these records the Agency Superintendent shall determine that there is no prospect for collecting damages or extending the time allowable to commence action as provided in 28 U.S.C. 2415 (a) and 2416.)</p> <p><u>DISPOSAL AUTHORITY:</u></p> <p>NC-75-75-2</p>
d.	<p><u>Fire trespass case files where damages have not been collected in full.</u> These case files are subject to 28 U.S.C. 2415 and 2416 and cover actions brought within 6 years after the date on which the cause of action arose. In the event of partial payment or acknowledgement of debt, the right of action shall be deemed to accrue again at the time of each such payment or acknowledgment. The case is considered closed if no payment of damages or written acknowledgment of debt is received within 7 year period after the last partial payment.</p>	<p><u>Dispose 7 years after the date on which last partial payment or written acknowledgment of debt was received.</u> (Prior to the disposal of these records the Agency Superintendent shall determine that there is no prospect for collecting damages or extending the time allowable to commence action as provided in 28 U.S.C. 2415 (a) and 2416.)</p> <p><u>DISPCAL AUTHORITY:</u></p> <p>NC-75-75-2</p>