
FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Table of Contents

TABLE OF CONTENTS

1.

Foreword

1.

General Policy and Procedures

- .1 Purpose
- .2 Objectives
- .3 Policy
- .4 Responsibilities
- .5 Definitions
- .6 Systems Concepts
- .7 Disclosure of Information about Individuals

2.

Files Maintenance Policy and Procedures

- .1 Planning and Arranging Files

Exhibit 1 - Standard Rules for Alphabetical Filing

Exhibit 2 - Subdivisions of the Alphabet

3.

Files Maintenance and Disposition Plans

- .1 File Plan Requirements
- .2 Purpose
- .3 Plan Development and Arrangement
- .4 Preparation Instructions
- .5 Distribution
- .6 Review and Approval
- .7 Master Index to BIA Files
- .8 Updating and Revising the Plan

Exhibit 3 - Sample Files Maintenance and Disposition Plan

Exhibit 4 - Sample File Drawer

4.

Files Maintenance Procedures

- .1 Avoid Unnecessary Filing
- .2 Arranging Folders, Guides, and Labels
- .3 Official File Copies of Outgoing Correspondence
- .4 Receiving and Preparing Papers for Filing
- .5 Extra Copies
- .6 Classifying Papers for Filing
- .7 Cross References
- .8 Placing Materials in File Folders
- .9 Filing Loose vs. Fastening
- .10 Filing Confidential Records
- .11 Finding Papers in the Files

Table of Contents8. Disposition Schedules

- .1 Disposition Authority
- .2 Arrangement of Disposition Schedules
- .3 Numbering
- .4 File Location Identification
- .5 Application for Review of Schedules
- .6 Special Considerations for Microfilmed Records

Exhibit 11 - Request for Change in BIA Records Schedule (Form 5-1506)

9. Files Cutoff and Retirement Procedures

- .1 Definition and Objectives of Files Cutoff
- .2 Cutoff Standards
- .3 Records Retirement Criteria
- .4 Retirement Deviations
- .5 Federal Archives and Records Centers
- .6 FARC Boxes
- .7 General Retirement Procedures
- .8 Preparing Transmittal Forms - SF 135
- .9 Submission Instructions for SF 135
- .10 FARC Processing of the SF 135
- .11 Entering FARC Box Numbers and Accession Number
- .12 Shipping the Records
- .13 Signed SF 135
- .14 Referrals to Stored Records
- .15 Disposal of Records by Federal Archives and Records Centers

Exhibit 12 - Federal Archives and Records Centers

Exhibit 13 - Sample Standard Form 135

Exhibit 14 - Sample Standard Form 135 - Reverse

10. Annual Records Report

- .1 Reporting Requirements
- .2 Preparing the Report
- .3 Reporting Responsibility

Exhibit 15 - Sample Annual Records Report

Exhibit 16 - Summary Worksheet for Annual Records Report

Exhibit 17 - Records Disposition Reminder

Exhibit 18 - Computing Volume of Records for Annual Report (Report No. 15-02)

Appendix 1 - Subject Outlines

Appendix 2 - Records Disposition Schedules

Appendix 3 - Index to Disposition Schedules

INDIAN RECORDS NEVER OUT OF DATE

The importance of a good records disposition program cannot be over-emphasized. For example, if records were not properly preserved and maintained where would one research to find the answers to the following questions concerning Indians:

1. Where would you go to find 19th Century Accounts of Red Lake and Pembina Chippewa Half-Breed scrip? And does this scrip have any worth today?
2. Why dredge up an 1854 Indian treaty relating to the Weas, Piankoshaws, Peorias, and Kaskaskias -- Indian groups that are a tiny minority of Indians today?
3. How much did Florida cost in 1823? And who cares?

Such questions have been raised. Their answers may be worth millions of dollars, and depend on historic records of U.S. Government agreements with Indian tribes.

The Interior Department's Bureau of Indian Affairs is the original source of most Indian records. The BIA is required by law to maintain indefinitely those official papers it determines to be "of enduring value."

Many older BIA records -- including many records from the War Department which once directed Indian Affairs -- are maintained by the National Archives and Records Service in Washington, D.C. Today they comprise thousands of cubic feet of books, papers, decisions, treaties, and other documentary materials which can never be considered nonessential.

Since these are records directly affecting the lives of Indian people, they are a matter of intense interest to Indian Americans, Government officials, students, anthropologists, lawyers and historians. Among the most constant users of Indian records is the BIA itself.

Indian records are among the most active record groups of the many Government agency files in Archives' custody. The National Archives' motto, "The Past is Prologue," is nowhere more applicable than to the original Americans.

1. GENERAL POLICY AND PROCEDURES

1.1 Purpose. The Files Operations and Records Disposition Handbook establishes a system for the effective organization, maintenance, and disposal of Bureau of Indian Affairs (BIA) records. It provides Bureau personnel with guidelines and instructions necessary to implement the standards contained in the Records Disposal Act of 1943, the Federal Records Act of 1950, GSA Federal Property Management Regulation 41 CFR 101-11, Title 8 of the General Accounting Office Manual, and the Departmental Manual.

1.2 Objectives. The major objectives of the Files Operations and Records Disposition Handbook are to insure that records of continuing value are preserved and that records no longer of current use to the Bureau are properly disposed of or retired. The specific goals of the handbook are to:

A. Assure uniformity and simplicity in maintaining and using records;

B. Provide adequate controls over the creation of file materials and prevent accumulation of unnecessary files;

C. Facilitate the classification, filing, retrieval, charging out, and refiling of records;

D. Assure the preservation of those records having sufficient continuing value to warrant their permanent retention.

E. Provide for the systematic cutoff and periodic destruction or retirement of records in accordance with approved records disposition schedules as contained in this handbook.

1.3 Policy. The policy of the Bureau of Indian Affairs is to provide for efficient, economical, and effective controls over creation, distribution, organization, maintenance, use, and disposition of all Bureau records.

1.4 Responsibilities.

A. Program Responsibility. The Central Office Division of Management Research and Evaluation has major responsibility for directing the Bureau program and coordinating all activities with the Bureau and with the Department, National Archives and Records Service (NARS) of GSA, General Accounting Office, and other agencies as necessary. An official of this division will be designated as the BIA Records Management Officer with bureau-wide responsibility for overall program direction.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK

Chapter 1. General Policy and Procedures

The Central Office Division of Administrative Services Office provides services to the Washington Office and to the Eastern Area. The Field Administrative Office at Albuquerque, New Mexico, provides services to Central Office field offices located in Denver, Colorado; Brigham City, Utah; and Santa Fe and Albuquerque, New Mexico. Each of these organizational units will designate a Records Management Officer to coordinate the files maintenance and records disposition functions within their area of service responsibility.

B. Employee Responsibility. All information received, created, or compiled by the officers and employees of the Federal Government for the use of the Government is official Government record material and is, therefore, the property of the United States. No Federal official or employee has, by virtue of his position, any personal or property right to official records even though he may have helped develop or compile them. The unlawful destruction, removal from files, and use of official records are prohibited by the U.S. Criminal Code (Title 18, Supp. V, Sec. 2071, USC). Former senior officials are allowed to review and make copies of their files after leaving office provided the Bureau is not required to restrict access under the Freedom of Information or Privacy Acts.

C. BIA Records Management Officer. The BIA Records Management Officer has responsibility for Bureau-wide files management and records disposition program direction, guidance, and technical assistance. This responsibility includes the following functions:

- (1) Planning, formulating, and prescribing basic files management and records disposition policies, systems, standards, and procedures.
- (2) Coordinating the overall files management and records disposition program and evaluating program effectiveness.
- (3) Providing records management advice and assistance to all organizational levels.
- (4) Developing, analyzing, and coordinating files maintenance and records disposition procedures, including those prescribed by this handbook, to meet the operating needs of the BIA.
- (5) Inspecting and surveying the system at all organizational levels for conformance with the prescribed procedures and advising the appropriate officials of findings and recommendations for improvement.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 1. General Policy and Procedures

(6) Reviewing and evaluating filing equipment utilization and recommending the appropriate action.

(7) Serving as liaison with the National Archives and Records Service and other agencies on matters relating to records management. This function includes preparing reports required by GSA regarding records holdings and records disposition activities.

D. Heads of Central, Area, and Agency Offices. Office heads are responsible for implementation and operation of effective files operations and records disposition programs in accordance with the provisions of this handbook within their areas of responsibility. They shall designate qualified personnel within their offices to coordinate the system and shall keep the BIA Records Officer informed of the name of each designee. Each office head shall also establish a list of official file stations and files custodians.

(1) Central Offices. Central Office Directors shall designate a "Records Liaison Officer" for the Washington, D.C., offices and, where appropriate, for significant Central Office units outside of Washington. Normally this will be an additional duty for those designated.

(2) Area Offices. Each Area Director will designate a Records Management Officer (RMO) for the Area. Also, the Area Director will designate a Records Liaison Officer (RLO) for each organizational unit within the Area with multiple file stations to coordinate operation of the system. The Area Records Management Officer is a full time paperwork management position. The Records Liaison Officer activity will be additional duty normally assigned to a senior files custodian.

(3) Agency (and Other Field Offices). Agency Superintendents (and other Field Office heads) shall designate file stations and files custodians for their offices. If the Agency has multiple stations, one of the senior files custodians shall be designated Records Liaison Officer and the Area Records Management Officer notified of all such designations.

E. Area Records Management Officers. Area Records Management Officers are responsible for administering all phases of records management and for providing a coordinating point to ensure efficient files operations within the Area Office and the Agency Offices in their Areas. They are also designated liaisons between their Area Offices and the BIA Records Management Officer. This responsibility includes receiving and consolidating reports from Agency Offices and submitting reports to the BIA Records Management Officer on the status of the files operations and

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 1. General Policy and Procedures

records disposition program. Area Records Management Officers are also responsible for providing records management advice and assistance to offices under area jurisdiction and to Indian tribes and tribal organizations as requested.

F. Records Liaison Officers. Records Liaison Officers are responsible for providing a coordinating point to ensure efficient files operations within their offices and the BIA Records Management Officer in the Central Office or the Records Management Officers in Area Offices. This responsibility includes assisting files custodians with the application of appropriate records retention and disposition schedules and preparing and submitting reports on the status of the files operations and records disposition program.

G. Files Custodians. Files Custodians are responsible for the establishment, maintenance, and operation of files stations within their organizational units in accordance with this handbook. The responsibility includes the maintenance and disposition of official record material.

1.5 Definitions.

A. Accession.

(1) To take over records from a creating or holding agency for the purpose of retaining them when they are no longer in current use.

(2) A body of records so taken over (by a Federal Archives and Records Center, for example).

B. Active Records. Records in current use which must be retained in the offices of the Bureau because frequent reference is necessary in the conduct of day-to-day operations. (This usually means records that are used more than once per file drawer per month.)

C. Archives.

(1) The permanently valuable records, in whatever form, that have been created or received by a governmental body for its official purposes and made a part of its official documentation.

(2) An agency established to preserve and make such records available for use, or a building in which such records are kept (the National Archives, for example).

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK

Chapter 1. General Policy and Procedures

D. Closed File. A file (usually in a series) on which action is assumed to be complete and to which no papers are to be added.

E. Convenience File. A file, usually consisting of nonrecord, informational papers, kept in or near the user's desk for immediate reference purposes.

F. Current Records. See "Active Records."

G. Custody. The maintenance or guardianship of records by a creating agency or its successor, a Records Center, or an archival institution.

H. Cutoff. The termination (closing) of files at regular intervals to permit their transfer, retirement, or destruction in complete file blocks. Under this process, a file is terminated regularly at the end of a specified time or an event, and a new file established. Also referred to as "file break."

I. Disposition. A broad term which may refer to any of the following:

(1) Destruction of records;

(2) Retirements of records to the National Archives or a Federal Archives and Records Center;

(3) Transfer of records from one office or agency to another.

J. Disposition Schedules. A comprehensive listing and description of records created or accumulated which shows all legally authorized action to be taken in relation to their retention and disposition. Records disposition schedules provide for the periodic retirement of records to records centers as well as provisions for their final disposal or retention.

K. Files Custodian. The designated individual responsible for the establishment, maintenance, and operation of files stations, also referred to as "recordkeeper."

L. File Series. A separately maintained group of files with similar characteristics such as homogeneous subject matter, a single system of arrangement, similar types of papers within each folder, and the like. Each file or record series comprises the largest practical grouping of separately organized and logically related materials that can be treated as a single unit for purposes of disposal.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 1. General Policy and Procedures

M. General Records Schedules. Retention and disposal schedules issued by the National Archives and Records Service of GSA listing records common to several or all Federal agencies which establish standards for general use in records management. These schedules have been incorporated into the BIA Records Control Schedules (Appendix 2).

N. Housekeeping Records. The budget, fiscal, personnel, supply, and other records relating to the operations normally common to all agencies, as distinguished from records relating to the specific program of an agency. See "Program Records."

O. Inactive Records. Records which are seldom referred to but which must be retained, temporarily or permanently (in offices, FARC's, or archives), because of legal or historical and research value.

P. Maceration. Destruction of a record by shredding or chopping in such fashion as to render it illegible and incapable of reconstruction.

Q. Maintenance of Records.

(1) Regarding current records, all operations incidental to the upkeep of an organized filing system including classifying, indexing, sorting, filing, and reference service.

(2) Regarding records in the custody of a FARC or archives, their proper storage, protection, and repair and rehabilitation when necessary.

R. Nonrecord Material. Papers (or other media) not meeting the requirements for "records" are considered nonrecord material. These include stocks of publications, issuances, library material, duplicate copies of record material such as reading files, processed or published materials, catalogues, trade journals, and papers of transitory value such as drafts, worksheets, informal notes, and routing slips. Nonrecord materials should be destroyed when no longer needed.

S. Official Files. Official files of the BIA are papers, photographs, maps, or other documentary materials, regardless of physical form or characteristics, which have documentary or evidential value. Such papers, created or received in connection with the transaction of the agency's business, are preserved as evidence of its organization, functions, policies, decisions, procedures, operations, or other activities because of their informational value. Official files, also referred to as record material, can be destroyed only according to the provisions of authorized disposal schedules.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 1. General Policy and Procedures

T. Permanent Records. Those records of Federal agencies that are determined through appraisal by the National Archives and Records Service as worthy of indefinite or permanent preservation. These records have been designated by the Archivist of the United States as having historical, continuing, or enduring value.

U. Program Records. Records of the policies, plans, procedures, and day-to-day operations of an agency in carrying out the functions for which it is responsible.

V. Record Copy. The copy of a document specifically intended to be kept as a record. Also referred to as "official file copy." It may be the original, a carbon, or a processed copy.

W. Record Set. The group of serial issuances of a particular type (as of press releases, manual issuances, or administrative notices) that, among many groups of copies thereof, has been given the character of an official record, or is preserved archivally to serve as such.

X. Records Control Schedules. A comprehensive listing and description of records created or accumulated which show all legally authorized actions to be taken in relation to their retention and disposition. Records control schedules provide for the periodic retirement of records to records centers as well as providing for their final disposal or retention.

Y. Retention Period. The period of time that records must be kept. Records are retained in offices while active and in Records Centers or the National Archives after they have become inactive.

Z. Retirement. Transfer of inactive records to Records Centers or other authorized depositories for storage.

AA. Schedule Item. A separately identifiable type or group of records included in a records disposition schedule.

BB. Scheduled Records. Records for which retention periods and disposition authority have been included in this handbook.

CC. Screening. Removal of individual papers or folders from a group of records, usually to permit disposal of parts of the file and retention or transfer of the rest. Also known as "purging" or "weeding."

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK

Chapter 1. General Policy and Procedures

DD. Shelf List. Item-by-item or series-by-series list of records, arranged in the order in which they are transferred to a Records Center and arranged there on the shelves or stacks. (Prepared on SF 135 and SF 135A.)

1.6 Systems Concepts. The system established by this handbook is a comprehensive system designed to provide procedures for the management of records from their creation through their ultimate disposition. The proper maintenance of files makes it easier to dispose of them; the prompt and timely removal of inactive records contributes to a more effective current files operation. This system integrates the closely related functions of files maintenance and records disposition.

A. Chapter 1 of this handbook introduces the system and contains the general policy, procedures, and objectives of the Bureau's files maintenance and records disposition program.

B. Chapters 2 through 5 of this handbook set forth the basic principals of files arrangement, maintenance, and operations including the preparation of files maintenance and disposition plans and the identification of standard filing equipment and supplies.

C. Chapter 6 provides specific procedures for a Subject Classification System for organizing general correspondence, related reports, completed forms, and other papers which do not lend themselves to arrangement in a file group or series by a name or number. The Subject File Classification System is intended for use only in the arrangement of general correspondence material. Appendix 1 to this handbook is related to Chapter 6 because it contains the Master Subject Outlines used for guidance in establishing subject files.

D. Chapters 7 through 10 establish basic policy and procedures regarding the disposition of BIA records. Appendix 2 is related to these chapters since it contains records control schedules for each type or series of files in BIA custody. The schedules describe the contents of the various series of records and nonrecord materials, suggest the arrangement of individual items within the series, and provide instructions for records cutoff, retirement, destruction, or retention. Appendix 3 is an alphabetical index to the records control schedules.

The schedules provide the broad framework for arranging all file material. Files series are arranged at each official file station in numerical order according to the numbers assigned to each records control schedule item.

1.7 Disclosure of Information about Individuals. Every official and employee who is involved in the design, development, operation, or maintenance of a system of records relating to an individual or who has access to such a system of records shall become familiar with the requirements of the Department of Interior Privacy Act regulations (43 CFR, Part 2, Subpart D).

For the purpose of these regulations, the term "record" means any item, collection, or grouping of information about an individual that is maintained by a Department office or bureau. This includes but is not limited to information that regards his education, financial transactions, medical history, and criminal or employment history and that contains his name or an identifying number, symbol, or other identifying particular assigned to the individual, such as a fingerprint, voiceprint, or photograph.

One requirement of the Privacy Act is that no personal information may be disclosed except under conditions specified in the law. Another requirement is to safeguard records against unauthorized disclosure.

The Privacy Act requires agencies to establish appropriate administrative, technical, and physical safeguards to ensure the security and confidentiality of records containing personal information. The Department has interpreted this to mean that records containing personal information must be stored in locked metal file cabinets or locked rooms (43 CFR 2.51). 0000000000

2. FILES MAINTENANCE POLICY AND PROCEDURES

2.1 Planning and Arranging Files.

A. Official File Stations. Official file stations are specifically designated organizational units where official record copies of documents are maintained. They may be established at any organizational level. Official file stations are established as necessary to provide a network of recordkeeping locations within an office or section to:

- (1) Provide technical control and supervision of official records;
- (2) Facilitate coordination between and among file stations; and
- (3) Assure uniformity in filing and reference procedures.

B. Network System - Location of Official Records. Planning the proper location of files collections is the first step in effective files maintenance. The network system of filing, or official file station concept, is based primarily on decentralized records locations with centralized control. A file station may be a large, central one shared by several offices or it may be a small, local station, only one or two file cabinets, serving a single section or unit.

(1) The network system provides for locating records where the offices with primary interest in the functions documented by the records are the principal users of the files.

(2) The network system also provides for the centralization of records which have a functional interest or reference value to several offices or which must be brought together to assure that related activities are adequately documented.

(3) This type system is designed to keep as many records as possible in small, usable collections where they are more easily managed and accessible to using offices. Centralizing records usually results in duplicate recordkeeping and is, therefore, limited to specific record series which require central documentation.

(4) Records should be located reasonably close to regular users. This does not mean a separate records collection alongside each individual's desk. Records located in the same room, an adjacent room, or in the general vicinity of the majority of the users will normally provide convenient access.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 2. Files Maintenance Policy and Procedures

C. Centralization vs. Decentralization of Files Stations.

(1) Centralized Files. Consider locating records in a centralized file when:

- (a) More than one work unit has need for the same record.
- (b) Units are sufficiently near the central file for prompt service.
- (c) Security of proprietary material requires central filing.

(2) Decentralized Files. Consider locating records in a decentralized file when:

- (a) Records are of interest to only one work unit.
- (b) Centralized filing is too distant for efficient service.
- (c) Information must be immediately available to the creator.
- (d) Constant reference is made to the records by a particular organizational unit.

D. Basic Types (Groups) of Files. The files collection will normally consist of more than one basic type of file. The first step in planning and arranging a files collection is identifying and separating these various types.

A file group consists of a collection of file material which has similar characteristics and which should be kept apart from other groups of records in the office. Each entry in the records control schedules in Appendix 2 of this handbook represents a file group or series. The breakdowns in the schedules are based on the following common types of file groups:

(1) General Correspondence (Subject) Files. Often known as the "general file" or the "subject correspondence file," this file consists of originals or copies of letters, memorandums, telegrams, reports, and miscellaneous materials. Each official file station will normally have a separate correspondence file. Because this file invariably involves a wide variety of subjects, it can best be identified and used when arranged

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 2. Files Maintenance Policy and Procedures

by subject. The Subject Classification System will be utilized in the arrangement of correspondence files (see Chapter 6).

(2) Transitory Correspondence Files. These files consist of correspondence and other papers of short term interest which should not be filed in subject correspondence files. These records involve routine transactions or do not contain information of continuing reference value. They consist of transmittal letters or forms; requests for routine information or publications; communications correcting reports or records; or other documents not requiring action by the receiving office. Item 101-04 prescribes the method of arranging material within this group that is temporarily needed for reference.

(3) Case or Project Files. Case files contain material relating to a specific action, event, person, organization, location, product, or thing. The papers may cover one or many subjects concerning a case or project but will always be filed by a name or number. This practice aids in distinguishing them from general correspondence, which is filed by subject.

A case file documents a transaction or relationship from beginning to end. For example, a copy of the lease instrument may begin a case folder, and a request for relinquishment of the lease may close it.

The records disposition schedules in Appendix 2 of this handbook describe the typical contents of the various case file series maintained by BIA. Where possible, contents of case or project files and their arrangement should be standardized. A list or inventory of typical contents may be prepared for case related papers.

(4) Case Working Papers. These are short lived correspondence and working papers accumulated in connection with specific case and project files. They include background and working materials such as reference materials and data obtained for the case or project, data analyses and summaries, drafts and other preliminary or intermediate papers leading to final results or findings. The most common type of working papers are routine requests for case reports or data, routine correspondence concerning the administration of a case or project, extra copies of documents or reference material, etc.

Case working papers should be segregated from the important case documents for ease of disposal and to prevent cluttering of more important papers. They may be filed in the same folder but kept separate by fastening on the opposite side from the essential papers or they may be in separate folders placed one behind the other in the file drawer.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 2. Files Maintenance Policy and Procedures

(5) Technical Reference Files. Sometimes called "reference material" or "reference publications," this file group consists of printed or processed material which is of nonrecord value but which has a direct relationship to the work of the office and is needed for future reference. It includes such materials as technical reports, periodicals, catalogs, handbooks, equipment manuals, pamphlets, internal instructional and informational manuals, etc.

Unless the volume is very small, technical reference materials should always be maintained separately from correspondence files. Mixing correspondence files and technical reference papers hampers disposal of both types and overloads the correspondence files.

(6) Convenience Files. These consist of extra nonrecord copies of correspondence, forms, and other papers kept solely to satisfy a particular need. Extra copy files should be established only when fully justified. Improperly used, they waste filing equipment, supplies, office space, reproduction costs, and valuable employee time.

Examples of convenience files are: reading (chronological) files, suspense files, policy reference files, alphabetical name index files, and duplicate working files. Each of these files is described in detail in Section 101 of the records control schedules.

(7) Nonstandard Size Files. These records are kept in a separate group because of size or physical characteristics and include films, magnetic tape records, cartographic materials and drawings, computer printouts, punched cards, photographs, etc.

E. Filing Arrangements within Separate File Groups. Once the basic file groups have been identified and separated within a files collection, the best method of arranging the material within each type must be determined. The arrangement should permit ease of filing and finding without the need for special indexing systems.

This handbook prescribes the arrangement of general correspondence files and also suggests the name or number arrangement of most case file series. Within the basic arrangement designated for the file group, one or more additional arrangements are suggested or may be selected for further breakdown or subdivision of the records. Following are six basic filing arrangements:

- (1) Numerical Arrangement.
- (2) Chronological Arrangement.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 2. Files Maintenance Policy and Procedures

(3) Geographical Arrangement.

(4) Organizational Arrangement.

(5) Alphabetical Arrangement. Exhibit 1 includes standard rules for alphabetical filing. Exhibit 2 provides standard subdivisions of the alphabet.

(6) Subject Arrangement. The subject arrangement of general correspondence files has been standardized in the Subject Classification System contained in Chapter 6 of this handbook.

15 BIAM SUPPLEMENT NO. 3

Exhibit 1

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 2. Files Maintenance Policy and Procedures

EXHIBIT 1. RULES FOR ALPHABETIZING**A. Select Method**

There are two major considerations in establishing a system of alphabetical name filing. The first is to determine the indexing arrangement of the name. Decide whether the name is to be filed as written, which part of the name will be indexed as the first unit, and whether parts of name titles such as articles should be disregarded. After deciding upon the filing method to be used, arrange material in alphabetical sequence in accordance with the established rules for alphabetizing which follow.

B. Rules for Alphabetizing

1. In filing by name of individuals, consider the last name as the first unit, the first name or initial as the second unit, the second name or initial as the third unit, and so forth. When only a last name is used, this precedes the same last name with a given name or initial; this in turn precedes an identical last name and first name with an initial. This follows a fundamental rule of filing which states that "nothing comes before something."

Baxter
 Baxter, A.
 Baxter, A. A.
 Baxter, Ann
 Baxter, Ann E.

2. Consider prefixes such as d', D', de, De, De La, di, du, Fitz, La, Le, M', Mac, Mc, O', Van, Von, Van der, Von der as part of the last name and file accordingly.

Dendy, Lillian D.
 De Neale, Albert
 Denecke, Marie
 den Harton, A. C.
 Den Hofer, Fred D.
 Den Holm, Edna G.

3. Hyphenated last names are indexed and filed as one unit.

Lloyd-George, David

4. When it is difficult to determine the last names of individuals, as in the case of Indian or foreign names, file as written. If there is much foreign correspondence in an office, establish definite rules for filing procedures.

Black Arrow
 Chen Vung
 Kim Sae Sun

15 BIAM SUPPLEMENT NO. 3

Exhibit 1

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 2. Files Maintenance Policy and Procedures

EXHIBIT 1. RULES FOR ALPHABETIZING

5. All abbreviations, including those of names, are filed as though spelled in full when they constitute units of filing.

<u>Written</u>	<u>Filing Arrangement</u>
----------------	---------------------------

Chas. Smith	Smith, Charles
Jas. W. Tepper, Ltd.	Tepper, James W., Limited
Theo. Williams	Williams, Theodore

6. In filing use the given name of a married woman rather than her husband's name. "Mrs." is placed in parentheses after the name, but is not considered in filing.

<u>Name</u>	<u>Filing Arrangement</u>
-------------	---------------------------

Mrs. John J. Jones (Alice P.)	Jones, Alice P. (Mrs.)
-------------------------------	------------------------

7. Disregard titles such as Dr., Mrs., Miss, Prof., Col., Director, Capt., and abbreviations such as Jr., Sr., 1st., etc., in filing. They should be placed in parentheses after the name.

Cheeseman, J. A. (Dr.)

Foreign and religious titles such as Sister Margaret, Duke of Windsor, and the like are filed as written. The abbreviation for Saint, i.e., St., is filed as though spelled out.

8. File names of firms and institutions alphabetically as written when they do not include the full name of an individual.

Cox Foundry Company

9. File names or titles of institutions containing the full name of an individual in the following order:

- Last name.
- Given names or initials.
- Remainder of firm name.

<u>Name</u>	<u>Filing Arrangement</u>
-------------	---------------------------

James A. Smith Poultry Co.	Smith, James A., Poultry Co.
----------------------------	------------------------------

10. File names of firms or titles of institutions containing numerals as though the numbers were spelled out.

<u>Name</u>	<u>Filing Arrangement</u>
The 13 Club	Thirteen Club (The)

15 BIAM SUPPLEMENT NO. 3

Exhibit 1

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 2. Files Maintenance Policy and Procedures

EXHIBIT 1. RULES FOR ALPHABETIZING

11. Treat hyphenated firm names and titles as separate words.

<u>Name</u>	<u>Filing Arrangement</u>
Smith-Jones Company	Smith Jones Company

12. File names which may be spelled or written as one or two words as one word.

<u>Name</u>	<u>Filing Arrangement</u>		
	<u>1st Unit</u>	<u>2nd Unit</u>	<u>3rd Unit</u>
Inter State Motor Company	Interstate	Motor	Company

13. Articles, prepositions, and conjunctions such as "and," "for," "in," "of," and "the" do not affect the order of filing. When "the" is included as part of a title, place it in parentheses; if it is the initial word, place it at the end of the title.

Max (The) Hatter
 Scott Shop (The)

14. The words "Brothers," "Company," "Incorporated," "Limited," "Son," and "Sons" including their abbreviations are considered as filing units. If abbreviated, they are filed as though spelled out.

15. Consider compound geographic names as separate words in filing.

<u>Name</u>	<u>Filing Arrangement</u>	
	<u>1st Unit</u>	<u>2nd Unit</u>
North Carolina Publishing Co.	North	Carolina
		<u>3rd Unit</u>
Publishing		<u>4th Unit</u>
		Company

16. Where the firm name is abbreviated and the name is known, file as if it were written in full.

<u>Name</u>	<u>Filing Arrangement</u>
G. E. Company	General Electric Company
PEPCO	Potomac Electric Power Company

17. Consider articles used in firm names or foreign titles as a separate filing unit.

<u>Name</u>	<u>Filing Arrangement</u>		
	<u>1st Unit</u>	<u>2nd Unit</u>	<u>3rd Unit</u>
El Morocco	El	Morocco	
LaBelle Shop	La	Belle	Shop

15 BIAM SUPPLEMENT NO. 3

Exhibit 1FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 2. Files Maintenance Policy and Procedures

EXHIBIT 1. RULES FOR ALPHABETIZING

18. When phrases such as "association of," "union of," "organization of," "society for," "bureau of," and "department of" constitute the beginning of a name or title, file them as part of the name. This rule does not apply to government bureaus, offices, or departments.

Association for Childhood Care
Association of Land-Grant Colleges
Society for Prevention of Cruelty to Animals

19. When "United States" and "Federal" are used as part of a title for government departments, they are disregarded in filing. When these words appear in the names of firms or institutions not connected with the Government, the words are included as part of the name in filing.
20. File names of departments or bureaus of the Federal Government in the following order:
- The principal words in the name of the department.
 - The principal words in the name of the bureau.
 - The principal words in the name of the other units necessary for filing purposes.

<u>Name</u>	<u>Filing Arrangement</u>		
	<u>1st Unit</u>	<u>2nd Unit</u>	<u>3rd Unit</u>
Civil Service Commission	Civil	Service	Commission
Forest Service - Department of Agriculture	Agriculture	Forest	Service

21. Frequently state, county, and municipal governments are referred to as "State of . . .," "Commonwealth of . . .," "County of . . .," "City of . . .," etc. These designations are not considered in filing. Index the actual name of the state, county, etc., and add designations parenthetically where necessary.

<u>Name</u>	<u>Filing Arrangement</u>		
	<u>1st Unit</u>	<u>2nd Unit</u>	<u>3rd Unit</u>
County of Lackawanna, Pennsylvania	Lackawanna	Pennsylvania	(County of)
Commonwealth of Pennsylvania	Pennsylvania	(Commonwealth of)	

22. In alphabetizing the names of bureaus and departments of municipalities, write the name of the city first, the state second,

15 BIAM SUPPLEMENT NO. 3

Exhibit 1FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 2. Files Maintenance Policy and ProceduresEXHIBIT 1. RULES FOR ALPHABETIZING

and the name of the department or bureau third. Where the volume of correspondence from a municipality or other government subdivision is small, file all material chronologically under the name of the subdivision without further breakdown.

<u>Name</u>	<u>Filing Arrangement</u>		
	<u>1st Unit</u>	<u>2nd Unit</u>	<u>3rd Unit</u>
Scranton City Council	Scranton	Pennsylvania	City Council
Scranton Department of Health	Scranton	Pennsylvania	Health (Dept. of)
Department of Public Safety, Scranton, Pennsylvania	Scranton	Pennsylvania	Public Safety (Dept. of)
Police Department, Scranton, Pennsylvania	Scranton	Pennsylvania	Police Department

23. When the name of a city is part of the name of a firm or other organization (not city government), file the name as written.

Scranton Tribune
Wilkes-Barre Times Record

24. When the same name appears with different addresses, the arrangement of the names is alphabetical according to "town" or "city" -- the name of the state is considered only where there is a duplication of town or city names.

General Electric Company (Rochester)
General Electric Company (Syracuse)
General Electric Company (Bowling Green, KY)
General Electric Company (Bowling Green, VA)

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
 Chapter 2. Files Maintenance Policy and Procedures

EXHIBIT 2. DIVISIONS OF THE ALPHABET

15		25 Division				60 Division					
Div.		A	J	Q	A	Co	Gi	Ki	Mu	Ro	U
B	N	B	K	R	Am	Cr	Gr	L	N	S	V
C	P	C	L	S	B	D	H	Le	O	Se	W
D	R	D	M	T	Be	De	He	Li	P	Sch	We
F	S	E	Mc	U	Bi	Do	Ho	M	Pe	Si	Wi
H	T	F	N	V	Br	E	Hu	Mar	Pi	St	XYZ
I	W	G	O	W	Bu	F	I	Mc	Q	Su	
K		H	P	XYZ	C	Fi	J	Me	R	T	
		I			Ch	G	Y	Mo	Ri	To	
100 Division											
A	Bo	Cor	Et	H	J	M	P	Se	Tr		
Al	Br	Cr	F	Ham	John	Man	Pe	Sh	U		
Am	Bro	Cu	Fi	Har	K	McA	Pi	Si	V		
Ander	Bu	D	Fo	Hat	Ke	Ma	Pr	Smith	W		
Ar	C	De	Fr	He	Ki	Mi	Q-R	Sp	War		
B	Car	Di	G	Hi	Kn	Mo	Ri	St	We		
Bar	Ch	Do	Ge	Ho	L	Mu	Ro	Sto	Wh		
Be	Cl	Dow	Go	Hon	Le	N	Ros	T	Wi		
Ber	Co	E	Gr	Hu	Li	Ni	S	Tho	Wo		
Bi	Con	E1	Gro	I	Lo	O	Sch	Ti	XYZ		
150 Division											
A	Br	Cu	Fl	Har	Jones	Man	P	Se	V		
Al	Bro	D	Fo	Harr	K	Mas	Pe	Sh	Ve		
Am	Bu	Davis	Fr	Hat	Ke	McA	Pet	Si	W		
Ander	Bur	De	Fri	He	Kel	McD	Pi	Smith	Wall		
Ar	C	Del	G	Hen	Ki	McK	Pr	Sn	War		
At	Car	Di	Gar	Her	Kn	Me	Pu	Sp	We		
B	Cas	Do	Ge	Hi	Kr	Mi	Q-R	St	Wei		
Baker	Ch	Dow	Gi	Ho	L	Miller	Re	Sto	Wh		
Bar	Che	Du	Go	Hol	Lar	Mo	Ri	Su	Wi		
Be	Cl	E	Gr	Hon	Le	Mor	Ro	T	Williams		
Ber	Co	E1	Gre	Hu	Lei	Mu	Ros	Te	Wilson		
Bi	Con	Et	Gro	Hun	Li	N	Ru	Tho	Wo		
Bl	Coo	F	H	I	Lo	Ni	S	Ti	Wr		
Bo	Cor	Fe	Hal	J	Lu	O	Sch	Tr	XY		
Bon	Cr	Fi	Ham	John	M	Or	Schm	U	Z		

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 3. Files Maintenance and Disposition Plans

3. FILES MAINTENANCE AND DISPOSITION PLANS

3.1 File Plan Requirements. The files custodian for each official file station will prepare a Files Maintenance and Disposition Plan identifying all files maintained at that station.

3.2 Purpose. Files Maintenance and Disposition Plans are prepared to facilitate filing and reference service, to assist in training new personnel, and to eliminate the need for constant referral to the Files Operations and Records Disposition Handbook.

3.3 Plan Development and Arrangement. The plan can be developed by matching the current records holdings of the files station against the records control schedules in Appendix 2 of this handbook. Select only the schedules which apply to files series actually maintained at that station.

Each file series maintained at the station will be listed on the plan in disposition schedule item number order. All folderized records will be maintained in the file drawers or shelves in the same order in which they appear in the plan. Exhibit 3 illustrates a typical files plan. Exhibit 4 shows a collection of files arranged in the same sequence as the plan.

3.4 Preparation Instructions. Prepare the files plan in triplicate on BIAM Form 5-1526 using bond paper for continuation sheets if necessary.

Items 1 through 4 are self-explanatory.

Column 5A. Enter the specific schedule item number from Appendix 2 of this handbook for each file series.

Column 5B. Enter the title of the applicable schedule item and the filing arrangement for each series. If necessary for series identification, enter a brief, precise description of the series and list typical documents in the series. Any subgroup of the record series may be assigned an identifying letter for ease of identification, coding, or filing. When a files series is maintained apart from the majority of files of the station, enter its location.

Column 5C. Enter the complete disposition instructions for each record series. Cut off and destruction or retention criteria are included in each disposal instruction entry in Appendix 2. If the applicable item covering disposition cannot be determined, enter "none" in Column 5C and advise the records liaison officer.

3.5 Distribution. The official file station will forward the original and both copies to the appropriate records liaison officer for review and approval.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOKChapter 3. Files Maintenance and Disposition Plans

3.6 Review and Approval. The records liaison officer shall review the files plan for accuracy, adequacy, completeness, evidence of maintenance of unnecessary duplicate files, etc., and give final approval.

After signature, the following distribution is made:

A. Central Offices. One copy is retained by the records liaison officer; one copy is forwarded to the records management officer located in Washington, D.C., or Albuquerque, N.M.; and the original is returned to the files custodian at the official file station.

B. Area Offices. One copy is retained by the records liaison officer, one copy is forwarded to the Area records management officer, and the original is returned to the files custodian at the official file station.

C. Agency (and Other Field Offices.) One copy is retained by the records liaison officer, one copy is forwarded to the Area records management officer, and the original is returned to the files custodian at the official file station.

3.7 Master Index to BIA Files.

A. Central Offices. The records management officer in Washington, D.C., or in Albuquerque, N.M., will maintain copies of all plans for the various official file stations as a finding aid for all records in custody at BIA Central Offices.

B. Area Offices. The Area records management officer will maintain copies of all plans for the various file stations in the Area Office plus those from the Agency Offices within the Area.

C. Agency (and Other Field Offices). The records liaison officer will maintain copies of all plans for the various file stations within the Agency or other field offices.

3.8 Updating and Revising the Plan. A new files maintenance and disposition plan should be prepared when the old plan is substantially changed or when further minor corrections and additions cannot be easily made. In addition, the plan will be reviewed at the close of each fiscal year and amended if necessary to ensure that all files are accounted for and that cited disposition authorities are appropriate.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 3. Files Maintenance and Disposition Plans

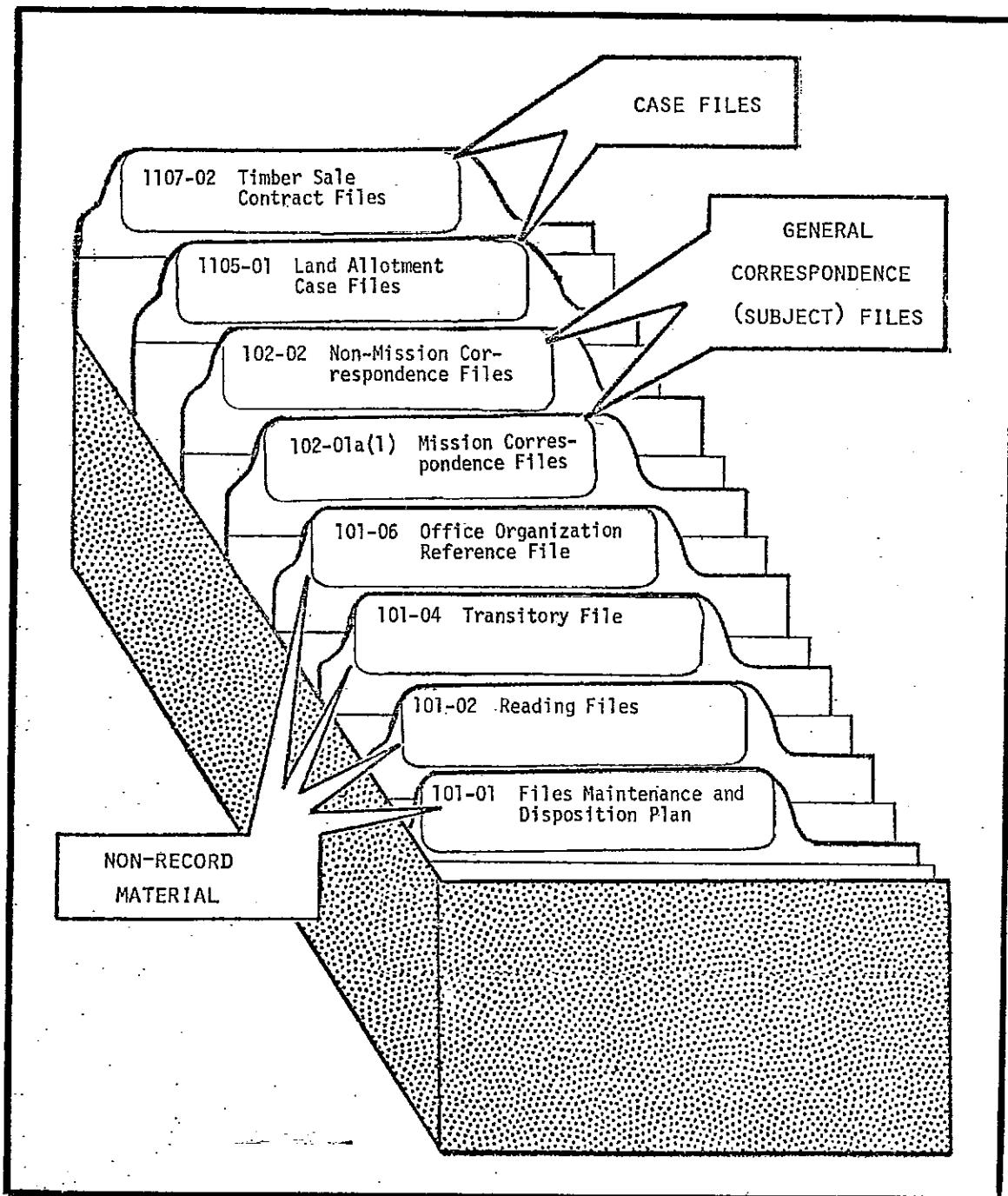
EXHIBIT 3. SAMPLE FILES MAINTENANCE AND DISPOSITION PLAN

FORM 6-1526
JULY 1976

**UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS**

FILES MAINTENANCE AND DISPOSITION PLAN		1. ORGANIZATIONAL UNIT
		2. DATE PREPARED
3. RECORDS LIAISON OFFICER SIGNATURE		4. PREPARED BY
5. FILES PLAN		
SCHEDULE ITEM NUMBER	TITLE OR DESCRIPTION OF RECORDS SERIES	DISPOSAL INSTRUCTIONS (Insert disposition instructions for each record series including cutoff, retirement, and destruction actions).
A	B	C
101-01	Files Maintenance and Disposition Plan	Retain all current documents. Destroy all obsolete material.
101-02	Reading Files	Cut off at close of fiscal year. Destroy 1 year after cutoff.
101-04	Transitory Files	Destroy after 90 days.
101-06	Office Organization Reference Files	Destroy papers when obsolete or no longer needed for reference.
101-08	Employee Travel Files	Cut off at close of fiscal year. Destroy after 2 years.
101-10	Agency Directives and Publications - Reference Copies (In Bookcase in Mr. Jones' Office)	Destroy when superseded, obsolete, or no longer needed for reference.
102-01a(2)	Mission Correspondence Files TRD 1 General Policy TRD 4 Agriculture TRD 4-3 Grazing Permits TRD 5 Business Enterprise Development TRD 5-8 Indian Financing Act TRD 6 Credit	Cut off annually at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff.
102-02	Non-Mission Correspondence Files BFA Budget, Finance, & Accounting EDA Educational Assistance IFP Information & Public Relations ISV Indian Services OSV Office Services PER Personnel	Cut off at close of fiscal year. Destroy 2 years after cutoff.
1107-02	Timber Sale Contract Files	Permanent. Cut off at close of fiscal year in which contract is completed. Retire to FARC 5 years after cutoff, or 5 years after any litigation, whichever is later. Offer to NARS 20 years after retirement.

EXHIBIT 4. SAMPLE FILE DRAWER



FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 4. Files Maintenance Procedures

4. FILES MAINTENANCE PROCEDURES

4.1 Avoid Unnecessary Filing. Filing unnecessary papers is a waste of manpower and equipment. Following are some ways of avoiding unnecessary filing:

A. Limit the creation of formal communications for routine matters where a memo or routing slip may be substituted or a reply may be made on the incoming communication and then returned.

B. Limit the number of copies prepared to those which are specifically required or requested or which serve a valid purpose.

C. Eliminate the copies of routine communications which require no record such as:

(1) Routine requests for publications. Return the requesting letter with the material sent. An alternative is to reply by form letter. In neither case is a file copy needed.

(2) Outgoing form letters. A notation on the incoming letter showing the form letter identification number will suffice.

(3) Routine transmittals.

(4) Copies of letters furnished solely for information, unless it is known that they will be subsequently referred to.

D. Limit "extra copy" files to those offices having administrative justification for their maintenance. Originators of documents should not routinely keep a copy for their convenience.

E. Limit the quantity of technical reference documents received and file only those which will be of significant reference value.

4.2 Arranging Folders, Guides, and Labels. The orderly appearance and efficiency of any file depends upon the careful preparation, use, and arrangement of folders and guides in the file drawer or shelf. Folders are necessary to keep the papers together and in order. Guides serve as "sign posts" to help speed up the filing and finding operation. The incorrect use of either folders or guides will retard these operations. Filing supplies are described in Chapter 5.

A. General Correspondence Files. Instructions for arrangement of guide cards, folders, and labels for general correspondence files are contained in Chapter 6 of this handbook.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK

Chapter 4. Files Maintenance Procedures

B. Case Files and Other Files Series. Guide cards and folders are important for case files and other types of records, especially if the files collection is large. Guide cards reduce the area of the search and help the folders stand erect. A guide card for every two or three folders is wasteful and defeats the purpose of the guides.

Four to six guide cards in each drawer or one guide to every ten folders are two rules to follow. As a general rule, place a first position guide card in front of each record series to identify and isolate it from other series in the same drawer. Square-cut folders are recommended for all files. Carefully and uniformly prepared folder labels are important to any file series. Labels should be easy to read, precise, and complete.

(1) Label Preparation. The disposition schedule item number from Appendix 2 of this handbook is shown first since this number is the basis for the arrangement of all files. The case file label will also normally show the identifying file designation such as a name or number reflecting the arrangement pattern of the series. The year or inclusive dates, as appropriate, are included. The label is placed on the folder in one position only, usually in the first position. Samples of folder labels for case files are illustrated below.

EXHIBIT 5. SAMPLE FOLDER LABELS - CASE FILES

403-01	Griffin, Ed
Incentive Award Case File	FY 76
406-05	Candelaria, Jo Anne
Career Development File	FY 75
703-01	Minthorn, Brigham
Passenger Transportation Records	FY 74
1107-16	Okmulgee
Agency Fire Control Plan	FY 73
1107-20	Albuquerque
Annual Forestry Report	FY 69

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 4. Files Maintenance Procedures

(2) Label Color Codes. Recordkeepers should consider the use of color coded folder labels to facilitate filing and finding, prevent misfiles, and aid disposition. Color codes can be used to distinguish one file series from another, one year from another, or case working papers from case history files.

4.3 Official File Copies of Outgoing Correspondence. Use yellow tissue for official file copies of all outgoing correspondence. The color alerts recordkeepers and files users that this copy is the official one and should be given special handling.

4.4 Receiving and Preparing Papers for Filing. The following preliminary steps should be taken in preparing documents for filing:

A. Remove rubber bands, paper clips, pins, and other temporary fasteners.

B. Determine that the file is complete and all necessary enclosures or attachments are accounted for.

C. Remove all mail control forms, classified cover sheets, and routing slips except those which contain remarks of significant record value.

D. Inspect all documents to assure they have been authorized for filing. Incoming letters which did not require a reply should have the word "File," the initials of the person forwarding the communication for filing, and the date in the upper right margin. This notation is the file authority and shows that the proper official has seen the document and "certified" the need for filing it. Copies of outgoing letters should be initialed by the originator to indicate authority to file.

E. Ensure that parts of another file are not accidentally attached.

F. Mend, reinforce with transparent tape, all torn or frayed papers.

G. Place the yellow official file copy of an outgoing reply on top of the related incoming letter and any pertinent attachments and staple.

4.5 Extra Copies. File only one copy of a paper in the official file. Destroy extra copies immediately unless there is an established need. When extra copies must be retained, file them separate from the official file.

4.6 Classifying Papers for Filing. After the papers have been prepared and assembled for filing, the next step is to code or classify them.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 4, Files Maintenance Procedures

Classification segregates the papers into logical categories for ease of filing and finding.

A. Classification of Subject File Papers. Classifying subject correspondence material is more complex and distinctly different from classifying other types of papers. Chapter 6 of this handbook explains the classification of papers for subject files.

B. Classification of Case Papers. Case filing is the easiest and fastest type of filing if the case identification is prominently placed on the face of all papers to be filed. The recordkeeper can expect difficulties and filing errors if papers have to be read with great care just to determine whether they belong in a case file series or another type of file. Time required for reading and marking file material can be greatly reduced if the case file name or number appears on the papers.

(1) Preparation of Case File Correspondence. Employees who prepare correspondence should place the case identification in the "In Reply Refer to," "File Reference," or similar caption printed on the letter, or in the subject line of the letter. Underline or circle the case identification if it appears in the body of the letter. If these practices are not always possible or acceptable, typists should type the case identification in the lower right corner of file copies.

(2) Filing of Case Papers. Use the identifying name or number for classifying and coding case filed documents. In most instances, this identification is somewhere on the paper and need only be underlined or circled. If the case identification is not shown on the paper, determine the proper classification and write the appropriate file code in the upper right corner.

C. Classification of Temporary Papers. Use an abbreviation symbol such as "T" for papers to be filed in the "Transitory" file and "S" for suspense files to classify these papers. Often, green tissue is designated for reading or chronological file copies so they can easily be identified.

4.7 Cross References. A cross reference is a means of referring to a document by a file identification other than that under which it is filed. If a document being classified involves more than one subject or case transaction and there is a possibility it might be asked for by either, a cross reference should be prepared as a finding aid.

A. Preparation.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 4. Files Maintenance Procedures

(1) Select the file designation for the additional subject or case and write it directly below the file designation for the main subject or case. Mark an "X" by this file designation to show that a cross reference is required. For example:

OPM 9 Indicates the location of this copy in the file.

X PWM 5 Indicates that a subject cross reference is to be made for this subject.

(2) Use the Cross Reference Form, Optional Form 21, for preparing cross references of records maintained in all types of files (see Exhibit 6). If extra copies of the paper are available or if "quick" copies can be conveniently made, they may be used instead of the cross reference form.

B. Avoid Unnecessary Cross References. Avoid making and filing unnecessary cross reference forms, as they take up valuable space and time.

C. Cross Referencing Relocated Material. A cross reference is also used to indicate that a record has been moved from one place in the file to another, such as bringing forward a piece of correspondence from a cutoff or closed file for attaching to a document in the current file. The cross reference form may be used for this purpose.

4.8 Placing Materials in File Folders. Verify the item being filed. Match the file designation of each file item with the designation on the folder label before placing it in the folder. This simple practice can greatly reduce misfiles.

The material should be filed in the appropriate folder with the top of the sheet toward the left of the file drawer as the reader faces it. In this manner, all filed documents can be easily read.

4.9 Filing Loose vs. Fastening. In a loose file, staple together directly related papers concerning the same transaction. In a fastened file, arrange units of file material in chronological order with the most recent date on top. Following are guidelines for fastening papers or filing loose:

A. Fasten papers in:

(1) Large case files which receive extensive use and have a long life; or

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK

Chapter 4. Files Maintenance Procedures

- (2) Any other vital file when the entire folder is charged out.

B. File papers loose in:

(1) Subject and other files when individual papers rather than entire folders are charged out;

(2) Small, routine case files; or

(3) Larger case files with low reference or short life.

4.10 Filing Confidential Records. The same general filing guidelines used for nonconfidential records are used in filing confidential or proprietary materials. However, the following safeguards apply:

A. File confidential records separately in equipment affording necessary security.

B. Place a cross reference form in the nonconfidential file folder of the subject or case to indicate that the confidential material is filed in security equipment. The cross reference form will not reveal the content of the confidential material. If an entire folder is kept in security equipment, use a chargeout card to show the location.

4.11 Finding Papers in the Files. The following steps illustrate how to find papers:

A. Obtain, if possible, sufficient information to identify the file; that is, the file designation such as name, file number or subject, and the date.

B. If given the name, title, or number of a case file, go directly to that case file.

C. If given the subject of the file, go directly to that subject. If uncertain of the exact subject, consult the files plan for the proper subject designation.

D. If the material cannot be located in the files and is of recent date, check the unfiled material on the file custodian's desk.

4.12 Charging Material from the Files. When records are removed from the file and forwarded to an individual or office, a record of such loan should be made. Proper and consistent use of a file chargeout record will eliminate much wasted effort in searching for documents.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 4. Files Maintenance Procedures

A file chargeout record should be filled out and put in the folder or file drawer or shelf in place of the withdrawn material (see Exhibit 7). Optional Form 23 is available for drawer files, and Optional Form 24 (letter size) or Optional Form 25 (legal size) for shelf files. Place the file chargeout record at the exact location of the withdrawn material with the "OUT" portion clearly visible.

The file custodian should review the file chargeout record forms periodically and request the return of files that have been charged out for a long period of time. When the material is returned to the file, remove the chargeout card and draw a line through the entry indicating the charge.

4.13 Maintaining the Files. Neatness and orderliness are essential to filing efficiency. The following instructions will assist in maintaining this efficiency.

A. Identify File Drawers or Shelf File Doors. Label file drawers/doors to indicate what files, subject, or names are filed in them. Indicate the year, if appropriate. The disposition schedule item number(s) may also be placed on the drawer label.

B. Prevent Overcrowding the Files. Allow at least four inches of space in each active file drawer to permit sufficient working space.

C. Keep Papers Straight. When placing material in file folders, do not let the papers extend beyond the edges of the folders. Crease or fold papers when necessary.

D. Avoid Overloading File Folders. When the contents of the folder increase to the point that papers begin to obscure folder labels, crease the bottom of the folder leaves at the second expansion lines to increase the capacity of the folder. When the folder content reaches 3/4 inches, either:

(1) Add a new folder bearing the same file designation in front of the full folder and show inclusive dates on the folders; or

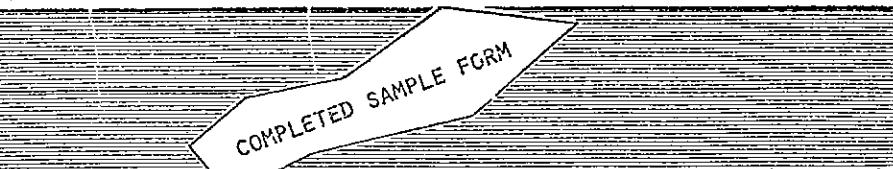
(2) Subdivide the contents of the folder, if practical, by adding new file designations.

E. Avoid Cluttering the Files. Bulky material should be filed in equipment suitable to its size and not mixed with standard size documents. This material can be cross referenced so that it can be readily identified with the related papers in the regular files.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK

Chapter 4. Files Maintenance Procedures

EXHIBIT 6. SAMPLE CROSS-REFERENCE

CROSS-REFERENCE (Name, number, or subject under which this form is filed)		
		OPM 9
IDENTIFICATION OF RECORD	DATE	8-7-XX
	TO	E. Green
	FROM	C. Hutzell
	BRIEF SUMMARY OF CONTENTS	Comments about a proposed management improvement project involving directives management.
FILED (Name, number, or subject under which the document itself is filed)	PWM 5	
<p>INSTRUCTIONS FOR USING CROSS-REFERENCE SHEETS</p> <p>Prepare Cross-Reference sheets when (1) a document contains more than one name, number or subject under which it should be filed, and (2) sufficient copies of the record itself are NOT available for this purpose.</p> <p>SINGLE CROSS-REFERENCE - Select first sheet from pad, enter cross-reference caption in open space opposite \Rightarrow.</p> <p>TWO CROSS-REFERENCES - Select first two sheets from pad, enter first caption in open space opposite \Rightarrow, enter second caption in a shaded space that matches the open space on the second sheet.</p> <p>THREE CROSS-REFERENCES - Select first three sheets from pad, enter captions in all three spaces provided.</p> <p>SPECIAL USE OF CROSS-REFERENCE SHEETS</p> <p>A single Cross-Reference sheet can be used as a Continuity Reference when correspondence is removed from a cutoff file and brought forward and attached to correspondence in a current file.</p> <ol style="list-style-type: none"> 1. Use the "Cross-Reference" space to enter the subject from which the document was removed. 2. Identify the document as illustrated above. 3. Use the "Filed" space to describe the letter to which this document is being brought forward, including the subject and date. Also show the "To" and "From" of the latest letter if it is different from the letter being brought forward. 		
<small>Optional Form 21 FEB. 1962 GSA Circular 259</small>		CROSS-REFERENCE

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK

Chapter 4. Files Maintenance Procedures

EXHIBIT 7. FILE CHARGEOUT RECORD

(Printed Same on Both Sides)

OUT		
IDENTIFICATION OF RECORD (NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT)	CHARGED TO (PERSON & OFFICE)	DATE CHARGED OUT
CHARGEOUT RECORD		
NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT	CHARGED TO (PERSON & OFFICE)	DATE CHARGED OUT
OUT		

5. FILING EQUIPMENT AND SUPPLIES

5.1 Standardization.

A. Advantages. Standard equipment and supplies promote efficient and simplified file operations and have these advantages: interchangeability; lower cost through quantity purchasing; simplified stocking; and uniform appearance.

B. Use and Replacement of Existing Equipment. Do not replace equipment and supplies on hand because they fail to meet established standards. Use existing stocks until depleted. When stocks require replacement, obtain the recommended standard items. Filing supplies and equipment should be the most economical possible to meet requirements. National Stock Numbers (NSN) are shown for most standard supplies and equipment. These items are available from the GSA Stock Catalog.

5.2 File Folders.

A. Kraft folders will meet the majority of filing requirements since most records are current for a relatively short time before they are retired or destroyed. The standard kraft folder will be 11 point, flat type, bottom scored for 3/4 inch expansion, reinforced self tab, and square cut.

(1) Drawer Files.

- (a) Letter Size: NSN 7530-00-663-0031, 9 $\frac{1}{2}$ " x 11-3/4".
- (b) Legal Size: NSN 7530-00-200-4308, 9 $\frac{1}{2}$ " x 14-3/4".
- (c) Letter Size with Built-in 2 $\frac{1}{2}$ " Prong Fastener: NSN 7530-00-889-3555, 9 $\frac{1}{2}$ " x 11-3/4".
- (d) Legal Size with Built-in 2 $\frac{1}{2}$ " Prong Fastener: NSN 7530-00-559-4512, 9 $\frac{1}{2}$ " x 14-3/4".

(2) Shelf Files.

- (a) Letter Size: NSN 7530-00-881-2957, 9 $\frac{1}{2}$ " x 11-3/4".
- (b) Legal Size: NSN 7530-00-926-8975, 9 $\frac{1}{2}$ " x 14-3/4".
- (c) Letter Size with Built-in 2 $\frac{1}{2}$ " Prong Fastener: NSN 7530-00-926-8974.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOKChapter 5. Filing Equipment and Supplies

(d) Legal Size with Built-in 2½" Prong Fastener: NSN
7530-00-926-8976.

B. Pressboard folders are authorized for case and project files when the kraft folders will not withstand the added volume and/or use. Prepare folders only as they are needed. The standard pressboard folders are flat-cut, one-inch expansion, with self-tabs, 2½" prong fasteners, and square cut:

(1) Drawer Files.

(a) Letter Size: NSN 7530-00-926-8981, 9½" x 11-3/4".

(b) Legal Size: NSN 7530-00-926-8982, 9½" x 14-3/4".

(2) Shelf Files.

(a) Letter Size: NSN 7530-00-926-8983, 9½" x 11-3/4".

(b) Legal Size: NSN 7530-00-926-8984, 9½" x 14-3/4".

5.3 Folder Labels. Use folder labels to place captions on the folder tab in a neat, uniform, and legible manner. Pressure-sensitive folder labels which do not require moistening are recommended. They are packed in a continuous strip (roll or fan-folded) with 248 in a box. They may be fed directly into a typewriter or run on electric accounting or addressing equipment. Labels are 3½" x ½", available in plain white or with a 3/32" wide identification strip in various colors. NSN 7530-00-577-4368 through NSN 7530-00-577-4376, depending on color.

5.4 Guide Cards. File guides make files more usable. In addition to indexing files such as correspondence files, guides serve to support the folders. Recommended guide cards are:

A. Drawer Files. Pressboard, one-third cut, angular metal tab, without lower projection, all positions.

(1) Letter Size: NSN 7530-00-989-0692.

(2) Legal Size: NSN 7530-00-989-0694.

B. Shelf Files. Pressboard, one-third cut, center position, with straight black steel tabs and metal shelf hooks on opposite edge.

(1) Letter Size: NSN 7530-00-989-0184.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 5. Filing Equipment and Supplies

(2) Legal Size: NSN 7530-00-989-2425.

5.5 Forms. The following prescribed forms will be used.

- A. File Chargeout Record: Optional Form 24 (letter size) or Optional Form 25 (legal size).
- B. Files Maintenance and Disposition Plan, BIA Form 5-1526.
- C. Cross Reference, Optional Form 21 (Continuity Reference, Optional Form 22, may also be used).
- D. Request for Change in BIA Records Schedule, BIA Form 5-1506.
- E. Annual Summary of Records Holdings, BIA Form 5-1510.
- F. Summary Worksheet for Annual Records Report, BIA Form 5-1511.
- G. Records Disposition Reminder, BIA Form 5-1508.
- H. Records Transmittal and Receipt, SF 135 and SF 135a.

5.6 Standard Filing Cabinets. File equipment should be standardized to accommodate the type of documents most often filed at the file station. Use letter-size cabinets for records up to 8½" x 11". If less than 20% of the papers to be filed are legal size, fold the larger papers and file the entire collection in letter-size cabinets. When more than 20% consist of legal-size records, use legal filing cabinets. Recommended filing cabinets are steel, upright, 5-drawer, 1 drawer wide, 57½" high, and 38" deep.

5.7 Shelf Filing Equipment and Supplies. Standard shelf filing cabinets are more appropriate than filing cabinets for filing certain material. Shelf filing is most adaptable to records that are alphabetically or numerically arranged such as case or project files. Consider shelf filing when records total 200 linear feet or more and the file station is in a relatively permanent location; when the purchase of new filing equipment is contemplated; and when only a limited amount of required additional filing space is available.

5.8 Powered or Other Mechanized Filing Equipment. The following factors should be considered when planning the use of mechanized filing equipment:

- A. The system for which the equipment is intended is well established and not likely to undergo changes which would eliminate the need for the equipment.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 5. Filing Equipment and Supplies

B. The site where the records are to be maintained is suitable. Because of the weight of the equipment, it may be necessary to reinforce floors or even prohibit its use in some buildings. Insure that adequate electrical current is available to safely operate the equipment.

C. The proposed equipment will house a large concentration of records that need to be accessible to one individual at a time. If several persons need to reference the file at the same time, the mechanized equipment is not practical and cannot be justified.

D. The filing station is in a relatively permanent filing location.

E. Adequate maintenance and repair facilities are available.

F. There is specific evidence that the total savings to be realized in terms of manpower and space savings and increased workload capability exceed the difference between the cost of standard equipment and the cost of mechanized equipment when prorated over a three-year period.

5.9 Sorting Devices. When the volume of paper is small, desk trays, a table, or desk top can be used for sorting. However, a simple sorting device is recommended for most sorting operations. It has a series of dividers, three or four inches wide, each hinged to a flat base. Tabs can be labeled and inserted as required. A 24-division sorter will generally meet the sorting requirements of a small file station. Sorting equipment containing horizontal or vertical dividers is also available.

5.10 Requests for Filing Supplies and Equipment.

A. Standard Supplies and Equipment. Requests for standard filing supplies will be made through normal supply channels. Requests for standard filing equipment will also be submitted through normal supply channels except that preliminary review and approval is also required by a records management officer. Field offices should submit requests to the appropriate Area RMO. Central Offices should submit requests to the RMO located in Washington, D.C., or the RMO in Albuquerque, N.M.

B. Nonstandard Supplies and Equipment. Requests for specialized filing and records equipment will be accompanied by a complete justification for need and use, including savings or benefits that may result. Such requests must have prior approval of a records management officer before a procurement action is begun. Field offices submit justifications to the Area RMO. Central offices submit their justifications to the RMO located at either Washington, D.C., or Albuquerque, N.M.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 6. Subject File Classification System

6. SUBJECT FILE CLASSIFICATION SYSTEM

6.1 Purpose and Applicability. The subjective arrangement of general correspondence and related reports, completed forms, and other papers has been standardized throughout the BIA. This standardized arrangement is known as the Subject File Classification System. It provides a uniform system for organizing the small but important collection of files that do not lend themselves to arrangement by a name or number. The system is designed to arrange and group general correspondence and similar papers by the function to which their subject relates. It is prescribed for use by all official file stations that maintain general correspondence files.

6.2 Distinction between Subject Correspondence and Other File Groups. Recordkeepers should be fully aware of the type of material placed in a subject correspondence file. A letter regarding a specific project or purchase transaction is not considered to be general correspondence; papers of this type are placed in a case file documenting the specific transaction. A letter regarding projects in general or a letter concerning the processing of purchase orders in general is considered to be subject correspondence material and is filed in the general correspondence file. The ability to distinguish between subject correspondence and case files or other records is vital to any good files operation.

6.3 Type of System. The File Classification System is a subject-numeric type. The system consists of selected main (primary) subject titles with related subjects grouped in outline form as subdivisions. These subdivisions are known as secondary (second-level) subjects and tertiary (third-level) subjects. Exhibit 8 illustrates the system.

EXHIBIT 8. ILLUSTRATION OF SUBJECT FILE CLASSIFICATION SYSTEM

OSV - OFFICE SERVICES		Primary Subject
1	General Policy, Plans, Coordination	Secondary Subjects
2	General Reports and Statistics	
3	Laws - Regulations	
4	Buildings and Grounds	
4-1	Acquisitions	Tertiary Subjects
4-2	Protection and Security	
4-3	Space Assignment, & Utilization	
4-4	Utilities, Maintenance, Improvements	

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 6. Subject File Classification System

6.4 Master Outline. All primary subjects and their related subdivisions are contained in Appendix 1 of this handbook. This complete list of subjects is referred to as the Master Outline.

6.5 Subject File Codes. The coding scheme used in the Subject File Classification System is called a subject-numeric code. The primary titles are given a short abbreviation which suggests the subject. Simple serial numbers have been assigned to subject breakdowns at both the secondary and tertiary levels. An example of files codes under this system follows:

Primary Subject:	OSV	(Office Services)
Secondary Subject:	OSV 4	(Buildings and Grounds)
Tertiary Subject:	OSV 4-2	(Protection and Security)

6.6 Functional System. The Subject File Classification System is a functional system. The primary subject represents functions of the BIA that are performed separately or are recognized as separate breakdowns of a function.

Generally, a primary subject and its related subdivisions will be used almost entirely by the office of primary interest, that is, the office responsible for the function the subject identifies. However, no primary subject has been prepared for the exclusive use of any one office. Any of the subject outlines may be used as required by an activity or office.

6.7 Segregation of "Mission" and "Non-Mission" Papers. The responsibility for documentation of a work function rests primarily with the office performing that function. The Subject File Classification System requires the segregation of "mission" papers from "non-mission" papers. Mission papers document the functions and responsibilities for which the office is primarily responsible. Non-mission papers consist of the administrative records that are accumulated in any office but which are not directly related to its mission. Non-mission papers include copies of papers relating to programs or projects for which another office has direct responsibility. They may also consist of records regarding the routing internal administrative or housekeeping functions of the office. The mission and non-mission categories of subject files should be maintained as separate groups. Each group is identified as a separate item in the records control schedules (Appendix 2). Folder labels should reflect which schedule item is appropriate.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 6. Subject File Classification System

A. Mission Files. General correspondence and other subject file papers directly related to the mission of your office should be filed according to the appropriate primary subject or its related subdivision. The retention period for the mission correspondence files depends upon the type of mission (program or administrative) and the organizational level of the office creating the files. Refer to item 102-01 in Appendix 2 of the handbook to determine the exact schedule item number and disposition instructions for mission correspondence files in your office.

B. Non-Mission Files. All other subject file material should be arranged according to the Subject File Classification System in the non-mission category. The non-mission files are covered by item 102-02 in the records control schedules.

6.8 Establishing the Subject Files. File custodians at each official file station will select the primary subjects from the files outlines in Appendix 1 which will best meet the needs of the office(s).

A. Mission Subjects. Normally, one primary subject is selected which reflects the principal function or activity of each office served by the official file station. Thus, records documenting official action taken in performing the mission of the organization will be grouped under one primary subject. For some organizations, it may be necessary to select two or more primary subjects to adequately provide for records reflecting their mission.

B. Non-Mission Subjects. Other primary subjects are selected as necessary to provide for papers which, while they do not reflect the mission or function of the office(s) served by the file station, do relate to or facilitate the basic functions of the office(s).

6.9 Selection of Sub-Topics. Do not prepare a folder for every topic in the subject outlines for selected primaries. The system is designed to cover a subject in depth only when detailed breakdowns are necessary. Many file stations will not need much depth except in the subject area(s) which covers the functional responsibilities of the office(s) served by that station. Often the primary subject topics alone will be sufficient to file all papers on a subject for which another file station is responsible. Avoid setting up folders that will contain only one or two papers. A topic is not usually selected unless there will be five to ten papers filed under it during the year. The ideal average is about 25 papers per folder.

6.10 Further Subdivisions and Addition of Topics. A bulky folder is a signal that the file needs to be broken down further or a new topic added.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 6. Subject File Classification System

In many instances, recordkeepers may need to subdivide a topic alphabetically by name, geographic location, or other appropriate breakdown. Recordkeepers may also create new sub-topics at the secondary and tertiary levels if necessary. Explanatory notes provided in the subject outlines frequently offer subject topics that could be used if finer breakdowns are required.

Add new subjects (topics) only when experience indicates reference rate and volume of documents warrant a separate subdivision. The need to add topics usually occurs whenever a subject area coincides with a major function or program responsibility of the office. Make the new subject title as short and clear as possible. Be certain to insert a new topic at the proper level so that it represents subject coverage parallel to other topics at that level.

6.11 Preparation of Files Outline. After selecting appropriate primary subjects and subordinate topics, each official file station will prepare a subject file outline as part of the Files Maintenance and Disposition Plan. Procedures for preparing the plan are contained in Chapter 3 of this handbook. Also see Exhibit 3 for an example.

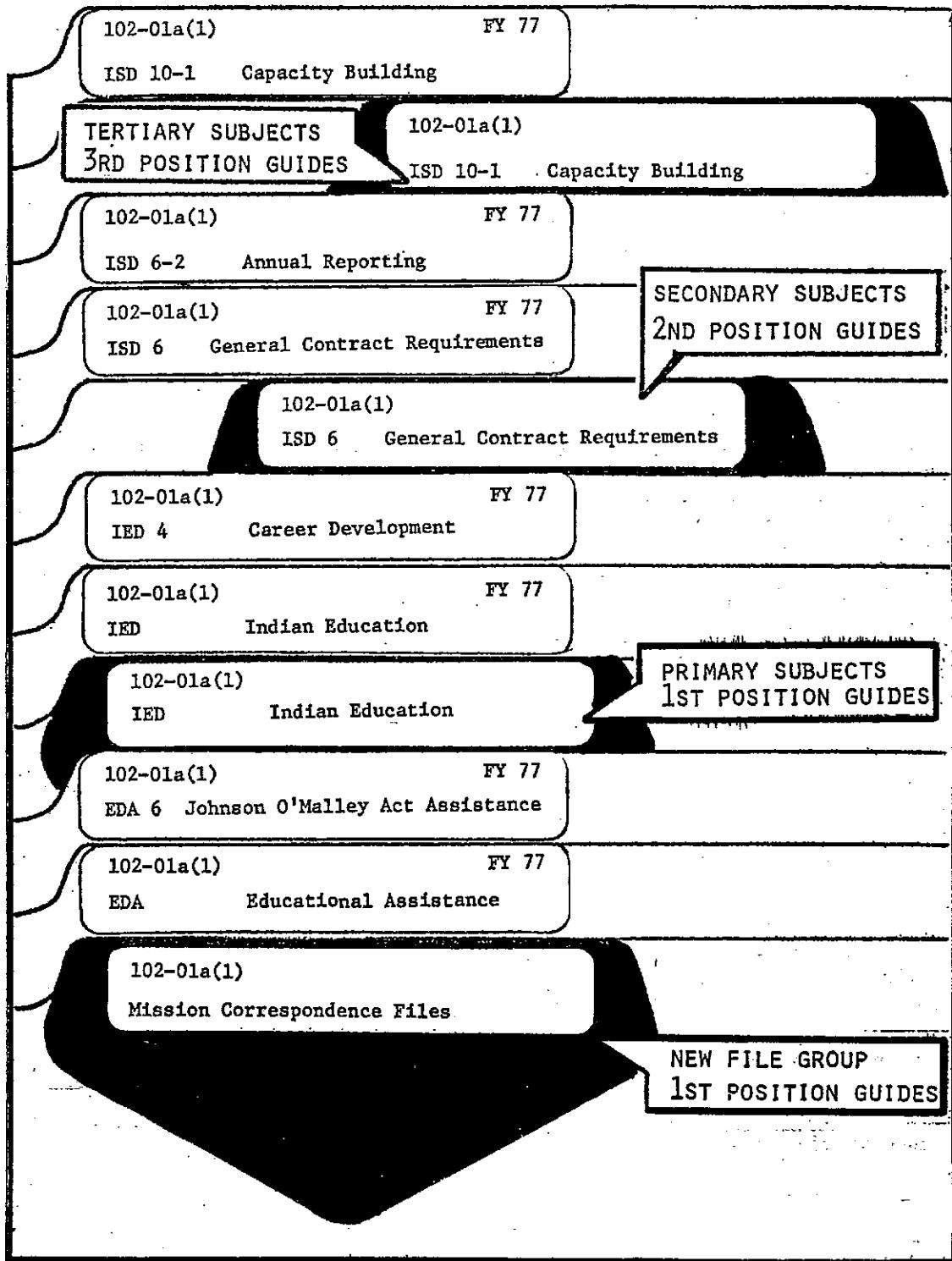
6.12 Arranging the Subject Files. The following instructions apply specifically to files maintained in drawer-type filing equipment. These same basic principals of arrangement, however, may also be adapted to meet the needs of shelf files and mechanized filing equipment.

A. Folders and Guides. Folders and guides should be arranged as illustrated in Exhibit 9. Place folders and guides in the file drawer in the exact sequence in which subjects appear in the office file outline, starting from the front of the drawer, with the guides preceding the related folders. The sequence of the drawers should be from top to bottom of the cabinets. Use the first position of one-third cut guide cards for primary subjects, second position for secondary subjects, and third position for tertiary subjects. Guide labels should show the full file code number and title of the topic for the first folder behind the guide.

B. Folder Labels. Labels through the tertiary level should be typed and placed in one position only, one-half inch from the left side of the square-cut folder tab. This arrangement improves the appearance and speeds filing operations. The eye can locate desired folders much faster if the labels are in a straight row rather than zigzagged across the file drawer. Folder labels for the subject files will include the applicable disposition schedule item number (Appendix 2, Part 1, Section

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 6. Subject File Classification System

EXHIBIT 9. ARRANGEMENT OF SUBJECT FILE FOLDERS,
GUIDES, AND LABELS



FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 6. Subject File Classification System

2), the file code symbol, the title of the particular subject material in the folder, and the fiscal year. Exhibit 10 illustrates examples.

EXHIBIT 10. SAMPLE FOLDER LABELS - SUBJECT FILES

102-01a(1)	FY XX	Primary
TRD	Tribal Resources Development	
102-01a(1)	FY XX	
TRD 4	Agriculture	Secondary
102-01a(1)	FY XX	
TRD 4-6	Range Management	
102-01a(1)	FY XX	Tertiary
TRD 4-6	Range Management	
102-01a(1)	FY XX	

6.13 Classifying Subject File Papers. Classifying subject correspondence material is more complex and distinctly different from classifying other types of papers. Papers must be read and analyzed, then classified on the basis of their informational content. How quickly a particular document can be located after it has been filed depends largely on how carefully it has been classified before filing. The basic steps in classifying subject material are as follows:

A. Read and analyze the document to determine its major subject. The subject line appearing above the body of the correspondence is often helpful in classifying but should not be relied upon too heavily. It may be vague, misleading, or even remote from the real subject of the correspondence concerned.

B. Select the proper file designation from the office subject file outline portion of the Files Maintenance and Disposition Plan (BIA Form 5-1526). First, select the appropriate primary subject category and then the correct subdivision of the primary subject, if any. If no subdivision has been provided, use the primary subject itself as the file designation. When sufficient volume of paper accumulates on a subdivision which was not originally selected as a subject topic, add the new topic to the file outline and create a folder to accommodate these papers.

C. Write the subject-numeric file code in the upper right hand corner of the file copy.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 6. Subject File Classification System

D. Lightly underscore the reference when papers refer to previous papers already on file. This will emphasize that there are previous papers involved. Earlier material should be consolidated with later correspondence on the same subject.

6.14 Techniques in Classifying.

A. The knack of noticing essential key phrases and ideas in correspondence helps one to select the correct file designation. The subject matter is sometimes difficult to determine. In such instances, it is helpful to consider the correspondence in this light: "Why was it written?" Usually the purpose for writing suggests the subject under which it should be filed.

B. It is helpful at times to refer to previous correspondence already on file to verify a tentatively selected file designation.

C. Be consistent. This is the first rule of classifying. Consistency will assure that papers currently being classified will be filed with the previous papers with which they belong.

D. In unusual cases the subject of correspondence is so extremely vague that it is impossible to determine the proper file designation from the letter itself. In such cases the classifier should contact someone more familiar with the material for more information.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 7. Records Disposition Policy and Procedures

7. RECORDS DISPOSITION POLICY AND PROCEDURES

7.1 Objectives. Three important objectives of a records disposition program are to:

A. Preserve records of continuing value.

B. Destroy records of temporary value as soon as they have served the purpose for which they were created.

C. Remove noncurrent records from office space and filing equipment to less expensive storage facilities, thereby improving use of files and reducing maintenance costs.

7.2 Goals. A 10% annual disposition rate is prescribed for the Bureau by the Department. In addition to the prescribed 10% minimum disposition rate, the Bureau is also expected to effect a net reduction in the volume of records holdings.

7.3 Disposition Explained. Disposition includes the retirement, transfer, or destruction of records.

A. Retirement. Records are considered "retired" when they are sent to a designated FARC for storage, servicing, and ultimate destruction or retention.

B. Transfer. Disposition includes the transfer or a change of custody of records from one organization or agency to another. Records are considered "retired" when they are transferred to a FARC. Transfer of records to another agency must be approved by the BIA Records Management Officer.

C. Destruction. The destruction of records includes the physical destruction of the record material itself or the removal of the informational content. Records authorized for destruction by Appendix 2 of this handbook will be:

(1) Placed in wastebaskets when the quantity is small and the records are nonconfidential. Consider selling as waste paper any large quantities of records eligible for destruction.

(2) Destroyed by shredding, pulping, burning, or macerating if this action is necessary to avoid disclosure of information that might be prejudicial to the agency, public, or private interest.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 7. Records Disposition Policy and Procedures

(3) Erased and reused if appropriate when the record consists of magnetic tape or comparable media.

7.4 Records Maintenance and Storage. Bureau records are held in offices of primary interest as long as they are required for active administrative purposes. As records become inactive, disposable material is removed and records requiring extended retention are transferred to the GSA Federal Archives and Records Center. Inactive records shall not be held in so-called staging, holding, or other storage areas without approval of the Central Office Division of Management Research and Evaluation.

7.5 Special Disposition Requirements.

A. BIA Records Dated from 1800 - 1952. Most Bureau field records dated from 1800 - 1952 have been accessioned from the Bureau by the National Archives and Records Service. Any inactive Bureau records for this period found in Area Office, agency, school, or other office storage must be sent to the appropriate Federal Archives and Records Center for storage and preservation at the time they are found. Prompt reference service is available at each Federal Archives and Records Center.

B. Policy on Storage of Tribal Records. In some instances, tribal records (records owned by the tribe) may be housed by the Bureau for convenience and safekeeping. If tribal records are stored or housed by the Bureau some form of written agreement between the Bureau and the tribe is suggested to cover convenience, safekeeping, and storage arrangements. Such records are not Bureau records. Statutes that govern the handling of Government agency records are not applicable.

Federal Archives and Records Centers are generally interested in obtaining inactive tribal records for storage and preservation if offered by a tribe. Bureau offices may assist tribes desiring to have their records sent to a FARC. Shipping and storage arrangements involving tribal records should be worked out and agreed upon between the tribe and the FARC prior to actual shipment of records.

C. GAO Site Audit Records. When these records are transferred, they should be identified as GAO site audit records on the SF 135. The records control schedules, Appendix 2, identify GAO site audit records with the following disposal instruction: "Cut off at close of the fiscal year. Hold 1 year and retire to the FARC. (FARC will destroy according to GAO instructions.)"

D. Records of Closed or Consolidated Offices. Records in an office about to be closed or consolidated with another office or about to undergo

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 7. Records Disposition Policy and Procedures

a major change in mission (for example, from school to Agency), are to be processed and transferred according to the following procedures.

(1) Responsibilities. In field locations, the Records Management Officer for the area in which the office concerned is located is responsible for developing a plan for disposition of the records and for obtaining approval of the plan by the BIA Records Officer before action is taken. In the Central Office, records liaison officers are responsible for developing a disposition plan and obtaining approval for it.

(2) Authorized Destruction. Prior to the changeover or closing of the office, the records are to be examined; and those on which the authorized retention period has elapsed should be destroyed.

(3) Transfer. After disposal of records so authorized, an inventory of the remaining records is prepared, showing the volume of each classification or group. If files are to be consigned to more than one destination (portions to a Federal Archives and Records Center, another BIA office or school, and the Area Office, for example), a separate inventory is made for each group. Records should be prepared for shipment so that they will reach their destination in regular order. Each box and package should be numbered according to its place in the series. Records transferred to another BIA office are to be stored at the receiving office in correct filing order and safeguarded to insure preservation and ease of access.

(4) Records Liaison Officers for Central Office organizations are responsible for accomplishing the activities outlined in paragraphs 7.5D(1), (2), and (3) above.

E. Transfers to Other Federal Agencies. Records may be transferred from one executive agency to another. However, permission must first be granted by the National Archives and Records Service except as follows:

-- When records are transferred to the National Archives or to a Federal Archives and Records Center,

-- When the transfer of records or functions or both is required by statute, Executive Order, or by specific determinations made thereunder, or

-- When the records are loaned to another Federal agency for official use, as explained in paragraph 7.5F below.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 7. Records Disposition Policy and Procedures

A complete review is required of all records to be transferred. Only those records necessary to perform the function and no more are to be transferred. Special care is to be taken regarding records of the confidential affairs of Indians. A complete inventory of all records intended for transfer must be prepared to accompany the request for transfer.

F. Loans to other Federal Agencies. Bureau records may be loaned when necessary to other Federal agencies only as a last resort. However, if it is impracticable to furnish copies of Bureau records and it becomes necessary to loan the documents, the records must be transmitted by a letter stating the conditions and prohibitions imposed upon the borrower. A copy of the letter, which will be received and returned, must also be enclosed. The letter will include a description of the loaned documents in detail, and an acknowledgment of accountability for the records and of responsibility for their timely return to designated locations. Privacy Act requirements apply to Bureau records in custody of other agencies. Provisions for compliance must be included in any loan arrangement.

G. Donations for Preservation and Use. Nonrecord material and temporary records in Bureau custody for which the retention period has expired may be donated by Bureau offices only as follows:

Subject to prior approval by the Central Office Division of Management Research and Evaluation, Bureau offices may transfer files authorized for disposal to an eligible government (including a foreign government), organization, institution, corporation, or person that has made application for them, provided:

- (1) The public interest will be served.
- (2) The applicant agrees not to sell the records as records or documents.
- (3) The transfer is made without cost to the U.S. Government.
- (4) No transfer shall be approved if the records contain information the revelation of which is prohibited by law or would be contrary to the public interest.
- (5) No transfer to a foreign government shall be approved unless such government has an official interest in the records.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 7. Records Disposition Policy and Procedures

(6) No transfer to a person or commercial business shall be approved unless the records are directly pertinent to the custody or operation of properties acquired from the Government.

Any donation of records under this authority must be reported to GSA National Archives and Records Service by the Central Office Division of Management Research and Evaluation. The report shall contain:

- The name and location of the Bureau office concerned,
- The name and address of the recipient of the records, and
- A list of the records containing: (1) An identification by series of the records transferred, (2) the inclusive dates of each series, and (3) the National Archives and Records Service job and item numbers of the disposal authorizations as indicated on Standard Form 115, Request for Authority to Dispose of Records, or other disposal authority.

H. Policy on Transfers to Non-Federal Organizations. Records for which the retention period has not expired may not be transferred to a non-Federal organization. Grantees and contractors or recipients of grants resulting from legislation such as the Indian Self-Determination and Education Assistance Act are non-Federal organizations and individuals. Such recipients, consequently, are not eligible to receive Federal records under the provisions of 44 U.S.C. 2908 and 41 CFR 101-11.409. No statute, however, prohibits the Bureau either from reproducing copies of non-restricted originals for the use of the recipients, or from permitting recipients to view nonrestricted records in BIA offices.

Where a large volume of records are needed and copying is not practical or feasible, the records may be physically located at the contract site provided that a Bureau official is designated by the Commissioner or Area Director as custodian of the records.

8. DISPOSITION SCHEDULES

8.1 Disposition Authority. Federal law requires proper authorization by the General Services Administration through the Archivist of the United States to destroy Government records. Authorization for the destruction of BIA records is contained in the records control schedules (Appendix 2). The schedules provide for the selective retention of records of continuing value and the destruction of records of temporary value after the expiration of a specified period of time or upon the occurrence of a specific event. The retirement procedures in Chapter 10 of this handbook provide instructions for moving inactive and semiactive records from office space to low cost storage facilities.

A. Official records will NOT be destroyed except according to the provisions of the disposal schedules in Appendix 2.

B. Nonrecord material may be destroyed when its purpose is served. To control the accumulation of nonrecord material, disposal schedule items identifying specific kinds of such material are included in Section 101 of Appendix 2. These schedules establish the maximum retention period for different types of nonrecord material.

8.2 Arrangement of Disposition Schedules. The records control schedules contained in Appendix 2 consist of individual schedule items arranged as follows:

A. Part 1 of the schedules contains items for records common to most offices, such as nonrecord material and administrative and program correspondence files. This chapter will be used by all offices.

B. Parts 2 through 14 contain schedule items arranged according to primary functions of BIA. An item is contained in a chapter according to the function to which the file relates and not according to the organization which creates or maintains the file.

8.3 Numbering. The numbers assigned to individual items in the records control schedules serve both as an identification of the file series and as an abbreviation of the disposition authority. All file series relating to the same functional area are grouped together. The specific schedule item number is derived from the internal arrangement and the sequence in which the items appear. For example, schedule item number 703-18, which describes Paid Voucher Files, is derived as follows:

Functional Area - Paid Voucher Files
Series - Paid Voucher Files
Subseries - Paid Voucher Files
Item Number - 703-18

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 8: Disposition Schedules

Schedule Item Number

7

03

18

Part _____

Section _____

File Description Item _____

In the above example, the first number (7) represents Part 7, which describes the records created in the major functional area of financial management. The second number (03) represents Section 3 of Part 7, which describes records created in the accounting and disbursement activity within financial management. The third number (18) following the hyphen represents the schedule item number, which specifically describes files accumulated in paying invoices.

8.4 File Location Identification. The records control schedules in Appendix 2 include a column which identifies the various Bureau offices that would normally maintain the category of files described in each schedule. The following entries could appear in this column:

- A. C.O. (Central Offices)
- B. Area (Area Offices)
- C. Agency (Agency Offices)
- D. FIDO (Field Industrial Development Offices)
- E. FEAO (Field Employment Assistance Offices)
- F. Project (Irrigation Project Offices)
- G. School (Indian School)
- H. TiPl (Title Plant)
- I. Diff. (Different levels throughout BIA could have responsibility for maintaining these files.)
- J. All (All offices may have the need for these files.)

As a general rule, the schedules will identify in the "description" column which office maintains the official file or record copies. In some cases, a specific disposition instruction for each office level will appear in the schedule.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 8. Disposition Schedules

8.5 Application for Review of Schedules. Each office is responsible for insuring compliance with the provisions of records disposition schedules and ascertaining that all records of the organization are covered by appropriate disposal instructions. Each office will review its files at least annually to determine whether the applicable schedules are adequate and being followed.

A. Recommendations to add, delete, or change records disposition schedules will be made when annual reviews disclose:

(1) Records series not covered by the schedules.

(2) Items that should be deleted from the schedules because the records involved are no longer being created or maintained.

(3) Retention period which needs to be changed. Changes should be recommended only when the need is clearly indicated and justified.

B. Proposed records disposition schedule revisions are initiated by the individual responsible for the records series. Assistance may be required from the records liaison officer.

C. Form 5-1506, Request for Change in BIA Records Schedule, is prepared to bring together all pertinent information necessary to describe and evaluate the records and to show the remarks and signatures of concurring and reviewing officials (Exhibit 11).

(1) A separate request form is prepared for each item to be changed or added.

(2) Part A of the form is completed when a change in an existing BIA schedule item is requested. Justification for the change is given in block 2, following "Specify:".

(3) Part B of the form is completed when a new item is requested for records not covered in the existing schedule. Section 2.1 explains the factors to be considered in evaluating the records to determine appropriate retention periods and to complete blocks 4, 5, 9, 10, and 11.

(4) In this process, the actual records are examined and those of similar character bearing a specific part of the subject are grouped and described as items or sub-items. Those who create and use the records are consulted to evaluate the item accurately and to isolate exceptions that require separate evaluation.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 8. Disposition Schedules

(5) When information in the described records has been summarized or put in some other form retained by the office, this is explained in block 9.

(6) Comments and recommendations of interested officials or their concurrence in the disposition recommended in block 11 must be obtained in the case of either a changed or new item. These, with signatures and titles, should be shown in block 10, on reverse of the form, or on a separate sheet. For example, an Agency request for an item to cover unscheduled credit records would show comments and recommendations or concurrence by the Agency Credit Officer and Records Liaison Officer.

(7) The preparing office signature should be that of the head of the office in which the request originates (agency or school superintendent, project engineer, Area Director, or Central Office division chief, for example).

D. Representative samples of the records recommended for disposition should accompany the request for a new schedule item. Reproduced copies are acceptable. Samples will not be returned unless requested.

E. Processing the Request.

(1) If the request originates in the Central Office or an Area Office, one copy of Form 5-1506 is forwarded through channels to the BIA Records Management Officer in the Central Office Division of Management Research and Evaluation. Other field offices submit the request in duplicate to the appropriate Area Office, where one copy is retained and the original with samples forwarded to the Central Office showing remarks and recommendations of the Area Office counterparts of agency officials who commented or concurred.

(2) The Central Office is responsible for reviewing, coordinating, and evaluating the information furnished for conformity with established policies, regulations, and statutes. Consideration is given to the possibility of extending the requested authority to all offices of the Bureau and of including other material in the same item. Interested branches are consulted and their concurrence obtained. Necessary action is taken by the BIA Records Management Officer, in coordination with the Department, GAO, and the National Archives and Records Service of GSA. This includes preparation of Standard Form 115, Request for Authority to Dispose of Records. Approved changes will be included in subsequent amendments to the BIA records control schedules.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 8. Disposition Schedules

EXHIBIT 11. REQUEST FOR CHANGE IN BIA RECORDS SCHEDULE (FORM 5-1506)

Form 5-1506
Rev. Aug. 1973

UNITED STATES DEPARTMENT OF THE INTERIOR
Bureau of Indian Affairs

REQUEST FOR CHANGE IN BIA RECORDS SCHEDULE

INSTRUCTIONS: Central Office units and Area Offices submit original only to Division of Management Research and Evaluation. Attention: Records Management. Other field offices submit in duplicate to their Area Office, where block 12 is completed, copy retained, and original forwarded to Central Office. (See 15 BIAM Supplement No. 5, Section 3.4.) Use reverse, or attach sheet, if more space is needed.

TO	FROM
----	------

PART A - CHANGE IN EXISTING BIA RECORDS SCHEDULE

1. ITEM NO.	2. TYPE OF CHANGE: Specify:	<input type="checkbox"/> Shorter Retention Period	<input type="checkbox"/> Longer Retention Period	<input type="checkbox"/> Other
-------------	--------------------------------	---	--	--------------------------------

3. JUSTIFICATION FOR CHANGE

PART B - NEW ITEM TO BE ADDED FOR RECORDS NOT SCHEDULED

1. FUNCTION TO WHICH RECORDS RELATE	2. OFFICE ACCUMULATING RECORDS	3. FILE CODE AND SUBJECT
-------------------------------------	--------------------------------	--------------------------

4. TYPE AND FORM (Correspondence, forms, reports, books, drawings; originals, carbons, processed, etc.)

5. WHERE USED (1 office, several, or all - specify)

6. PERIOD COVERED BY RECORDS ON HAND FROM	7. VOLUME ON HAND TO Cu. Ft.	8. ACCUMULATION WILL CONTINUE: <input type="checkbox"/> No <input type="checkbox"/> Yes If "Yes," estimated annual rate: Cu. Ft.
--	---------------------------------	--

NO. OF COPIES MADE; DISTRIBUTION & USE OF EACH

Copies covered by proposed schedule:

10. APPRAISAL (Values of records - Temporary or Permanent; Admin., Fiscal, Legal, Historical, etc.)

11. RECOMMENDED DISPOSITION

Destroy, after creation or receipt: At once At stated intervals (specify) _____

Transfer to Federal Records Center (Specify when) _____

Screening required to eliminate nonrecord and/or routine & valueless papers before transfer:

No Yes - portion requiring screening = %

SIGNATURE (Preparing Office)	TITLE	DATE
------------------------------	-------	------

12. REVIEWING OFFICE REMARKS & RECOMMENDATIONS

SIGNATURE (Reviewing Office)	TITLE	DATE
------------------------------	-------	------

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 8. Disposition Schedules

8.6 Special Considerations for Microfilmed Records. Certain record series described in the records disposition schedules may be selected for microfilming. After the microfilm is verified for completeness and accuracy, transfer the paper originals to the FARC for the retention period prescribed in the schedules. After transfer of the paper original record copies, maintain microfilm copies as working files for reference purposes. Destroy the microfilm copies when superseded, obsolete, or no longer needed for reference.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 9. Files Cutoff and Retirement Procedures

9. FILES CUTOFF AND RETIREMENT PROCEDURES

9.1 Definition and Objectives of Files Cutoff.

A. Files "cutoff" is the segregation of active and inactive files. Established periodic cutoff of files is essential to effectively control record accumulations and their growth to facilitate economical disposition in convenient blocks. At least annually, recordkeepers will cut off files and segregate inactive files from active files; dispose of files eligible for retirement or destruction; and destroy all noncurrent technical reference material.

B. Cutting off files is important because it controls the size of the file. If not cut off periodically, folder contents will grow until individual papers become hard to find. If the files are cut off periodically, older files can be progressively moved from active files space to storage space as their reference activity declines.

9.2 Cutoff Standards. Prescribed cutoff instructions are included in the records control schedules where applicable. Cutoff standards are based on the following criteria for the various types of records:

A. Chronological Sequence Files, such as accounting records, are filed by period of account (fiscal year), and lend themselves to cutoff procedures. Chronologically arranged records can be readily cut off and retired in convenient blocks.

B. Subject files must be cut off at planned intervals; there is no natural cutoff point such as occurs with case files or chronologically arranged records. Subject files are usually maintained on a fiscal year basis.

C. Case or Project Files are often cut off upon the termination of a transaction or expiration of an event, such as separation of personnel, final purchase order payment, termination of a lease, or completion of a project. When closed, the case file should be marked with the date of closing and placed in an inactive file apart from the active files. The inactive files can then be retired or destroyed in convenient fiscal year blocks. Case files that continue over a long span of years can be cut off by setting up a new folder each year and retiring the prior year folders which have little reference activity.

D. Technical Reference Materials have no established cutoff and are destroyed when they are superseded, obsolete, or no longer needed. These

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 9. Files Cutoff and Retirement Procedures

files should be reviewed at least annually to determine if they are current and still useful.

9.3 Records Retirement Criteria. Offices should retain as current records a minimum volume of records consistent with efficient operations. Inactive records on hand and not scheduled for early destruction should be retired to appropriate Federal Archives and Records Centers. The schedules in Appendix 2 include retirement instructions for many files series. Below are general criteria regarding retirement. Agency files that meet these criteria should be transferred to a records center regardless of how urgent the need for reference, how important the records, or how extensive the restrictions on their use may be.

A. Reference Rate. Files which are referred to not more than once a month per file drawer are to be transferred to a records center, provided volume is sufficient and the transportation cost does not exceed savings in space.

B. Retention Less than Three Years. Ordinarily, records should not be retired if they will be destroyed within three years of the transfer. Occasionally, records with less than three years retention may be retired if the file is bulky, continued retention in office space is costly, and the local Federal Archives and Records Center agrees in writing to the transfer.

C. Volume. At least one cubic foot (one box) of a particular series of records must be accumulated before the records can be retired. For this reason, many of the retirement instructions for the schedules in Appendix 2 advise offices to hold records for a set period of time "or until volume warrants." This means to hold records until at least one box is accumulated. Offices should also attempt to coordinate retirements so that as many records as possible can be transferred in one shipment. A shipment of fewer than five cubic feet of records is not normally cost effective.

9.4 Retirement Deviations. Records Management Officers are authorized to approve specific deviations from retirement instructions on an individual basis only. Deviations apply only to records retirements. No records will be destroyed sooner or later than authorized by approved disposal schedules unless the applicable schedule is officially changed.

9.5 Federal Archives and Records Centers. Federal Archives and Records Centers (FARCs) are operated by the General Services Administration for storage, processing, and servicing of records of Federal agencies.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 9. Files Cutoff and Retirement Procedures

Regional FARC's are located in GSA regions throughout the United States in addition to two National Records Centers. Exhibit 12 lists the addresses of the FARC's and the area served by each. Included in the paragraphs below are instructions for the retirement of files to a FARC. More detailed information is available from the GSA Records Management Handbook, "Federal Records Centers" (NSN 7610-00-298-6904), and applicable GSA FPMR Bulletins.

9.6 FARC Boxes. Cardboard containers available from the GSA Federal Supply Service through normal supply channels are used to transfer files to the FARC's.

A. Standard Cartons: NSN 8115-00-117-8344 or NSN 8115-00-290-3379, depending on availability. These specially designed boxes will hold either letter- or legal-size files. Each container measures approximately 15 x 12 x 10 inches and holds 1 cubic foot of files.

B. Map-Size Containers: NSN 8115-00-190-5019. Plans, blueprints, maps, and similar records are packed in these map boxes (5 x 5 x 42 inches).

C. Half-Size Containers: NSN 8115-00-117-8338. Each container measures 15 x 12 x 5 inches and holds $\frac{1}{2}$ cubic foot of card sized documents.

D. Oversized and Undersized Records. Contact the local FARC for instructions on shipping odd sized records.

9.7 General Retirement Procedures.

A. Estimating Volume. When records become eligible for transfer, the custodian of the records should estimate the volume involved and obtain the necessary fiberboard boxes. A full letter-size file drawer holds about $1\frac{1}{2}$ cubic feet. A full legal-size drawer contains 2 cubic feet.

B. Review Prior to Boxing Records. Before files are boxed for shipment, they should be screened to eliminate nonrecord material and material authorized for immediate destruction. However, such screening should be limited to complete folders or subject classification file categories.

C. Packing Standard Sized Records. Pack legal- and letter-size records in the standard FARC corrugated boxes prescribed above. In packing records, follow these rules:

(1) All records packed in the same carton must have the same disposal authority (i.e., the same schedule item number from Appendix 2 to this handbook) and the same disposal date.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 9. Files Cutoff and Retirement Procedures

- (2) Pack records in an upright position in the cartons.
 - (3) Pack the records in the same arrangement used in the original file.
 - (4) Do not pack the files too tightly in the box so that referencing the records is made difficult.
 - (5) Pack letter-size folders the 12-inch way facing the front of the carton. Pack legal-size folders the 15-inch way facing the left of the carton. The unstitched 12-inch side of the carton is considered the front.
 - (6) If the cartons are to be shipped to a center by freight, express, or parcel post, reinforce them either by placing a cardboard liner inside the carton or by taping the corners or edges of the closed carton.
- D. Entering Agency Box Numbers. After the boxes are filled, number the cartons in each shipment consecutively beginning with number 1. Prominently enter in the upper right corner of the front of each box with a black felt-tip marker the number of the box and the number of boxes in the transfer; e.g., 1 of 12, 2 of 12, etc. These are agency box numbers. They are used to locate a record before FARC numbers are assigned on the SF 135.

9.8 Preparing Transmittal Forms - SF 135. The retirement of records to a Federal Archives and Records Center requires the preparation of Standard Form 135 (Rev. 6-76), Records Transmittal and Receipt (see Exhibits 13 and 14), and Standard Form 135A, Continuation Sheet. Offices making shipments to FARC's will prepare SF 135 in an original and three copies. Photo copies will NOT be accepted. Complete the SF 135 as shown on the reverse of the form and as follows:

A. Item 1. To. Enter the mailing address of the FARC in the GSA region in which the records are located. (See Exhibit 12 for a list of FARC addresses.)

B. Item 2. Agency Transfer Authorization. To be signed and dated by the BIA Records Liaison Officer.

C. Item 3. Agency Contact. Enter the name, building and room number, and telephone number of a contact person who is familiar with the records. This will usually be the head of the office or files custodian for the organization retiring the records.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 9. Files Cutoff and Retirement Procedures

EXHIBIT 12. FEDERAL ARCHIVES AND RECORDS CENTERS

REGION	AREAS SERVED	MAILING ADDRESS	SHIPPING ADDRESS (If Different Than Mailing Address)
	Designated records of the Military Departments and the U.S. Coast Guard	National Personnel Records Center, GSA Military Personnel Records 9700 Page Boulevard St. Louis, MO 63132	
	Entire Federal Government (for personnel and pay records of separated Civilian employees; other designated records)	National Personnel Records Center, GSA Civilian Personnel Records 111 Winnebago Street St. Louis, MO 63118	
1	Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island	Federal Archives and Records Center, GSA 380 Trapelo Road Waltham, MA 02154	
2	New York, New Jersey, Puerto Rico, and the Virgin Islands	Federal Archives and Records Center, GSA Building 22, Military Ocean Terminal Bayonne, NJ 07002	
3	Delaware and Pennsylvania east of Lancaster	Federal Archives and Records Center, GSA 5000 Wissahickon Avenue Philadelphia, PA 19144	
	Pennsylvania except areas east of Lancaster	Federal Records Center, GSA Naval Supply Depot, Bldg. 308 Mechanicsburg, PA 17053	
	District of Columbia, Maryland, West Virginia, and Virginia	Washington National Records Center, GSA Washington, DC 20409	4205 Suitland Road Suitland, MD
4	North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida, and Kentucky	Federal Archives and Records Center, GSA 1557 St. Joseph Avenue East Point, GA 30044	
5	Illinois, Wisconsin, and Minnesota	Federal Archives and Records Center, GSA 7358 South Pulaski Road Chicago, IL 60652	
	Indiana, Michigan, and Ohio	Federal Archives and Records Center, GSA 3130 Bartwynn Drive Dayton, OH 45439	
6	Kansas, Iowa, Nebraska, and Missouri except greater St. Louis area	Federal Archives and Records Center, GSA 2306 East Bannister Road Kansas City, MO 64131	
	Greater St. Louis area (Missouri only)	National Personnel Records Center, GSA Civilian Personnel Records 111 Winnebago Street St. Louis, MO 63118	
7	Texas, Oklahoma, Arkansas, Louisiana, and New Mexico	Federal Archives and Records Center, GSA Post Office Box 6216 Fort Worth, TX 76115	4900 Hemphill Street Building 1, Dock 1 Fort Worth, TX
8	Colorado, Wyoming, Utah, Montana, North Dakota, and South Dakota	Federal Archives and Records Center, GSA P.O. Box 25307 Denver, CO 80225	Bldg. 48, Denver Federal Center Denver, CO
9	Nevada except Clark County, California except Southern California, and American Samoa	Federal Archives and Records Center, GSA 1000 Commodore Drive San Bruno, CA 94066	
	Arizona; Clark County, Nevada; and Southern California (Counties of San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Orange, Los Angeles, Riverside, Inyo, Imperial, and San Diego)	Federal Archives and Records Center, GSA 24000 Avila Road Laguna Niguel, CA 92677	
10	Washington, Oregon, Idaho, and Alaska	Federal Archives and Records Center, GSA 6125 Sand Point Way Seattle, WA 98115	

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 9. Files Cutoff and Retirement Procedures

D. Item 5. From. Include the complete address of the office transferring the records.

E. Item 6. Records Data.

(1) Item (a). RG. Records of the BIA are assigned record group (RG) number 75.

(2) Item (c). Number. Leave blank.

(3) Item (d). Volume. Each standard container holds 1 cubic foot of records.

(4) Item (e). Agency Box Numbers. Insert appropriate box number.

(5) Item (f). Series Description. For each records series, a statement describing the records in general precedes the detailed description of each carton. This statement should include the record series title, the name of the office creating the records, a general description of the records, and their inclusive dates. Any pertinent historical data involving the organization should be included for permanent records. GAO site audit records should be identified as such. Also, make a statement concerning size of boxes if they are not standard size; i.e., half-size or map.

A clear description of the contents of each shipping carton should be shown next. Double space between the descriptions of records contained in each carton to facilitate identification of contents. It is important that the contents of each box are clearly identified to enable the Center to give reference service and apply the correct disposition authority.

(6) Item (h). Disposal Authority. Identify the disposal authority by reference to this handbook and the number of the appropriate records disposition item in the schedules in Appendix 2. If there is no schedule item that applies, contact the Records Management Officer for instructions.

9.9 Submission Instructions for SF 135. File custodians or other originators should submit the original and two copies of the SF 135 required by the FARC to their Records Liaison Officer for review, signature, and submission. One copy should be held in suspense until the FARC returns the annotated copy. Records Liaison Officers will take the following action depending upon their location.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 9. Files Cutoff and Retirement Procedures

A. Central Office and Area Office Records Liaison Officers. Records Liaison Officers at these offices should forward the SF 135's to the appropriate Records Management Officer located at Washington, D.C., Albuquerque, N.M., or the Area Office for submission to the FARC. At these locations, the Records Management Officers will coordinate the transfers and make a consolidated shipment.

9.10 FARC Processing of the SF 135. The FARC will review the SF 135 and annotate the accession number for each series in column 6(c) and the location number for the first carton in each series in column 6(j). One copy of the completed SF 135 is returned to the agency indicating the Center's approval to ship the material.

9.11 Entering FARC Box Numbers and Accession Number. After receiving the annotated SF 135 from the Center and prior to shipping the records, the files custodian will enter the assigned numbers with a black felt-tip marker as follows:

A. FARC Location Number. Place the appropriate FARC location number as indicated on the SF 135 in the lower center of the front of the first box in the accession.

B. Accession Number. Place the accession number designated on the SF 135 in the upper left corner of the front of each box.

9.12 Shipping the Records. The most economical means available should be used to ship files to a Federal Archives and Records Center. Records may be transferred by regular United States mail for small shipments (under 100 pounds) or by commercial motor or rail freight for larger shipments with costs to be paid by the BIA. To obtain the lowest freight rate for records shipments, enter the following description on bills of lading or other shipping documents:

Records, Office, Old
(The agreed or declared value of the property
is hereby specifically stated by the shipper
to be not exceeding 3½¢ per pound.)

Shipping regulations require the boxes to be sealed and addressed. Properly packed containers weigh approximately 25 to 30 pounds each.

9.13 Signed SF 135. When the records shipment is received, the FARC will complete item 4 of the SF 135 and return one copy to the BIA transferring office. One photocopy of the completed SF 135 should be made and forwarded to the appropriate BIA Records Management Officer as a security copy.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 9. Files Cutoff and Retirement Procedures

9.14 Referrals to Stored Records. Even though records are physically stored in Federal Archives and Records Centers, they are readily accessible to the offices that retired them. The requestor may ask for information from the records or for the loan or return of the records themselves. Optional Form 11, Reference Request - Federal Records Center, is available for use in requesting reference service. Use a separate OF 11 for each folder or box requested. Persons requesting reference service should specify:

- A. The name and location of the person for whom the request is being made.
- B. The accession number of the transfer in which the records were included, as shown on the BIA copies of the SF 135, Records Transmittal and Receipt.
- C. A description of the information and/or records desired.
- D. The FARC number of the carton in which the records should be found as shown on the BIA copies of the SF 135.

9.15 Disposal of Records by Federal Archives and Records Centers. Records stored at FARC's will normally be destroyed in accordance with the applicable schedule item in Appendix 2 of this handbook. If unusual circumstances require that certain records be kept longer than their scheduled retention, BIA should submit evidence of the need to retain the records and request the Administrator of General Services to suspend destruction until the requirement is ended as provided by 44 U.S.C. 2909.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 9. Files Cutoff and Retirement Procedures

EXHIBIT 13. SAMPLE STANDARD FORM 135

DO NOT USE ABBREVIATIONS ON THIS FORM

Be sure that the BIA Records Liaison Officer signs the transmittal before sending to the Center.

Office to which Records Center returns receipted copy of SF 135.

RECORDS TRANSMITTAL AND RECEIPT										Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.					
										PAGE 1	OF 1 PAGES				
<p>1. TO (Complete the address for the appropriate records center serving your area)</p> <p>Federal Archives and Records Center General Services Administration Post Office Box 6216 Fort Worth, TX 76113</p> <p><i>As shown in FPMR 101-11.410-1</i></p>										<p>5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt copy of this form will be sent to this address)</p> <p>Area Realty Office Muskogee Area Office Bureau of Indian Affairs Muskogee, OK 74401</p>					
<p>2. AGENCY TRANSFER AUTHORIZATION</p> <p><i>Jane Doe</i> BIA Records Liaison Officer</p>		<p>TRANSFERRING AGENCY OFFICIAL (Signature and Title)</p>		<p>DATE 10/15/76</p>		Leave Blank.									
<p>3. AGENCY CONTACT</p>		<p>TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)</p> <p>Jane Doe (Files Custodian)</p>		<p>DATE</p>											
<p>One standard center box equals one cubic foot. Count boxes and put total here.</p>										Fold line.					
RECORDS DATA															
ACCESSION NUMBER				SERIES DESCRIPTION (With inclusive dates of records)				DISPOSAL AUTHORITY (Schedule and item number)		DISPOSAL DATE		COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER	VOLUME (C.F.)	AGENCY BOX NUMBERS	(e)	(f)	(g)	(h)	(i)	(j)	DISP. TYPE (k)	CUST. TYPE (l)	AUTO. DISP. (m)		
75	77		5			LAND LEASE CASE FILES	This transfer consists of oil and gas leases for less than \$25,000 of the Muskogee Area Office, Bureau of Indian Affairs, that expired, were relinquished, or were canceled in FY 73. They include copies of the leases, lease bonds, transmittal forms, statements and certificates of award, lease assignments, related correspondence, and other supporting papers. Arranged in numerical order.	R	15. BIAM Supp 3, Appendix 2, Item 1105-13b	July 1980					
						1 Lease # 60241 - 60604									
						2 Lease # 60754 - 61406									
						3 Lease # 61457 - 62013									
						4 Lease # 62075 - 62555									
						5 Lease # 62558 - 63007									

Standard Form 135 (Rev. 6-76)
Prescribed by GSA
FPMR (41 CFR) 101-11.4

NOTE: Accession numbers are assigned according to the types of records in a shipment and their disposal dates. All records in the same series with the same disposal date will be identified by one accession number. If records in the same series span a period of several years and thus have several disposal dates, then different accession numbers will be assigned. Never pack different types of records or records with different disposal dates in the same box.

A complete description of the contents of each container should be shown. Indicate records series title and inclusive dates if different from the general description of the records. List contents of each box. Only first and last folders need be listed if records are filed in a logical arrangement.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 9. Files Cutoff and Retirement Procedures

EXHIBIT 14. SAMPLE STANDARD FORM 135 - REVERSE

INSTRUCTIONS FOR COMPLETION OF STANDARD FORM 135

FOR COMPLETION BY THE TRANSFERRING AGENCY

Items 1, 2, 3 and 5 are self-explanatory. Specific instructions for item 6 are as follows:

- Col.* *Accession Number.* A separate accession number is required for each series of records listed on the form. A series consists of records having the same disposal authority and disposal date, that are transferred together to the records center. The accession number is entered in three parts, consisting of:
- The NARS record group number assigned to the records of the agency making the transfer;
 - The last two digits of the current fiscal year; and
 - A four digit sequential number obtained in advance from the records center. (Arrangements may be made with the center to have these numbers assigned by the agency records officer or other official.)
- (d) Volume.* Enter the volume in cubic feet of each series of records transferred.
- (e) Agency Box Numbers.* Show the inclusive box numbers for each series of records being transferred. The agency shall number each carton sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. Each new series of records should begin with carton number 1.) To facilitate control of the records and future reference service, the agency also shall mark each container with the assigned accession number prior to shipment than that shown in item 5.
- (f) Series Description.* Describe the records in sufficient detail to allow the records center to check for proper application of the disposal schedule. Inclusive dates of the records should be indicated. Show the organizational component that created the records when it is other than that shown in item 5.
- (g) Restriction.* Enter one of the following codes to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the Series Description column (f).

<i>Code</i>	<i>Restrictions</i>
Q	Q security classification
T	Top Secret security classification
S	Secret security classification
C	Confidential security classification
R	Restricted use/witnessed disposal not required (specify in column (f))
W	Restricted use/witnessed disposal required (specify in column (f))
N	No restrictions

(h) Disposal Authority. For each series of records, cite the agency schedule and specific item number authorizing disposal. Cite the NARS disposal job and item number if it has not been incorporated into an updated agency schedule.

(i) Disposal Date. Applying the disposal authority previously cited in column (h), enter the month and year in which the records may be destroyed.

FOR COMPLETION BY THE RECORDS CENTER

- Item 4 is self-explanatory. Specific instructions for item 6 are as follows:
- Col.* *(j) Location.* The records center annotates the shelf location of the first carton for each series of records.
- (k) Shelving Plan.* The records center enters the appropriate code from Chap. 7-10e, HB, Records Center Operations (NAR P 1864.1A), to reflect the shelving system.
- (l) Container Type.* The records center enters the appropriate code from Chap. 7-10h, NAR P 1864.1A, to reflect the type of container in which the records are retired.
- (m) Automatic Disposal.* The records center enters either Y (yes) to indicate automatic disposal applies or N (no) indicating that the agency wishes to receive disposal concurrence notice prior to destruction of the records. Automatic disposal is applied only when previously agreed upon by the agency.

Use Standard Form 135-A, Records Transmittal and Receipt Continuation, when additional space is required for listing records data.

Standard Form 135 Back (Rev. 6-76)

10. ANNUAL RECORDS REPORT

10.1 Reporting Requirements. As of August 31 of each year, a report on the volume of records on hand and the volume disposed of or transferred during the year is required from each Area Office and each Agency or other unit under direct jurisdiction of the Central Office. The Bureau is required to prepare an annual report informing GSA, through the Department, of the total volume of records on hand in all offices. The Department requests additional data on volume disposed of and transferred to Records Centers and to other Federal agencies.

A. Forms. Forms 5-1510, Annual Records Report, and 5-1511, Summary Worksheet for Annual Records Report, are used for preparation and submission of the report. (See Exhibits 15 and 16.)

B. Submissions. The Annual Records Report (Form 5-1510) will be submitted to the Central Office Division of Management Research and Evaluation by reporting offices.

C. Due Date. The completed Annual Records Report (Form 5-1510) covering the 12-month period ending August 31 is due in the Central Office by September 30 of each year.

D. Area Report. The consolidated Area Report shall include records in the Area Office and in all Agencies, schools, projects, and other units under Area Office jurisdiction. It is submitted on Form 5-1510, in duplicate, together with one copy of the Worksheet (5-1511) summarizing all feeder reports from the Area's subordinate units.

(1) Use of Worksheet. The Summary Worksheet (Form 5-1511) is designed to facilitate consolidations of data from subordinate units (branches or other offices within an Agency or other installation; Agencies; schools; or other units within an Area). Totals transferred to Form 5-1510 should be rounded out to the nearest cubic foot, eliminating fractions or decimals.

(2) Feeder Reports to Area Office. Area Offices may request submission of feeder reports from their subordinate units on either Form 5-1510 or 5-1511 as they prefer (or on a form of their own design, if they require additional information for management purposes). Use of Form 5-1511 provides more detailed information than does 5-1510 if the data for each activity at an installation is shown on a separate line (for example, a line each for Superintendent's office, Transportation, Land Operations, IIM, Social Services, etc., and the total for the installation.)

10.2 Preparing the Report.

A. Disposals (Line 1). Each office should make notations of record material disposed of throughout the year even though quantities are small (see Exhibit 17, Records Disposition Reminder).

(1) Very small quantities of material removed from files for disposal and temporary informational material never put into files may be held for short periods until a measurable volume is accumulated.

(2) Volumes may be noted in inches and added at the end of the year. Sixteen inches of letter-size paper equal 1 cubic foot.

(3) Only the types of material that were included in the previous year's inventory should be considered in this disposal figure. For example, if reference material such as catalogs, Federal Registers, and publications that were not counted in previous inventories are destroyed, this volume is not included in the report. If such nonrecord material was included (erroneously) in the previous inventory, disposal of it may be counted in a later report.

B. Transfer (Lines 2a, b, c). The total volume transferred to Records Centers during the year is entered on line 2a of the report. Any permanent record transfers to other (BIA or non-BIA) Federal agencies are entered on line 2b, and explained (citing authority) under "Remarks". (For example, "4 cu. ft. to Forest Service, U.S.D.A., and 1 cu. ft. to Bureau of Land Management, U.S.D.I. - re authority of Central Office memo dated 1-3-73.")

Line 2b is to be used only for permanent record transfers to other BIA locations or organizations such as Federal or State agencies, school districts, etc. Line 2b is to include only record transfers and should not include records on loan. Transfers within an installation affect only the activities concerned, not the total volume on hand, and any required adjustments should be made on the Worksheet.

If records are loaned to another Bureau of Indian Affairs office (a Title Plant, for example) and are to be returned later, these should be included in the end-of-year inventory of the lending office. A notation of the volume should be shown under "Remarks" or on the Worksheet.

Area Offices in which Title Plants are located are reminded that the end-of-year inventory of Title Plant records should not include those on loan to it (from the National Archives, the Central Office, or an Agency).

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 10. Annual Records Report

Only records permanently transferred to the Title Plant and those received and created by it in the course of its operations should be reported. All notations of volume of records on loan may be made under "Remarks" if desired.

C. Current year's inventory (Line 3). An actual physical inventory of the records on hand must be taken as of August 31 each year to determine the volume shown on line 3 of the report.

(1) An accurate inventory of all record material in whatever form is essential, including that in file, card, map, and other cabinets; in boxes, in 3-ring binders or binder cases; in bookcases; on shelves; or elsewhere. If record material is stored in vaults, warehouses, attics, or other locations outside of office space, it is to be included. (See Exhibit 18, Computing Volume for Outsized Equipment and Miscellaneous Records).

(2) The inventory for an entire office should be taken by one individual rather than having each branch or activity take its own.

(3) Working files and extra copy files are to be included even though they come within the definition of nonrecord material and are disposable when they have served their purpose.

(4) Nonrecord reference material, such as library books, stock of publications or forms, catalogs, Federal Registers, etc., is not included in the inventory.

D. Previous year's inventory (Line 5). The volume shown on "Line 5" must be the same figure as shown on "Line 3" of the previous year's report. Do not adjust this figure. If any significant volume of records or nonrecord material were inadvertently omitted from the previous year's report, you should add the volume to the current year's report as follows:

(1) Permanent records. Add volume to "Line 6" and explain under "Remarks" column -- for example, "Line 6 includes (blank) additional cu. ft. of records transferred from (blank) agency which were inadvertently excluded from last year's inventory."

(2) Nonrecord material. Add volume to "Line 1" and explain under "Remarks" column the amount of records and the reason for the omission of the material in the previous year's inventory.

E. Accumulations (Line 6). Line 6 shows the volume created and accumulated, by subtracting the beginning-of-period volume from the total

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 10. Annual Records Report

disposed of, transferred, and on hand at the end of the year. This can never be a minus figure, and would not be zero unless the activity within an office was so slight as to involve no appreciable volume of records. If each inventory is consistent and complete and disposals and transfers are accurately reported, the "Created and Accumulated" volume will automatically be correct.

10.3 Reporting Responsibility.

A. Bureauwide. The Central Office Division of Management Research and Evaluation is responsible for the Bureau annual records reporting to the Department.

B. Areas. Area Directors are responsible for the Annual Records Report for their jurisdiction although this responsibility can be delegated to the Area Records Management Officer.

C. Central Office Units in Albuquerque. The Deputy Director, Administrative Services Center, Albuquerque, New Mexico, is responsible for the Annual Records Report for all Central Office units located in Albuquerque, Denver, and Brigham City. The Deputy Director may delegate this responsibility to the Central Office Records Management Officer located at Albuquerque.

D. Other Field Offices. The Washington and Cleveland Field Employment Assistance Offices should send their Annual Records Report to their respective divisions in the Washington Office.

E. Washington Offices. The Central Office Records Management Officer located in the Division of Administrative Services is responsible for obtaining Annual Records Reports from Bureau offices located in Washington, D.C., and for furnishing the Division of Management Research and Evaluation with a consolidated report for the Central Office.

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 10. Annual Records Report

EXHIBIT 15. SAMPLE ANNUAL RECORDS REPORT

Form 5-1510
Rev. Aug. 1973

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS

REPORT NO. 15-02

ANNUAL RECORDS REPORT

TO: <u>Area Director</u> <u>Area</u>	FROM: (Preparing Office) <u>Superintendent</u> <u>Agency</u>
---	--

- INSTRUCTIONS: a. Use this form for consolidated Area reports and, if desired, for feeder reports to Area Offices (from Agencies, Schools, Projects, etc.).
 b. Submit (in duplicate) consolidated Area reports, covering records in Area Offices and in all Agencies and other units under Area jurisdiction, to reach Central Office by July 10 each year.
 c. Take actual physical inventory of records, required to ascertain volume (line 3), as of May 31.
 d. "Records disposed of" (line 1) means those destroyed or otherwise disposed of under authorizations contained in approved retention and disposal schedules. Keep notations on records disposed of throughout the year in each office, for an accurate report.
 e. Explain any apparent discrepancies, such as differences due to inventory adjustments (because of transfers between BIA offices, incorrect previous inventory, etc.) under "Remarks."
 f. Calculate volume according to following table of cubic feet equivalents. Additional computing tables are shown in 15 BIAM Supplement No. 5, Illustration 11. (NOTE: Equivalents are for full but workable drawers. Make appropriate adjustments for partially filled drawers.)

Cu.Ft.:	FILING CABINETS		FILING CASES			TABULATING CARDS	OUTSIZED EQUIPMENT
	Letter	Legal	3 x 5"	4 x 6"	5 x 8"		
-	1 1/2	2	1/10	1/6	1/4	1	Inside cubic measurement
	PER DRAWER		PER 12" DRAWER			PER 10,000	

g. See 15 BIAM Supplement No. 5, Section 5 (Records Disposition Handbook) for further explanation of instructions.

LINE	DESCRIPTION	VOLUME IN CUBIC FEET
1	DISPOSED OF DURING FISCAL YEAR (Records destroyed)	63*
2	TRANSFERRED DURING FISCAL YEAR: (Exclude record loans)	94
a.	TO FEDERAL RECORDS CENTERS	29**
b.	TO OTHER (BIA OR NON-BIA) FEDERAL AGENCIES (Specify location of transfer and cite authority under "Remarks" column)	
c.	TOTAL TRANSFERRED (Lines 2a + 2b)	123
3	ON HAND AT END OF FISCAL YEAR (Actual physical inventory of records)	834
4	TOTAL - (Lines 1 + 2c + 3)	1020
5	ON HAND AT BEGINNING OF FISCAL YEAR (Do not adjust this figure) (Line 3 of report for preceding year)	932
6	CREATED & ACCUMULATED DURING FISCAL YEAR (Line 4 minus 5)	88 ***

REMARKS: (Use reverse, if more space needed)

* Includes 10 cubic feet of non-record material overlooked in last year's inventory. EXAMPLe

** Transferred 9 cu. ft. of records to the U.S. Forest Service (OSDA) (Auth. - Executive Order XXXXX, dated 2-30-73)

** Includes 21 cu. ft. of records transferred to the Area Office on 1-17-73 (Auth. - Central Office memo of approval, dated 1-3-73).

** Includes 7 cu. ft. of permanent records inadvertently omitted from last year's inventory.

Date Prepared	Signature	Title	Fiscal Year Ending
June 18, 1973	Carol Lynn Jones	Administrative Officer	JUNE 30, 1973

25589

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK

Chapter 10. Annual Records Report

EXHIBIT 16. SUMMARY WORKSHEET FOR ANNUAL RECORDS REPORT

Form 5-1511
Rev. Aug. 1973UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS

(REPORT NO. 15-02)

SUMMARY WORKSHEET FOR ANNUAL RECORDS REPORT

INSTRUCTIONS: Use this form to summarize data from subordinate units within a jurisdiction, for transfer to Report Form 5-1510 (Formerly Form 5-1004). Column numbers correspond to lines on Form 5-1510.

JURISDICTION (Area, Branch, Agency, School Project, Field Office, etc.)	Disposed of During Year	TRANSFERRED DURING YEAR TO			VOLUME OF RECORDS IN CUBIC FEET		Created & Accumu- lated (Col. 4 minus Col. 5)	
		Federal Records Centers	Other BIA or Non-BIA Federal Agencies	TOTAL (Columns 2a + 2b)	On Hand At End Of Year	TOTAL (Columns 1 + 2c + 3)	On Hand At Beginning Of Year	
	(1)	(2a)	(2b)	(2c)	(3)	(4)	(5)	(6)
Sept's Office	3	6	-	6	24	33	30	3
Admin. Office	3 $\frac{1}{4}$	-	-	-	19 $\frac{1}{2}$	22 $\frac{3}{4}$	19 $\frac{1}{2}$	3 $\frac{1}{4}$
Propt + Supply	5 $\frac{1}{2}$	-	-	-	20 $\frac{1}{2}$	26	23	3
IIM	4 $\frac{1}{2}$	11	-	11	83	98 $\frac{1}{2}$	92	6 $\frac{1}{2}$
Plant Mgmt.	3	-	-	-	26	29	23 $\frac{1}{2}$	5 $\frac{1}{2}$
Education	2	2	-	2	18 $\frac{1}{2}$	22 $\frac{1}{2}$	20	2 $\frac{1}{2}$
Empl. Ass'ts (Judicial, Preventive Investigative Services)	2 $\frac{1}{2}$	1	-	1	12	15 $\frac{1}{2}$	14 $\frac{1}{2}$	1
Initial Services	1	3	-	3	42 $\frac{1}{2}$	46 $\frac{1}{2}$	43	3 $\frac{1}{2}$
Land Operations (Office + Vault)	2 $\frac{3}{4}$	5	-	5	61	68 $\frac{3}{4}$	47	21 $\frac{3}{4}$
Real Prop. Mgmt. (Office + Vault)	8 $\frac{1}{4}$	4	-	4	239	251 $\frac{1}{4}$	239	12 $\frac{1}{4}$
Forestry	2 $\frac{1}{2}$	8	29	37	53 $\frac{1}{2}$	92 $\frac{3}{4}$	89	3 $\frac{3}{4}$
Credit	1 $\frac{1}{2}$	5	-	5	33	39 $\frac{1}{2}$	39 $\frac{1}{2}$	2
Transportation	2 $\frac{1}{2}$	8	-	8	43	53 $\frac{1}{4}$	48 $\frac{1}{2}$	4 $\frac{3}{4}$
Miscellaneous in Warehouse	12	24	-	24	85	121	121	-
Basement	8	17	-	17	52	77	64	13
 * - 8 cubic feet transferred to U.S. Forest Service (USFS) and - 21 cubic feet transferred to the Area Office.								
 ** + Includes 7 cubic feet omitted from last year's inventory.								
 <i>XAMP</i>								
TOTALS (Trf. to 5-1510)	63	94	* 29	123	834	1020	932	** 88

25390

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK

Chapter 10. Annual Records Report

EXHIBIT 17. RECORDS DISPOSITION REMINDER

File Number and/or Title		Month for Disposition
Location of Files	Filing Arrangement	Cut-off Period
Description of Files		
Retention Period	Disposition Authority (GSA or BIA Schedule & Item Nos.)	
U.S. DEPARTMENT OF THE INTERIOR BUREAU OF INDIAN AFFAIRS		
Form 5-1508		
RECORDS DISPOSITION REMINDER		

(Front)

RECORD OF DISPOSITIONS					
DATES OF RECORDS (Inclusive)	DATE OF ACTION	DISPOSITION (Vol., Cu.Ft.)	(FOR TRF. TO FRC)	Accession No.	REMARKS
28040					

(Back)

FILES OPERATIONS AND RECORDS DISPOSITION HANDBOOK
Chapter 10. Annual Records Report

EXHIBIT 18. COMPUTING VOLUME OF RECORDS FOR ANNUAL REPORT (REPORT NO. 15-02)

Computing Volume of Records for Annual Report (Report No. 15-02)

Following are examples and suggestions for computing volume of outsized equipment and miscellaneous records.

OUTSIZED EQUIPMENT - Example

Map Cabinet - Inside measurement of each drawer = $32 \times 48 \times 2"$
 6 drawers filled $32 \times 48 \times 2 \times 6 \dots = 18,432$ cu. in.

Map Cabinet - Inside measurement of each drawer = $24 \times 18 \times 1"$
 8 drawers filled $24 \times 18 \times 1 \times 8 \dots = 3,456$ cu. in.

Rolls of Maps - total measurement = $24 \times 36 \times 42" \quad 36,288$ cu. in.

Ledgers - 3, measuring $14 \times 18"$, each $4"$ thick
 $14 \times 18 \times 4 \times 3 \dots = 3,024$ cu. in.

Ledgers - 5, measuring $12 \times 15"$, each $3"$ thick
 $12 \times 15 \times 3 \times 5 \dots = 2,700$ cu. in.

Total = 63,900 cu. in.

(1 cu. ft. = 1,728 cu. in.) $63,900 \div 1,728 = 36.9$ or 37 cu. ft.

PAPERS NOT IN FILE DRAWERS

16" of letter size papers = 1 cu. ft.
 12" of legal size papers = 1 cu. ft.

thus, 5 large (3") 3-ring binders = 1 cu. ft.
 10 small (1 1/2") 3-ring binders = 1 cu. ft.

CARDS: To compute volume of cards, especially in partially filled drawers, measure total inches, reduce to feet, and then to cubic feet. For example:

6 - drawer cabinet containing total of 70" of $3 \times 5"$ cards
 $70 \div 12 = 5.8$ ft. (12" or 1 ft. = 1/10 cu. ft.)
 $5.8 \div 10 = .6$ or approx. .6 cu. ft.

8 - drawer cabinet containing total of 80" of $4 \times 6"$ cards
 $80 \div 12 = 6 \frac{2}{3}$ or approx. .7 ft. (12" or 1 ft. = 1/6 cu. ft.)
 $.7 \div 6 = 1 \frac{1}{6}$ or approx. .1 cu. ft.

4 - drawer cabinet containing total of 41" of $5 \times 8"$ cards
 $41 \div 12 = 3.4$ ft. (12" or 1 ft. = 1/4 cu. ft.)
 $3.4 \div 4 = .8$ or approx. .8 cu. ft.

Shelf Files - Per Linear Foot, Letter - 4/5 cu. ft., Legal - 1 cu. ft.

Magnetic Tape - 1 cu. ft. per 7 reels

INT: 4518-78

U.S. DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS

BIA
FILES OPERATIONS
AND
RECORDS DISPOSITION
HANDBOOK

15 BIAM Supplement No. 3
Appendix 1
Page 1

APPENDIX 1... MASTER SUBJECT FILE OUTLINE

<u>Primary Subject</u>	<u>Code</u>
Automatic Data Processing	ADP
Audit and Evaluation	ADT
Budget, Finance, and Accounting	BFA
Educational Assistance	EDA
Environmental Protection	EVP
Indian Education	IED
Information and Public Relations	IFP
Indian Self-Determination Program	ISD
Indian Services	ISV
Legal and Legislative	LEG
Organization, Planning, and Management	OPM
Office Services	OSV
Personnel	PER
Procurement and Property Management	PPM
Paperwork Management	PWM
Tribal Resources Development	TRD
Trust Responsibilities	TRR
Travel and Transportation	TRV

AUTOMATIC DATA PROCESSING (ADP)

Use this subject outline for general correspondence on automated data processing plans, policies, projects, systems, procedures, studies, and operations.

ADP 1 General Policy

ADP 2 Reports and Statistics

ADP 3 Laws and Regulations

ADP 4 Accessories and Auxiliary Equipment

ADP 5 ADP Applications

ADP 6 Automated Systems

Subdivide by name or type of system if volume warrants.

ADP 6-1 Design

ADP 6-2 Development

ADP 6-3 Maintenance and Operation

ADP 7 Data Processing Facilities

ADP 7-1 Computer Room Includes special requirements.

ADP 7-2 Library

ADP 8 Data Storage and Retrieval

ADP 9 Data Transmission Includes telecommunications

ADP 10 Equipment Selection and Capabilities

ADP 10-1 Equipment Studies

ADP 10-2 Requirements and Specifications

10-3 Trials, Tests, and Evaluations

ADP 11 Feasibility Studies

Use for general correspondence related to feasibility studies. See Item 901-01 for case files of individual feasibility studies.

ADP 12 Machine Utilization

ADP 13 Magnetic Storage Media

ADP 13-1 Disks

13-2 Drums

13-3 Tapes

ADP 14 Maintenance and Repair

ADP 15 Standardization

Use for data processing standards and standards development.

AUDIT AND EVALUATION (ADT)

Use this outline for general correspondence and similar papers regarding audit, evaluation and inspection of internal functions, contractors and grantees, and other agency audits of Bureau functions. Do not use this outline for audits of a specific activity, grantee, or contractor. These papers will be filed in the appropriate audit case file.

ADT 1 General Policy

ADT 2 Reports and Statistics

ADT 3 Laws and Regulations

ADT 4 Audits of Contractors

ADT 5 Audits of Grantees/
Subgrantees

ADT 5-1 Administrative and
Program Operations

5-2 Fiscal Operations

ADT 6 Audit Resolution

ADT 6-1 Exceptions

6-2 Refunds

6-3 Suspensions and
Disallowances

ADT 7 Contract Audit Firms

Use for correspondence regarding
Certified Public Accountants or
accounting firms.

ADT 8 Coordination of Audits
and Investigations

Use for papers regarding liaison/
coordination with GAO, FBI, Dept.
of the Interior Audit Office, CPA
firms, etc. Subdivide if volume
warrants.

ADT 9 General Accounting Office
(GAO) Audits

ADT 10 Internal Audits of the Bureau

 ADT 10-1 Administrative Activities

 10-2 Fiscal Activities

 10-3 Management Activities

ADT 11 Investigations

Use for materials regarding standards and procedures for requesting and conducting investigations of alleged irregularities.

 ADT 11-1 Conflict of Interest

 11-2 Fraud and Embezzlement

ADT 12 Standards and Procedures

Use for material on procedures for conducting, documenting, reporting, and reviewing audits.

 ADT 12-1 Audit Reports

Format, clearance, approval, etc. 88-00000

 12-2 Documentation

 12-3 Examination and Development of Findings

 12-4 Plans and Preparation

BUDGET, FINANCE, AND ACCOUNTING (BFA)

Use this outline for general correspondence and similar material relating to the preparation and submission of budget data; budgetary policies and procedures; band analysis; disbursement activities; and the maintenance, control, and accountability of funds.

BFA 1 General Policy

BFA 2 Reports and Statistics

BFA 3 Laws and Regulations

BFA 4 Accounting Codes and Symbols

BFA 5 Accounting Systems

BFA 6 Authorizations - Designations Of personnel to perform paying,
collecting, timekeeping activi-
ties. Accountable officers.

BFA 7 Bonding of Employees

BFA 8 Budget Execution

BFA 8-1 Allotments and Advices, revisions, adjustments.
Authorizations

8-2 Apportionment and
Allocation

8-3 Transfer of Funds Appropriation transfers, adjust-
ments, warrants, etc.

BFA 9 Budget Preparation and
Submission Includes band analysis.

BFA 9-1 Budget Estimates

9-2 Preliminary Forecasts

BFA 10 Collections - Receipts

BFA 10-1 Accounts Receivable

10-2 Adjustments

- BFA 10-3 Billings
- 10-4 Checks, Money Orders, Except payroll and travel; see Currency below.
- 10-5 Summaries and Schedules
- BFA 11 Contractor Accounting
- BFA 12 Disbursement Except payroll and travel; see below.
- BFA 12-1 Accounts Payable
- 12-2 Adjustments
- 12-3 Imprest Fund
- 12-4 Letters of Credit
- 12-5 Voucher Examination and Certification
- BFA 13 Financial Plans Use for overall plans for the expenditure of appropriated and other funds.
- BFA 14 Fund Availability
- BFA 15 General Ledger Includes correspondence about general ledger accounting including journal vouchers, subsidiary ledgers, trial balances, balance sheets, etc.
- BFA 16 Grantee Accounting Includes material regarding grantee financial reports.
- BFA 17 Obligation (Fund) Control and Flow
- BFA 18 Payrolls - Salaries
- BFA 18-1 Deductions
- 18-2 Paychecks
- 18-3 Salary Changes

BFA 19 Travel Accounting

BFA 19-1 Advances

19-2 Per Diem

19-3 Transportation

EDUCATIONAL ASSISTANCE (EDA)

Use this outline for general correspondence related to various flow-through funding programs which assist in the education of Indian students by providing funds for programs and facilities.

EDA 1 General Policy

EDA 2 Reports and Statistics

EDA 3 Laws and Regulations

EDA 4 Elementary and Secondary Education Act Assistance

EDA 5 School Construction Assistance

Regarding public or tribally operated schools. See IED 8 for subjects relating to Federal school facilities.

EDA 5-1 Tribally Operated (Previously Private) Schools

5-2 Public Schools

EDA 6 Johnson-O'Malley Act Assistance

EDA 6-1 Comprehensive Educational Plans

6-2 Indian Education Committees

6-3 Monitoring

6-4 Specialized Educational Needs

6-5 Supplemental Education Programs

EDA 7 School Services Assistance

EDA 7-1 Dormitory Services

7-2 Food Services

EDA 7-3 Health Services

7-4 Psychological Services

7-5 Social Services

EDA 8 Special Programs Assistance

EDA 8-1 Arts and Crafts

8-2 Bilingual Education

8-3 Health Education

8-4 Music Education

8-5 Safety Education

8-6 Special Education

Subdivide by type,
handicapped, learning dis-
abilities, retarded, etc.,
if volume warrants.

ENVIRONMENTAL PROTECTION (EVP)

Use this outline for general correspondence related to Bureau actions in protecting elements of the environment. Environmental Impact Statements are also classified and filed according to this outline.

EVP 1 General Policy

EVP 2 Reports and Statistics

EVP 3 Laws and Regulations

EVP 4 Environmental Elements

EVP 4-1 Archeological

Includes ruins, artifact sites, ghost towns, battlefields, cemeteries, festival sites.

4-2 Botanical

4-3 Geological

4-4 Hydrological

4-5 Miscellaneous

Includes scientific areas, national parks or forests, hunting clubs, wildlife refuges.

4-6 Zoological

EVP 5 Environmental Impact Statements

EVP 6 Environmental Protection Agency (EPA) Liaison

EVP 7 Environmental Quality

EVP 7-1 Air

7-2 Water

EVP 8 Environmental Reports

EVP 9 Environmental Statistics

EVP 10 Pollution Control

EVP 10-1 Air Pollution

Includes asphalt operations,
burning, earthmoving, soil
stabilizing.

10-2 Noise Pollution

Includes equipment noise, drill-
ing and blasting, pile driving,
rock crushing.

10-3 Water Pollution

Includes erosion, concrete
operations, runoff from earth-
moving, oil and hazardous
substance spills, pesticides,
sewage.

EVP 11 State Agency Liaison

EVP 12 Wild and Scenic Rivers

INDIAN EDUCATION (IED)

Use this outline for general correspondence related to the development and management of programs which provide educational opportunities to Indian youths and adults in either Bureau, public, or private schools.

IED 1 General Policy

IED 2 Reports and Statistics

IED 3 Laws and Regulations

IED 4 Career Development

Use this classification for material regarding career development programs other than primary and secondary education for individual Indians. See PER for career development of BIA employees.

IED 4-1 Adult Education

4-2 Adult Vocational Training

4-3 Career Counseling

4-4 Career Education

4-5 College Student Assistance

4-6 Higher Education

4-7 Scholarship Grant Program

4-8 Veterans Administration Program

IED 5 Education Audio-Visual Services

See IFP 13-2 for correspondence related to audio-visual activities associated with publicity and promotion in general.

IED 5-1	Audio-Visual Operations	
5-2	Audio-Visual Production	Includes general education publications and school publications.
5-3	Audio-Visual Training	Use for correspondence concerning film library and media production training for Indian students.
5-4	Public Information Coordination	
IED 6	Education Program Systems and Services	
IED 6-1	Budget and Fiscal	Includes general correspondence about budgeting for educational program activities.
6-2	Education Contract Administration	Includes monitoring.
6-3	Education Contract Development	
6-4	Education Reporting Systems	Includes attendance and school census reporting.
6-5	Student Systems	Includes application and enrollment procedures and the student files and records system.
6-6	Teacher Programs	Includes qualifications and hirings.
IED 7	Evaluation, Research, and Development	
IED 7-1	Counseling and Testing	
7-2	Needs Assessment	Subdivide by item if volume warrants.
7-3	Policy and Standard Development	Subdivide by item if volume warrants.

- | | | |
|--------------------------------------|--------------------|--|
| IED 7-4 | Program Evaluation | Subdivide by item if volume warrants. |
| IED 8 Federal School Facilities | | Relating to schools operated by the Bureau. See EDA 5 for subjects regarding funding assistance for public or tribally operated schools. |
| IED 8-1 Alterations and Improvements | | |
| 8-2 Construction Planning | | |
| 8-3 Design | | |
| 8-4 Equipment Procurement | | |
| 8-5 Equipment Utilization | | |
| 8-6 Furnishing | | |
| 8-7 Site Planning and Selection | | |
| 8-8 Space Management | | |
| 8-9 Specifications Development | | |
| IED 9 Federal School Operations | | |
| IED 9-1 Boarding Schools | | |
| 9-2 Day Schools | | |
| 9-3 Dormitories | | |
| 9-4 Employee Quarters | | |
| 9-5 Education Information System | | |
| 9-6 Elementary Schools | | |
| 9-7 High Schools | | |
| 9-8 Kindergartens | | Includes prekindergarten facilities. |
| 9-9 Parental Involvement | | |

- 9-10 Post-High School Facilities
- 9-11 Student Rights and Responsibilities

INFORMATION AND PUBLIC RELATIONS (IFP)

Use this subject outline for general correspondence regarding informational services; public access to records; dissemination of information through publications and presentations; nontechnical relations with the general public, press, private organizations, tribal organizations, and other Government agencies.

IFP 1 General Policy

IFP 2 Reports and Statistics

IFP 3 Laws and Regulations

IFP 4 Exhibits, Fairs,
Community Projects

Also includes general correspondence on celebrations, feasts, festivals, fiestas, and ceremonies.

IFP 5 Histories - Anniversaries

IFP 6 Indian Relations

IFP 6-1 Indian Organizations

6-2 Indian People

6-3 Tribal Units

IFP 7 Informal Talks or Speeches

IFP 8 Information Services

Use for general material regarding information services and disclosure of information and records to other Government agencies, private industry, and the general public. Includes procedures for processing requests and handling inquiries.

~~IFP 8-1 Freedom of Information Act Requests~~

Use for requirements involving inquiries specifically identified as FOIA requests.

~~IFP 9-2~~ Privacy Act Requests

Includes disclosure of information about individuals.

~~8-3 Public Inspection and Copying of Records~~

Includes disclosure of information.

~~8-4 Requests for Technical Publications, Materials and Information~~

Use for general material regarding handling of requests and inquiries which do not involve special disclosure determinations.

IFP 9 Invitations - Engagements

IFP 10 Library Services

IFP 11 Presentations

Use for general material regarding formal oral presentations and speeches.

IFP 12 Public Opinion

IFP 12-1 Commendations, Congratulations, Appreciation

12-2 Criticism

IFP 13 Publicity and Promotion

Use for general material only. Subdivide as shown if volume warrants.

IFP 13-1 Annual Reports

13-2 Audio-Visual

Use for promotional aids only. Includes maps, charts, posters, motion pictures, slides, photographs, and recordings.

13-3 Newsletters and House Organs

13-4 Newspaper and Magazine Articles

13-5 Press Relations and
Releases

IFP 14 Technical Publications

Use for general information
regarding dissemination of
scientific and technical
information through publications.
DO NOT use for copies of publi-
cations.

IFP 15 Technical Writing and
Editing

Use for standards and format
for technical writing and
editorial instructions. Includes
general material only on the
preparation, submission, review,
and clearance.

IFP 16 Visitors, Representa-
tives, and Guests

INDIAN SELF-DETERMINATION PROGRAM (ISD)

Use this outline for general correspondence related to grants and contracts of the Indian Self-Determination Act (Title I). See EDA for subjects related to education and assistance contracts.

ISD 1 General Policy

ISD 2 Reports and Statistics

ISD 3 Laws and Regulations

ISD 4 Self-Determination
Grants (Part 272)

 ISD 4-1 Eligibility

 4-2 Application Process

 4-3 General Grant
 Requirements

 4-4 Award and Approval

 4-5 Grant Revision,
 Cancellation, or
 Assumption

 4-6 Grant Monitoring

ISD 5 Self-Determination
Contracts (Part 271)

 ISD 5-1 Eligibility

 5-2 Application Process

 5-3 Trust Responsibility
 Requirements

 5-4 General Contract
 Requirements

 5-5 Contract Revision or
 Amendment

- ISD 5-6 Retrocession,
 Reassumption, or
 Cancellation
- 5-7 Hearings and Appeals
- 5-8 Contract Monitoring

ISD 6 Technical Assistance

- ISD 6-1 Capacity Building
- 6-2 Planning
- 6-3 Training

INDIAN SERVICES (ISV)

Use this outline for general correspondence related to the development and management of programs designed to promote the welfare and development of individual Indians and Indian communities and assist tribes in developing their capabilities for self-government.

ISV 1 General Policy

ISV 2 Reports and Statistics

ISV 3 Laws and Regulations

ISV 4 Housing Services

ISV 4-1 Acquisition Assistance

4-2 Housing and Community Development Act of 1974

4-3 Housing and Urban Development (HUD) Housing Programs Subdivide by program if volume warrants.

4-4 Housing and Urban Development (HUD) Liaison

4-5 Housing Development Program

4-6 Housing Improvement Program

4-7 Investigations and Planning

4-8 Major Additions

4-9 New Unit Construction

4-10 Sanitation Facilities

4-11 Substandard Housing

ISV 5 Law Enforcement Services	Includes correspondence about the Indian criminal justice system.
ISV 5-1 Alcoholic Beverage Consumption on Reservations	
5-2 Crime Prevention	
5-3 Detention Operations	
5-4 Enforcement Operations	Includes enforcement of hunting, fishing, trading, and other regulations. Subdivide by type of regulation if volume warrants.
5-5 Federal Bureau of Investigation (FBI) Liaison	
5-6 Inspection	Includes evaluation.
5-7 Jail Facilities Operations	
5-8 Judicial Operations	
5-9 Law Enforcement Assistance Administration (LEAA) Liaison	
5-10 Local Law Enforcement Agencies Liaison	
5-11 Professional Conduct	
5-12 Protection of Rights	Includes individual's constitutional rights.
5-13 State Law Enforcement Agencies Liaison	
5-14 Training	Use for training in the community. See PER for training of BIA employees.

ISV 6 Social Services

- ISV 6-1 Alcoholism Services
- 6-2 Burial Assistance
- 6-3 Child Welfare Assistance Includes foster care.
- 6-4 Eligibility Determination
- 6-5 Federal Welfare Policy
- 6-6 Food Programs
- 6-7 General Welfare Assistance
- 6-8 Indian Health Service
- 6-9 Indigent Indian Persons
- 6-10 Legal Aid
- 6-11 Local Public Welfare Agencies
- 6-12 Miscellaneous Assistance
- 6-13 Social Services Counseling
- 6-14 State Public Welfare Agencies
- 6-15 Tribal Work Experience Program
- 6-16 U. S. Public Health Service

ISV 7 Tribal Government Services

- ISV 7-1 Agricultural Extension
- 7-2 Enrollment Appeals

15 BIAM Supplement No. 3
Appendix 1
Page 25

ISV 7-3	Governing Instruments	Includes correspondence relating to such items as constitutions, charters, by-laws, etc.
7-4	Judgment Rolls	
7-5	Judgments	
7-6	Judicial System	
7-7	Membership Rolls	
7-8	Payment Rolls	
7-9	Special Services	Includes services not specifically covered by another classification.
7-10	Tribal Government Development Program	
7-11	Tribal Planning	Includes comprehensive plans. 88888888
7-12	Youth Programs	

LEGAL AND LEGISLATIVE (LEG)

Use this outline for papers pertaining to the BIA legislative program, relations with Congress, and legal matters which are so general in nature that they cannot be filed under more specific subjects.

DO NOT use this outline for formal opinions, interpretations of specific legislation, or for actual claims and legal proceedings. Material of this nature should be filed in the appropriate case or project file.

LEG 1 General Policy

LEG 2 Reports and Statistics

LEG 3 Laws and Regulations

Use only for general material regarding Federal, state, and local laws and regulations including the Code of Federal Regulations, Federal Register, and Executive Orders/Proclamations which cannot be filed under a specific subject.

LEG 4 Claims, Litigation,
Appeals

Use only for general material on claims by or against U. S. Government, claims procedures, etc. File material regarding specific types of claims subjectively.

LEG 5 Congressional Activities
and Liaison

Use for routine correspondence with Senators; Representatives; and other Federal, state, and local legislative officials and committees which cannot be filed subjectively under other outlines.

LEG 5-1 Congressional
Committees

5-2 Investigations

Use only for material relating to investigations in general.

5-3 Visits

Use for visits by individual members of Congress and Congressional delegations. Includes briefing papers.

LEG 6 Legal Library

LEG 7 Legislation

Use for externally initiated proposals affecting Indians or Bureau operations.

LEG 8 Legislative Program

Use only for agency's overall legislative program, including bills introduced on behalf of and those affecting Bureau programs and operations.

LEG 8-1 Developing

8-2 Drafting

8-3 Planning

LEG 9 Opinions, Decisions,
Interpretations

Use only for general material which cannot be filed subjectively under other outlines.

LEG 10 Patents, Copyrights,
Trademarks

ORGANIZATION, PLANNING, & MANAGEMENT (OPM)

Use this outline for general correspondence related to the overall management and direction of the Bureau, including organization, policy and program planning, and management improvement.

OPM 1 General Policy

OPM 2 Reports and Statistics

OPM 3 Laws and Regulations

OPM 4 Committee Management

Includes general papers regarding committees and boards and assignments.

OPM 5 Delegations of Authority

Includes designations.

OPM 6 Emergency Plans

Use for material relating to continuation of operations in an emergency.

OPM 7 Goals and Objectives

OPM 8 Management Analysis Surveys
and Staff Studies

OPM 9 Management Improvement and
Cost Reduction

OPM 10 Management Meetings

General papers regarding staff or other management meetings.

OPM 11 Manpower Control and
Utilization

OPM 11-1 Manpower

11-2 Work Distribution

11-3 Work Measurement

11-4 Work Simplification

OPM 12 Organization -
Reorganization

Includes reorganization plans,
statement of functions, his-
tory and background of the
agency or office, determination
and jurisdiction of offices, etc.

OPM 13 Policy Plans

OPM 13-1 Long Range Plans

13-2 Short Range Plans

OPM 14 Policy Studies

OPM 14-1 Evaluations

14-2 Forecasts

OPM 15 Program Evaluation

Use for general papers regarding
the review and evaluation of
agency operations and programs.

OPM 16 Program Plans

OPM 17 Special Management Programs

Subdivide by name or type of
program if volume warrants

OPM 17-1 Energy Conservation

17-2 Safety

OPM 18 Visits

Includes general material regard-
ing trips by agency management
officials. Covers purpose of the
trip, itinerary, contacts, etc.

OFFICE SERVICES (OSV)

Use this outline for general correspondence regarding office service functions of communications, printing and reproduction, buildings and grounds, and personal property management associated with housing and equipping BIA employees.

- | | | |
|---------|--|---|
| OSV 1 | General Policy, Plans,
Coordination | Use for agency programs in general
and coordination between agencies. |
| OSV 2 | General Reports and
Statistics | Use for those which cannot be filed
under more specific subjects in this
outline. |
| OSV 3 | Laws - Regulations | |
| OSV 4 | Buildings and Grounds | Use for general material regarding
buildings and grounds for housing
BIA employees. |
| OSV 4-1 | Acquisitions | |
| 4-2 | Protection and
Security | |
| 4-3 | Space Assignment
and Utilization | |
| 4-4 | Utilities,
Maintenance,
Improvements | Includes cleaning, heating and air
conditioning, lighting and power,
moving, alterations, and painting. |
| OSV 5 | Office Equipment | |
| OSV 5-1 | Maintenance | |
| 5-2 | Procurement | |
| 5-3 | Repair | |
| 5-4 | Replacement | |
| OSV 6 | Personal Property
Accountability | |
| OSV 6-1 | Identification | |

- OSV 6-2 Inventory
 - 6-3 Stock Control
 - 6-4 Survey, Boards of
 - 6-5 Thefts and Losses
- OSV 7 Printing and Reproduction
 - OSV 7-1 Duplicating - Copying Service
 - 7-2 Graphic Services Includes artwork, design, drafting, etc.
 - 7-3 Printing and Binding
 - 7-4 Requisitions and Authorizations Use for general papers not regarding a specific requisition.
- OSV 8 Surplus and Excess Personal Property
- OSV 8-1 Acquisition
 - 8-2 Disposal
 - 8-3 Donation
 - 8-4 Transfer
 - 8-5 Utilization
- OSV 9 Telegraph, Teletype, Facsimile Services
- OSV 10 Telephone Facilities and Services
 - OSV 10-1 Directories
 - 10-2 Federal Telecommunications System (FTS)
 - 10-3 Installation
 - 10-4 Toll Calls - Long Distance

PERSONNEL (PER)

Use this subject outline for general correspondence concerning all phases of personnel administration including employment, employee relations, training and career development, security, etc.

DO NOT use for official personnel folders and other materials relating to the status or service records of individual employees. Such material should be filed in the appropriate case file.

PER 1 General Policy

PER 2 Reports and Statistics

PER 3 Laws - Regulations

PER 4 Attendance and Leave

PER 4-1 Annual Leave

4-2 Leave without Pay

4-3 Sick Leave

PER 5 Awards and Commendations

PER 5-1 Awards Committee

5-2 Commendations

5-3 Honor Awards

5-4 Suggestions

PER 6 Conduct and Discipline

PER 6-1 Conflicts of Interest

6-2 Disciplinary Actions

6-3 Gratuities and Favors

6-4 Political Activity

PER 7 Employee Relations and Services

PER 7-1 Appeals and Grievances

Use for general material on appeals system, policies and procedures for handling appeals, complaints, and grievances.

7-2 Campaigns and Drives

Includes general material on such activities as Combined Federal Campaigns, Savings Bond drives, blood donations.

7-3 Credit Union

7-4 Employee Organizations

Includes employee associations, social, welfare, and recreational activities.

PER 8 Employment

PER 8-1 Equal Employment Opportunity

Includes informal EEO communications which are potential grievances, and are resolved without a formal complaint being filed.

8-2 Former Employees

8-3 Job Retention and Restoration

8-4 Special Categories

Includes students, handicapped, veterans, experts, and consultants.

PER 9 Health and Medical Care

PER 9-1 Injuries and Claims

9-2 Medical and First Aid Services

PER 10 Hours of Duty

PER 11 Indian Preference

PER 12 Insurance and Annuities

PER 12-1 Group Life

12-2 Health Benefits

12-3 Retirement

PER 12-4 Unemployment
Compensation

PER 13 Labor-Management Relations

PER 13-1 Exclusive Recognition

13-2 Negotiation of
Agreements

PER 14 Pay Administration

PER 14-1 Deduction

14-2 Name and Record
Changes

14-3 Pay Increases

PER 15 Performance Evaluation

PER 15-1 Documentation and
Processing

15-2 Rating Panels
and Boards

15-3 Ratings and
Appraisals

15-4 Standards for
Production

PER 16 Personnel Program
Management

PER 16-1 Inspections

16-2 Surveys

PER 17 Personnel Security
and Suitability

PER 18 Position Classification

PER 18-1 Appeals

18-2 Job Descriptions

PER 18-3 Series and Standards

18-4 Surveys and Evaluations

PER 19 Position Management

PER 19-1 Personnel Ceilings

19-2 Staffing Patterns

PER 20 Promotion and Internal Placement

PER 20-1 Assignment and Details

20-2 Promotion and Demotion

PER 21 Recruitment, Selection, and Appointment

PER 21-1 Advertising and Publicity

21-2 Application for Employment

21-3 Appointment

Subdivide by type of appointment (competitive service, excepted service, etc.) if volume warrants.

21-4 Certification of Eligibles

21-5 Examination and Testing

21-6 Qualifications

21-7 Recruitments

PER 22 Safety Program (Employee)

PER 22-1 Accident Prevention

PER 22-2 Awards

22-3 Inspections and Surveys

PER 23 Separation and Displacements

PER 23-1 Death

23-2 Reduction-in-Force

23-3 Resignation

23-4 Retirement

23-5 Separation for Cause

23-6 Transfer Out

PER 24 Training and Career Development

PER 24-1 Career Planning and Counseling

24-2 Orientation

24-3 Technical Manuals and Seminars

24-4 Training Courses and Seminars

24-5 Training Facilities and Equipment

PER 25 Self-Determination Staffing

By BIA employees to work directly for or with tribes who contract for Bureau services.

PER 25-1 IPA Details

25-2 Transfer with Retained Benefits

25-3 Tribal Agreements for Direction of Bureau Employees

PROCUREMENT AND PROPERTY MANAGEMENT (PPM)

Use this outline for general correspondence related to the procurement and management of plant and equipment used to serve the needs of Indian people. See OSV for property management associated with serving BIA employees.

DO NOT use this outline for papers regarding a specific contract or procurement transaction. Material of this nature should be filed in the appropriate case file.

PPM 1 General Policy

PPM 2 Reports and Statistics

PPM 3 Laws - Regulations

PPM 4 Authorizations - Appointments Includes contracting officer.

PPM 5 Construction Management

 PPM 5-1 Construction Contracts

 5-2 Design

 5-3 Planning

PPM 6 Contract Administration

 PPM 6-1 Changes or Modifications

 6-2 Close-Out/
 Termination

 6-3 Cost/Billing Rates

 6-4 Monitoring

PPM 7 Contracting Review

 PPM 7-1 Evaluating Contracting Effectiveness

 7-2 Recommended
 Improvements

PPM 8 Contracting Training

- PPM 8-1 Training Bureau Personnel
- 8-2 Training Material Development
- 8-3 Training Sessions
- 8-4 Training Tribal Personnel

PPM 9 Contractors and Suppliers

- PPM 9-1 Bidders Mailing Lists
- 9-2 Buy Indian Program
- 9-3 Catalogs, Price Lists, and Schedules
- 9-4 Ineligible Bidders
- 9-5 Small Business and Minority Business

PPM 10 Contracts and Agreements

See ISD for activities related to Indian Self Determination activities. Subdivide by type, such as fixed price, cost reimbursement, rental, lease, interagency, etc. This category is intended for general correspondence regarding contracts and agreements, and not for the contracts themselves.

PPM 10-1 Clauses

10-2 Formats and Forms

PPM 11 Maintenance

Includes repair and improvement.

PPM 12 Property Management

PPM 12-1 Accountability -
Control

12-2 Acquisition

12-3 Disposal of Excess
Property

12-4 Protection and
Security

PPM 12-5 Space Assignment

12-6 Utilization

PPM 13 Safety Program

PPM 13-1 Inspections

13-2 Surveys

PPM 14 Solicitations, Bids,
and Awards

PPM 14-1 Award

14-2 Evaluation of
Bids/Proposals

14-3 Issuance of Invita-
tion for Bids/Request
for Proposals

14-4 Negotiation

PPM 15 Storage

PAPERWORK MANAGEMENT (PWM)

Use this subject outline for general material relating to paperwork and records management functions.

PWM 1	General Policy	Use for material relating to overall program, reduction of paperwork burden, etc.
PWM 2	Reports and Statistics	
PWM 3	Laws and Regulations	
PWM 4	Correspondence Management	Includes correspondence procedures and instructions, letter writing.
PWM 5	Directives (Issuance) Management	Use for material regarding systems for issuing policy and procedural information and guidance to agency personnel and outside the agency. DO NOT use for copies of published issuances.
PWM 6	Document and Information Security	Use for systems and procedures for handling and control of information and documents. Includes material regarding technical, administrative, and physical safeguards to ensure the confidentiality of records containing personal and proprietary information.
PWM 7	Forms Management	Use for material regarding forms clearance and control, design and development, analysis, storage, and distribution.
PWM 8	Mail Management	
PWM 9	Microfilm Management	

PWM 10 Records Disposition

PWM 10-1 Disposition Schedules

10-2 Records Retirement (FARC)

10-3 Statistical Reports of Records Holdings

Includes completed SF 136's and related papers.

PWM 11 Records Equipment & Supplies

PWM 12 Records Maintenance

Includes filing systems.

PWM 13 Reports Management

PWM 14 Vital Records

Includes correspondence, procedures, and instructions pertaining to records which are essential to BIA operations in an emergency situation.

PWM 15 Word Processing

Includes correspondence relating to production of written communications through the combined use of systems management procedures, automated technology, and accomplished personnel.

TRIBAL RESOURCES DEVELOPMENT (TRD)

Use this outline for general correspondence related to the development and management of programs to provide technical and financial assistance to enhance the economic development of Indian reservations, tribal organizations, and individuals.

TRD 1 General Policy

TRD 2 Reports and Statistics

TRD 3 Laws and Regulations

TRD 4 Agriculture

 TRD 4-1 Farm Management

 4-2 Forage Utilization

 4-3 Grazing Permits

Use only for correspondence relating to the general subject of grazing permits. Do not use for classifying permits themselves.

 4-4 On-Farm Development

 4-5 Permitted Land

Includes conditions, conservation, improvement, inventories, resources, and uses of the range. Break out topics if volume warrants.

 4-6 Range Management

 4-7 Soil Conservation

 4-8 Stocking Rates

 TRD 5 Commercial Enterprise Development

 TRD 5-1 Arts and Crafts

TRD 5-2	Business Grants	
5-3	Development Plans	
5-4	Feasibility Determinations	Includes marketing research and analysis.
5-5	Financing Sources	
5-6	General Services Administration (GSA) Contracts	Use only for correspondence about GSA contracts in general, and not for contracts themselves.
5-7	Hotels and Motels	
5-8	Indian Financing Act	
5-9	Indian-Owned Banks	
5-10	Indian Ownership	Includes Indian managership and entrepreneurship.
5-11	Location Inducements	Includes correspondence about locating plants and/or firms on reservations.
5-12	Market Promotion	Includes publicity.
5-13	Production Contracts	
5-14	Resource Inventories	
5-15	Small Business Administration (SBA) Contracts	Use only for correspondence about SBA contracts in general and not for contracts themselves.
TRD 6	Credit	Includes credit policy. Does not include financial activities associated with trust funds or individual Indian monies.
TRD 6-1	Direct Loans	
6-2	Guaranteed Loans	

TRD 6-3	Individual Assistance	
6-4	Insured Loans	
6-5	Interest Subsidies	
6-6	Revolving Loan Funds	
6-7	Technical Assistance to Borrowers	Includes credit counseling.
6-8	Tribe and Organization Assistance	
TRD 7	Employment Assistance	
TRD 7-1	Employment Security Agency Liaison	
7-2	Indian Unemployment	
7-3	Internship Programs	
7-4	Job Creation	Includes development of job opportunity.
7-5	Job Placement	
7-6	On-the-Job Training	
7-7	Placement Services	Includes transportation; maintenance; medical care; personal appearance; employment and family counseling; tools; emergency assistance; large family assistance.
7-8	Program Staff Services	Includes correspondence relating to employment assistance staffs.
7-9	Vocational Training	Use for training which involves a job placement - not career development training.

TRD 8 Forestry

TRD 8-1	Fire Prevention and Protection	Includes presuppression and wildfire suppression - fire-fighting.
8-2	Forest Development	
8-3	Forest Improvement	
8-4	Forest Protection	Other than fire protection.
8-5	Inventories	
8-6	Reforestation	
8-7	Timber Cutting Contracts	Use only for correspondence relating to the general subject of timber contracts and contracting. Do not use for classifying the contracts themselves.
8-8	Timber Cutting Permits	Use only for correspondence relating to the general subject of timber cutting permits. Do not use for classifying timber cutting permits themselves.
8-9	Timber Harvesting	
8-10	Timber Sales Administration	

TRD 9 Indian Action Teams (IAT's)

TRD 9-1	Activities
9-2	Contracts
9-3	Job Placements
9-4	Organization
9-5	Participants

TRD 10 Irrigation

TRD 10-1 Assessments

- | | | |
|------|-----------------------------|---|
| 10-2 | Distribution Systems | Includes operation and maintenance. |
| 10-3 | Indian Water Users | Also includes correspondence related to non-Indian water users. |
| 10-4 | Public Irrigation Districts | |
| 10-5 | Pumping Plants | |
| 10-6 | Reimbursable Costs | Also includes correspondence related to reimbursable costs. |
| 10-7 | Subsistence Garden Tracts | |
| 10-8 | Supply and Storage | |
| 10-9 | Water User Associations | |

TRD 11 Minerals and Mining

Subdivide by type of mineral if volume warrants; e.g., limestone, sands, gravel, sandstone, oil, natural gas, uranium, coal, copper, etc.

TRD 11-1 Development

- | | | |
|------|------------------------|-------------------------------|
| 11-2 | Exploration | Includes drilling operations. |
| 11-3 | Leasing and Permitting | |
| 11-4 | Lease Sales | |
| 11-5 | Marketing | |
| 11-6 | Mining Operations | |
| 11-7 | Resource Inventory | |

11-8 Royalties

Includes royalty rates and renegotiation.

TRD 11-9 Utilization

TRD 12 Power Resource Development

Includes correspondence related to the development of electrical power generating facilities on Indian lands; covers hydroelectric, nuclear, geothermal, solar, coal, oil, and gas fired plants. Subdivide by type if volume warrants.

TRD 12-1 Distribution

- 12-2 Federal Energy Administration (FEA)
Liaison
- 12-3 Finances
- 12-4 Permits
- 12-5 Plans
- 12-6 Plant Construction
- 12-7 Power Sales
- 12-8 Transmission

TRD 13 Transportation Development

Includes roads, bridges, airfields, and any other transportation facility operated by the Bureau.

TRD 13-1 Construction

- 13-2 Design
- 13-3 Road Maintenance

Includes preventive maintenance, snow removal, emergency repair work. If volume warrants, may be further broken down by road surface type -- paved surface, gravel surface, earth surface.

15 BIAM Supplement No. 3
Appendix 1
Page 48

TRD 13-4 Technical Support

Includes correspondence regarding the functions of technical support staff in assisting area and agency offices with computer operated services such as design services, equipment inventory services, and cost management services.

13-5 Transportation Analysis

TRD 14 Water Resources

TRD 14-1 Navajo Tribal Water Works Program

14-2 Pipelines

14-3 Special Nature Uses

14-4 Water Catchments

14-5 Water Conservation

14-6 Water Development Facilities

14-7 Water Quality

14-8 Water Resource Problems

14-9 Wells

14-10 Windmills

TRD 15 Wildlife and Parks

TRD 15-1 Conservation

15-2 Development

15-3 Fish and Wildlife Management

15-4 Habitat Improvement

15-5 Resources Identification

15 BIAM Supplement No. 3
Appendix 1
Page 49

TRD 15-6 Resources Quantification

15-7 Utilization

TRUST RESPONSIBILITIES (TRR)

Use this outline for general correspondence related to the development and management of programs concerning the Bureau's trust and legal responsibilities.

TRR 1 General Policy

TRR 2 Reports and Statistics

TRR 3 Laws and Regulations

TRR 4 Alaska Native Claims

Use this classification only for general correspondence related to the subject of Alaska Native Claims. Individual claim files are filed elsewhere under their own name or number.

TRR 4-1 Economic Needs of Natives

4-2 Land Claims Settlement

4-3 Social Needs

TRR 5 Financial Trust Services

TRR 5-1 Comparative Rates

5-2 Individual Indian Monies

5-3 Interest Rates

5-4 Investment Operations

5-5 Earnings

5-6 Per Capita Payments

5-7 Trust Funds

TRR 6 Navajo-Hopi Settlement Programs

TRR 6-1 Boundary Surveys

TRR 6-2 Conservation Practices

- 6-3 Court Costs
- 6-4 Fencing
- 6-5 Land Treatment
- 6-6 Legal Fees
- 6-7 Range Restoration
- 6-8 Stock Reduction
- 6-9 Water Development

TRR 7 Protection of Indian Trust Rights

- TRR 7-1 Boldt Decision
- 7-2 Boundary Disputes
- 7-3 Contractual Rights
- 7-4 Fishing Rights
- 7-5 Hunting Rights
- 7-6 Litigation Support
- 7-7 Sovereignty of Tribal Units
- 7-8 Treaty Rights
- 7-9 Trespass
- 7-10 Water Rights

Includes tax immunity, tax exemption, and other sovereign rights.

Use for treaty rights other than those specifically identified.

TRR 8 Real Estate Trust Services

Includes correspondence related to Indian trust property in general. Papers related to specific actions will be filed in the appropriate case file series.

TRR 8-1 Acquisition

- TRR 8-2 Disposal
- 8-3 Exchange of Interests
- 8-4 Land Use Planning
- 8-5 Leases
- 8-6 Partitions
- 8-7 Probate Activities
- 8-8 Protection of Trust Lands
- 8-9 Real Property Management
- 8-10 Title Management
- 8-11 Valuation Counseling

TRAVEL AND TRANSPORTATION (TRV)

Use this subject outline for general correspondence on policies and procedures regarding the travel of individuals and movement of household goods; the shipment of equipment, supplies, and materials; and the acquisition, maintenance, use, and disposition of motor vehicles.

TRV 1 General Policy

TRV 2 Reports and Statistics

TRV 3 Laws - Regulations

TRV 4 Freight and Express
Shipments

TRV 4-1 Bills of Lading Use for procedures regarding preparation and submission.

4-2 Carriers Includes general information on rates, fares, tariffs, routes, and schedules.

4-3 Claims Loss and damage etc. Do not use for the claims themselves.

TRV 5 Government Vehicles

TRV 5-1 Accidents

5-2 Assignments and Use

5-3 Credit Cards

5-4 Motor Pool Liaison

5-5 Motor Vehicle
Reporting

5-6 Operator Permits Includes tests and licenses.

TRV 6 Itineraries and
Reservations

TRV 7 Local Transportation

Includes use of taxis, tokens, etc.

TRV 8 Permanent Change of
Station

Includes transportation of personal and household effects.

TRV 9	Travel Allowances	Includes per diem and mileage rates, travel advances, etc.
TRV 10	Travel Orders/ Authorizations	Use only for general material of a regulatory or procedural nature. Includes transportation requests.
TRV 11	Travel Vouchers	Use for procedures regarding preparation and submission. For accounting aspect see BFA.

APPENDIX 2. RECORDS DISPOSITION SCHEDULES

Part 1. RECORDS COMMON TO MOST OFFICES

- Section 1. Nonrecord and Transitory Material
- *Section 2. General Correspondence (Subject) Files

Part 2. PLANNING AND MANAGEMENT RECORDS

- *Section 1. Executive Management Files
- *Section 2. Program Planning, Management and Evaluation Files
- *Section 3. Paperwork Management Files

Part 3. ADMINISTRATIVE SUPPORT RECORDS

- Section 1. Emergency Preparedness Files
- Section 2. Communications Files
- Section 3. Publications Management, Printing and Reproduction Files
- Section 4. Art, Graphics, and Photograph Files
- Section 5. Mail, Messenger and Distribution Files
- Section 6. Security and Safety Files
- *Section 7. Property and Space Management Files
- *Section 8. Travel, Transportation and Motor Vehicle Files
- *Section 9. Building and Utilities Files

Part 4. PERSONNEL MANAGEMENT RECORDS

- *Section 1. General Personnel Program Files
- Section 2. Employment Files
- Section 3. Employee Performance and Utilization Files
- *Section 4. Position Classification and Job Evaluation Files
- Section 5. Employee Relations and Services Files
- Section 6. Employee Training Files

Part 5. INFORMATION AND PUBLIC RELATIONS RECORDS

- Section 1. Publicity and Promotion Files
- *Section 2. Congressional Relations Files

*Part 6. LEGAL AND LEGISLATIVE RECORDS

Part 7. FINANCIAL MANAGEMENT RECORDS

- *Section 1. General Financial Files
- *Section 2. Budget Files
- *Section 3. Accounting and Disbursement Files
- *Section 4. Payroll Files
- *Section 5. Control and Trust Account Files
- *Section 6. Indian Services Special Disbursing Agent Files

Part 8. CONTRACTING AND PROCUREMENT RECORDS

- *Section 1. Procurement Files
- *Section 2. Contract Administration Files

Part 9. AUTOMATIC DATA PROCESSING RECORDS

- Section 1. System Documentation Files
- Section 2. Data Automation Files
- Section 3. Program Planning and Evaluation Files
- Section 4. Finance Files
- Section 5. Payroll Files
- Section 6. Personnel Files
- Section 7. Property Files
- Section 8. Tribal Files
- Section 9. Plant Files
- Section 10. School Files
- Section 11. Roads Files
- Section 12. Land Files

Part 10. AUDIT AND INVESTIGATION RECORDS

- Section 1. Audit General Files
- *Section 2. Internal Audit Files
- *Section 3. External Audit Files
- Section 4. Investigation Files

Part 11. TRUST RESPONSIBILITIES RECORDS

- Section 1. Trust Administration General Files
- *Section 2. Environmental Quality Files
- *Section 3. Irrigation Facilities Files
- *Section 4. Agriculture, Soil and Moisture Conservation Files
- *Section 5. Land Management Files
- Section 6. Estate and Probate Files
- *Section 7. Forestry and Timber Management Files
- *Section 8. Range Management Files
- *Section 9. Indian Trust Fund Files

Part 12. TRIBAL RESOURCE DEVELOPMENT RECORDS

- *Section 1. Business Enterprise and Credit Financial Assistance Files
- *Section 2. Job Placement and Training Files
- *Section 3. Transportation and Roads Files

Part 13. INDIAN SERVICES RECORDS

- *Section 1. Human Needs Files
- Section 2. Housing Services Files
- Section 3. Law Enforcement Services Files

Part 13. INDIAN SERVICES RECORDS (Continued)

- *Section 4. Tribal Planning Services Files
- Section 5. Social Services Files
- *Section 6. Tribal Government Services Files
- *Section 7. Agriculture Extension Services Files
- Section 8. Indian Self-Determination Services Files

Part 14. INDIAN EDUCATION RECORDS

- Section 1. Education General Files
- *Section 2. School Operations Files
- Section 3. Education Assistance Files
- Section 4. Continuing Education Files
- *Section 5. School Facilities Files
- *Section 6. Evaluation, Research and Development Files

- * Sections include items marked with an asterisk (*) that are to be temporarily frozen (not destroyed) until further notice in accordance with a request from GSA--Office of Finance, Indian Trust Accounting Division. The Indian Trust Accounting Division is currently examining records required in Indian Trust litigation. An annual review of these records will be made by the BIA Records Management Officer and GSA to decide what records are no longer needed for GSA examination. Offices will be notified whenever a schedule item is released from the freeze.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 4

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	<p>PART 1. RECORDS COMMON TO MOST OFFICES</p> <p>This Part lists those records and nonrecord materials which are accumulated in many offices of the Bureau. <u>All offices must</u> be thoroughly familiar with all items in Part 1, but they only need to know those sections of the latter parts that are appropriate to the mission of their particular office. Records in this Part can be conveniently divided into two sections. Section 1 is primarily a list of nonrecord material (extra copy files, convenience files, reference material, etc.). Section 2 lists the General Correspondence (Subject) files. Remember that files should be maintained in file drawers in the same sequence as shown in these schedules.</p> <p>SECTION 1. NONRECORD AND TRANSITORY MATERIAL</p> <p>This Section (all schedule numbers beginning with 101) defines the types of materials which are considered as records of short-term value or nonrecord, and provides standards for disposing of such material in all BIA offices. Nonrecord materials consist of the following:</p> <ul style="list-style-type: none"> (1) <u>Copies</u> of correspondence, reports, etc. retained in the office for information and reference, (when the originals, which are the only <u>official records</u>, are maintained in a separate BIA office having primary interest). (2) Printed or processed materials of which only the single master copy is considered official record. 		

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 5

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
(3)	<p>Papers of a temporary nature which cease to have any documentary or evidential value after their contents are incorporated or adequately summarized in other documents, e.g., preliminary drafts, shorthand notes, worksheets, etc.</p> <p>This type of material accumulates in offices as a convenience to personnel, but should be kept to a minimum. Maintenance of most of the file series described in this Section is optional. Do not establish an extra copy convenience file unless there is a real need. In the past, nonrecord material has been found interfiled with official papers. This is a poor files maintenance practice. Retention of nonrecord material is not required by law or regulation. When it is no longer needed it should be destroyed. Ideally much of this material should be destroyed <u>without filing</u>. If, however, nonrecord material is filed, it must be kept separately from official records.</p>		<p><u>NOTE: No material in this Section should ever be sent to a Federal Archives and Records Center.</u></p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 6

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	LOCATION	FILE NUMBER	DISPOSAL INSTRUCTIONS
101-01	<u>FILES MAINTENANCE AND DISPOSITION PLANS.</u> Documents such as the current "Files Maintenance Plan" for the file station, Designation of Files Custodian, copy of records transmittals (SF-135), and other information about the files accumulated at the particular file station. Normally all contents can be retained in chronological order in a single file folder. The current "File Plan" should be fastened to the left side of this folder.	All		Retain all current documents. Destroy all obsolete material.
101-02	<u>READING OR CHRONOLOGICAL FILES.</u> Extra copies of all or selected outgoing correspondence originated in the unit used solely as a reading or reference file for the convenience of personnel. Exception: (Applicable only to Commissioner of Indian Affairs.) The Commissioner's chronological file of outgoing correspondence is covered by schedule number 201-04 and is designated as permanent.	All		Cut off at close of fiscal year. Destroy 1 year after cutoff or after reference value has been exhausted, whichever is sooner.
101-03	<u>SUSPENSE FILES (TICKLER FILES).</u> Nonrecord extra copies of documents set aside to assure action by a specified date, and other cards, notes or papers used as reminders that an action is required. Also may occasionally include a paper being held temporarily for reference, which may be destroyed on a given date. Normal arrangement is with a 31-unit "work organizer" folder by due date. Use whatever arrangement is suitable for your office activity but assure that no record material is included. Examples of papers in suspense files are:			

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 7

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
101-04	<ul style="list-style-type: none"> a. A note, card, control form, or other reminder to submit a report or to take some other action. b. An extra copy of an outgoing communication, filed by the date on which a reply is expected, or copy of incoming document filed by the date action is needed in own office. c. Papers which may be destroyed in 30 days or less as being without further value. <p><u>TRANSITORY FILES.</u> Papers of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are shown below:</p> <ul style="list-style-type: none"> a. Requests for Information or Publications. Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply, such as requests for publications or other printed material. b. Letters of Transmittal. Letters of transmittal that do not add any information to that contained in the transmittal material. c. Quasi-Official Notices. Memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar papers. 	All	<p>Destroy after action is taken. Withdraw papers when reply is received or action taken and destroy.</p> <p>Destroy on date under which suspended.</p> <p>Destroy after 90 days as described at left.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 8

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	<p>Transitory (JAN-MAY-SEP) Transitory (MAR-JUL-NOV) Transitory (FEB-JUN-OCT) Transitory (APR-AUG-DEC)</p> <p>A folder is used for each month. At the beginning of each month, the folder used the previous month is placed behind the other three, until all four folders have been used. At the beginning of the fifth month, the contents of the folder containing the oldest material are destroyed and the folder is reused for the current month. If volume is too large for four folders, additional four-folder sets may be created for specific types of material as required.</p>		<p>Destroy when work is completed or when no longer needed for operating purposes.</p>
101-05	<p><u>ROUTINE CONTROL FILES.</u> Papers used to facilitate or control work in progress, such as job control records, status cards, routing slips, work processing sheets, and records which control work flow and record action taken.</p>	All	<p>Destroy papers when superseded, or no longer needed for reference.</p>
101-06	<p><u>OFFICE ORGANIZATION REFERENCE FILES.</u> Documents relating to the organization and function of an office. Included are copies of organization and functional charts and statements; documents relating to office staffing, functional assignments, and changes. Normally all papers can be kept in a single file folder.</p>	All	<p>Destroy when organizational unit is discontinued or when documents become obsolete or are no longer needed for operating or reference purposes.</p>
101-07	<p><u>POLICY AND PRECEDENT REFERENCE FILES.</u> Copies of documents establishing policy or precedents pertinent to future and continuing actions. Normally, policy and precedent files are maintained at operating levels and consist of extra copies of operating procedures, statements of policy or procedure, examples of typical cases, and other documents duplicated in official files. Original or official record copies</p>		

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 9

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	will NOT be placed in this file. This file consists of nonrecord copies maintained <u>only</u> for convenience of reference.		Cut off at close of fiscal year. Destroy after 2 years.
101-08	EMPLOYEE TRAVEL FILES. Correspondence, request, travel authorizations and orders, itineraries, copies of travel vouchers, and similar papers pertaining to employee travel exclusive of records maintained for accounting purposes (Item 703-01). Arranged alphabetically by name of traveler.	All	Destroy documents when superseded or no longer applicable. When employee leaves agency, the unofficial folder will be forwarded to the office maintaining official personnel folder for screening and destruction of contents.
101-09	OFFICE INDIVIDUAL PERSONNEL FILES. Unofficial personnel folders maintained in the office which consist of documents which are <u>duplicates</u> of papers placed in Official Personnel Folders maintained in BIA Personnel Offices or which are not appropriate for inclusion in the Official Personnel Folders. Records generally limited to information on experience, education, training, special qualifications and skills, position descriptions, performance appraisals, and conduct.	All	Keep copies at minimum necessary for official reference use. Destroy when superseded, obsolete or no longer needed for reference.
101-10	AGENCY DIRECTIVES AND PUBLICATIONS - REFERENCE COPIES. Copies of Bureau internal and external regulations, directives, publications; and Department of Interior manual releases, bulletins, circulars, pamphlets, and public relations material. Arranged as prescribed in directive system.	All	Destroy when superseded or obsolete, or in the case of bound volumes, when not needed for library purposes.
101-11	PUBLICATIONS OF OTHER GOVERNMENT AGENCIES. Copies of Congressional documents, OMB Circulars, Code of Federal Regulations, Federal Register, GSA publications, etc. Maintain list in file folder and actual publication on shelving or use other appropriate equipment if volume is large.	All	

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 10

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
101-12	<u>NON-GOVERNMENT PUBLICATIONS.</u> Publications of commercial firms, private institutions, and vendors, including catalogs, brochures, price lists, and similar publications. Maintain list in file folder and actual publication on shelving or use other appropriate equipment if volume is large.	All	Destroy when superseded or obsolete.
101-13	<u>LIBRARY MATERIALS.</u> Books, pamphlets, journals, and similar materials (originating outside of BIA) which are maintained for reference. Arrangement is optional. Maintain list in file folder but keep materials on shelving.	All	Disposal is authorized when superseded, obsolete, or no longer needed for reference. If library is available, refer items of potential value to librarian for disposition.
101-14	<u>TECHNICAL REFERENCE MATERIAL.</u> Copies of reports, studies, special compilation of data, drawings, periodicals, clippings, etc., which are needed for reference and information purposes but are not made a part of official files. Prepared internally and externally. Arrangement is optional but it should follow the same basic principles used in a library.	All	Review at least annually. Destroy material of no further reference value.
102-01	"MISSION" CORRESPONDENCE FILES. Mission correspondence files document the functions and responsibilities for which an office is primarily responsible.	All	The records described below consist of originals or copies of correspondence, reports, forms, and other materials of a general nature on a wide variety of subjects. These materials are arranged according to the Subject Classification System contained in Appendix 1 of this handbook.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 11

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	a. Program Mission Correspondence Files directly related to the primary functions of BIA such as Indian Education, Tribal Resource Development, Indian Services, Trust Responsibilities, etc.		Permanent. Cut off annually at close of fiscal year. Hold 3 years or until volume warrants and retire to FARO. Offer to NARS 20 years after retirement.
	(1) Program Mission Files accumulated and maintained at the Division Level or above in BIA Central Office and by Area Directors in the field. 23 cu. ft./yr.		Cut off annually at close of fiscal year. Hold 3 years or until volume warrants and retire to FARO. Destroy 20 years after cutoff.
	(2) Program Mission Files maintained at Branch level and below in the Central Office and offices below the Area Director in the field.	*	Cut off annually at close of fiscal year. Hold 3 years or until volume warrants and retire to FARO. Destroy 20 years after cutoff.
	b. Administrative Mission Correspondence Files related to administrative support activities such as personnel, procurement, property, transportation, travel, communications, and similar internal administrative management functions.		Cut off annually at close of fiscal year. Hold 3 years or until volume warrants and retire to FARO. Destroy 8 years after cutoff.
	(1) Administrative Mission Files accumulated and maintained at the Division Level and above in the Office of Administration (Central Office).	*	Cut off annually at close of fiscal year. Hold 3 years or until volume warrants and retire to FARO. Destroy 8 years after cutoff.
	(2) Administrative Mission Files maintained at other levels of BIA.	*	Cut off at close of fiscal year. Destroy 2 years after cutoff.
102-02	"NON-MISSION" CORRESPONDENCE FILES. Non-mission correspondence files include correspondence, reports, forms, and other papers which are accumulated in an office but do not directly relate to the function or	All	

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 12

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	mission for which the office exists. They generally include: (1) copies of papers relating to program subjects for which another office is responsible for documentation, and (2) papers relating to routine internal management or general administration (i.e. "housekeeping") functions of the office. The office housekeeping papers will consist of general correspondence regarding facilities, supplies, equipment, office financial matters, travel, property, and personnel management.		

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 13

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
201-01	<p>PART 2. PLANNING AND MANAGEMENT RECORDS</p> <p>SECTION 1. EXECUTIVE MANAGEMENT FILES</p> <p><u>BUREAU COMMITTEE MANAGEMENT FILES.</u> Documents created in Central Office for the establishment, review, coordination, continuance or dissolution of joint, interagency, intra-agency, and extra-governmental committees, including task forces, councils, boards, commissions, panels, and comparable groups. The coordination and review is to prevent overlap and duplication, preclude committee establishment when normal staff action will suffice, and to apply other management practices to committees. Included are committee establishment proposals, approvals, papers reflecting changes in committee membership, committee charters, reports on establishment and composition, and related papers. Arranged alphabetically by committee name. Record copy retained by Bureau Committee Management Officer in Central Office.</p>	C.O.	<p>Cut off upon discontinuance of committee or disapproval of establishment of committee. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff. Destroy duplicate copies when no longer needed for reference.</p>
201-02			<p><u>BUREAU COMMITTEE OPERATIONS FILES.</u> Files may include, but are not limited to an issuance or charter establishing the committee, a resume of major points of interest concerning committee meetings and the general operations, a terminating issuance, and a final committee report and finding. They may also include copies of minutes of meetings, the agenda, and other papers relating to the establishment, revision, or termination of individual studies and/or projects. Record copy is to be retained by Bureau Committee Management Officer at Central Office; or by Area Director, Area Division Director or Agency Superintendent when the Superintendent's Office is the office of origin. Arranged alphabetically by</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 14

NUMBER	DESCRIPTION OF RECORDS	LOCATION	DISPOSAL INSTRUCTIONS
	<p>committee title name.</p> <p>a. Committee chairman, secretarial, or recorder's files which are designated as "official record" by Bureau Committee Management Officer according to guidelines in 5 BIAM 5.1, Committee Management. ca. 2-3 cu.. ft./yr.</p> <p>b. Member's records and duplicate copies.</p>	Diff	<p>PERMANENT.</p> <p>Cut off upon completion of committee action or termination of committee, as appropriate. Hold 3 years and retire to FARC. Offer to NARS 20 years after cutoff.</p> <p>Destroy when purpose has been served or after 1 year, whichever is sooner, except that informational copy of minutes of meetings which relates to another official file series; these will be disposed of with the records to which they pertain.</p>
		Diff	<p>Cut off file at close of fiscal year when committee is dissolved. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff.</p> <p>Destroy when no longer needed for reference.</p>
201-03 *	<p><u>AREA AND FIELD OFFICE COMMITTEE MANAGEMENT FILES.</u></p> <p>Documents created in Area and Field Offices for the establishment, use and termination of committees within the organizational jurisdiction of the Area Director or Agency Superintendent. Records created include joint, interagency and extra-governmental committees, including forces, councils, boards, commissions, panels and comparable groups. Included also are committee establishment proposals, approvals, papers reflecting changes in committee membership, committee charters, reports on establishment, composition and related papers. Arranged by committee name, thereunder by appropriate geographic location and year. Maintained by Office of Area Director, Area Division Level Offices or Agency Superintendent Offices. Record Copy retained by office of origin.</p>	Area Agcy	

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 15

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
201-04	<p><u>COMMISSIONER CHRONOLOGICAL FILES.</u> Chronological file consisting of extra copies of outgoing correspondence signed by the Commissioner of Indian Affairs and extra copies of significant letters dispatched at lower levels but forwarded to the Commissioner for personal information.</p> <p>SECTION 2. PROGRAM PLANNING, MANAGEMENT AND EVALUATION FILES</p>	C.O.	<p>Permanent. Cut off at close of fiscal year. Retire to FARC after 3 years or when volume warrants. Offer to NARS 20 years after retirement.</p>
202-01	<p><u>MANAGEMENT OBJECTIVES FILES.</u> Documents that accumulate from the process of establishing short-, mid-, and long-range management objectives for the Bureau of Indian Affairs. Included are documents reflecting the establishment of schedules to accomplish objectives, the formulation of new concepts and requirements for planning purposes, and the evaluation of progress and accomplishments in meeting the management objectives established by the Plans. Record copy retained by Central Office of origin. Arranged according to plan type or name.</p> <p>a. Bureau Central, or Staff Office responsible for preparation of the plan.</p>	C.O.	<p>Cut off at close of fiscal year in which plan is superseded. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff. Destroy when obsolete or when not needed for reference.</p>

*

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 15 1 a

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
		FILE LOCATION	DISPOSAL INSTRUCTIONS
	b. Comments by Coordinating Office or duplicate copies.	Diff	Destroy when obsolete or when not needed for reference.
202-02*	ORGANIZATION PLANNING FILES. Documents relating to the establishment of policy and changes in organization, functions, and relationships of the BIA when such actions affect, or may affect, the management and operation of the agency. Included are staff studies, organizational and functional charts, reports of working groups, minutes of committee or task force meetings and staff conferences, documents relating to overall functions and mission, copies of published issuances implementing establishment or change, and related or similar documents.	C.O.	Permanent. Cut off at close of fiscal year in which case is completed. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
202-03	ORGANIZATION PLANNING WORKING FILES. Background materials, drafts, interim and copies of progress reports, and related papers accumulated in organization planning projects and surveys. Arranged as appropriate.	C.O.	Destroy 6 months after final action on project report or 3 years after completion of report if no final action is taken.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 16

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
202-04*	<u>DEVELOPMENT PLANS AND PROGRAM RECORDS.</u> These are case files on long-range development plans such as 10 and 20 years plans; OEDP's Tribal 701 Plans, Judgment Distribution Plans and other types of comprehensive development plans prepared by the Bureau or the tribe or jointly and having importance to Bureau mission accomplishments. Record copy is to be retained by office of origin. Arranged as appropriate by case number, location or project type.	C.O. Area Agency	Permanent. Cut off at close of fiscal year in which plan is accomplished. Hold 3 years or until volume warrants and retire to NARS to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
202-05*	<u>PROGRAM EVALUATION PROJECT FILES.</u> Documents accumulated in evaluating Bureau program efforts to determine if goals were achieved, to assess the effectiveness of the program, and to identify successful and unsuccessful projects. Included are copies of reports, questionnaires, and other data; evaluation of guidelines and procedural documents; progress reports and other papers reflecting status of project; working papers background materials, and similar papers; copy of final evaluation report. An official file copy of the final published report of the evaluation project shall be preserved permanently by office of origin, as required by Schedule 303-01. Arranged by project number.	C.O. Area	Cut off at close of fiscal year in which evaluation project is completed. Hold 3 years and retire to FARC. Destroy 10 years after cutoff. Destroy duplicate copies when no longer needed for reference.
202-06	<u>MANAGEMENT SURVEY CASE FILES.</u> These consist of staff studies or management improvement projects regarding analyses of administrative policies and procedures, manpower surveys, organization and standardization		

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 17

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS	
			DIFF	
	studies, workload and work distribution analyses, and similar studies. Includes papers authorizing the project and describing its scope, purpose, and objectives; intermediate progress reports and correspondence; the finished survey report and actions taken as a direct result of the survey. Accumulated by the office conducting the survey, or the office sponsoring a contract for survey services. Record copy maintained by office of origin in Central Office Division or Staff Level Office, Area Directors, or Agency Superintendents. Arranged by case number, or by survey type.	*		Cut off at close of fiscal year in which action is completed on survey. Retire to FARC if volume warrants. Destroy 10 years after cutoff.
	a. Office conducting the survey or office sponsoring the contract to perform survey services.		Diff	Destroy on completion of next comparable survey or when no longer required for reference.
	b. Office surveyed except as specified in a., and duplicate copies.		Diff	Destroy on completion of next comparable survey or when no longer required for reference.
202-07	<u>MANAGEMENT SURVEY BACKGROUND FILES.</u> Documents created or accumulated in the collection of data for or during a management survey or staff study. Included are notes, copies of statistical data, feeder reports, working papers, copies of directives and local operating procedures, charts, personnel data, and similar material collected for fact-finding or back-up purposes. Arranged as appropriate by subject and tribe.		Diff	Cut off at close of fiscal year in which survey is completed. Destroy when no longer needed for reference, except in no case will files be retained longer than 3 years after completion of all action on report.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 18

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
202-08	<u>REPORTS OF AREA DIRECTORS TO CENTRAL OFFICE.</u> Annual narrative reports with related data on Bureau activities and programs. Arranged chronologically, thereunder by report subject and location. a. Record copy maintained by Central Office requesting the report. b. Area Copies. c. Agency copies.	C.O.	<u>Permanent.</u> Cut off at close of fiscal year. Hold 10 years and retire to FAR C when volume warrants. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference. Destroy 10 years after submission date.
	<u>SPECIAL OR NON-RECURRING MANAGEMENT REPORTS.</u> Significant, special, or non-recurring reports concerning direction of BIA program operations. Arranged by report type, thereunder by location and date. Record copy to be retained by office of origin.	Area Agency	<u>Permanent.</u> Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FAR C. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference. Destroy 5 years after submission date.
202-09	<u>BIA HISTORICAL REPORTS.</u> Annual narrative and statistical reports and related correspondence which reflect the accomplishments of BIA programs. Arranged chronologically. Record copy is to be retained by office of origin.	Area	<u>Permanent.</u> Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FAR C. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 19

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
202-11	AREA AND FIELD OFFICE HISTORY FILES. Narrative and statistical accounts of the history of Area and Field Offices. They include original correspondence, reports, and maps of building locations on agency compound. Arranged by location, thereunder by report type and chronologically. Record copy is to be retained by office of origin.	Area Agcy	<u>Permanent.</u> Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
203-01	PAPERWORK MANAGEMENT FILES <u>PAPERWORK MANAGEMENT LIAISON OFFICER DESIGNATIONS.</u> Documents reflecting name and information about individuals designated to perform paperwork management duties in specific organizational entities of the Bureau. Includes designations for Issuances Management Officers, Records Liaison Officers, Forms Liaison Representatives, and similar representatives. Maintained by BIA Records Officer.	C.O.	Destroy when superseded by a new designation or when obsolete.
203-02	BUREAU ISSUANCES (DIRECTIVES) MASTER SET. Consists of the designated "master" copy of all BIA official issuances (including superseded items). Maintained by BIA Records Officer (for all Central Office issuances), by Area Records Officers (for Area Office issuances) and Agency Administrative Managers or equivalent (for Agency or other field offices). Arranged in loose leaf binders in accordance with the BIA Issuance (Directives) System.	Diff	<u>Permanent.</u> Place in inactive file when canceled or superseded. Retire to FARC when no longer needed for reference. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 20

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
203-03	<u>ISSUANCE CASE HISTORY FILES.</u> Documents relating to the preparation, review, clearance, publication, and distribution of BIA internal and external issuances. Includes material regarding clearance and concurrence of draft issuances and other coordinating actions, revisions, and cancellations, and the signed copy of the final issuance. Arranged by issuance identification number. Maintained by Central, Area, or Agency Records Officer. Record copy is maintained by Records Management Officer at the level at which issued.	Diff	Cut off at close of fiscal year. Place in inactive file when directive is rescinded, superseded, or obsolete. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff. Destroy duplicate copies when no longer needed for reference.
203-04	<u>FORMS FUNCTIONAL FILES.</u> A collection of forms used to assist in taking forms management actions such as determining whether new forms should be developed and approved and whether existing forms should be consolidated or replaced by other forms. Included are copies of each form used within the area served by the Forms Management Office. Arranged by function name, thereunder by form number and name. Maintained by Central, Area, or Agency Records Officer.	Diff	Destroy when form is superseded or discontinued.
203-05	<u>FORMS NUMERICAL FILE.</u> Case history files containing copies of each form and revision request for approval and justification, copies of prescribing issuance, clearance reprint authority, and related correspondence. Record copy is to be maintained by office of origin. Arranged numerically.	Diff	Cut off at close of fiscal year. Place in inactive file when form is superseded or becomes obsolete. Hold 2 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff.
203-06	<u>FORM REGISTERS.</u> A register or card system used to record and control the assignment of form numbers. Arranged as appropriate.	Diff	Destroy individual register sheets when all forms entered thereon are cancelled, superseded, or transferred to new sheet or when no

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 21

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
203-07*	<u>RECORDS DISPOSITION AUTHORIZATIONS FILES.</u> Originals of documents created only by the BIA Records Management Office in requesting authority from GSA-NARS for the disposal of records. Included are Standard Form 115, Request for Authority to Dispose of Records, or similar forms, correspondence, and related papers. Arranged as appropriate. Record copy is maintained by Central Office.	C.O.	longer needed. Cut off at close of fiscal year. Retire to FARC when volume warrants. Destroy 20 years after cutoff. Destroy duplicate copies when no longer needed for reference.
203-08	<u>REPORTS CONTROL CASE FILES.</u> Case files maintained for each report created, canceled, or superseded. Documents reflect actions taken in evaluating the requirements for approving and controlling specific reports. Included are applications for approval of reports, copies of pertinent forms or descriptions of format; copies of the requirement issuance; preparation instructions, documents relating to continuance, revision, or other changes to the report; and other correspondence, evaluations, and similar papers relating to the reports. Case files are maintained by BIA Central Office with reports control authority. Arranged alphabetically or numerically.	C.O.	Cut off at close of fiscal year in which report is discontinued. Destroy 3 years after cutoff.
203-09	<u>REPORTS CONTROL RECORD CARDS.</u> Card files showing pertinent information about the report such as dates initiated, approved, discontinued; frequency; office of primary interest; preparing element; specific recipients; and similar data. Filed numerically by Report Control Symbols.	C.O. Area	Cut off when report is discontinued, canceled, or superseded. Destroy 1 year after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 22

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
203-10	<u>REPORTING REQUIREMENTS REGISTERS.</u> Documents used for perpetual inventory of all reports issued under the Reports Management System. Included are cards, register sheets, catalogs, or similar documents. Arranged numerically.	Diff	Cut off at close of fiscal year. Withdraw and place in an inactive file on discontinuance of the reporting requirement or on revision of the reports control symbol. Destroy when no longer needed for controlling the assignment of new reports control symbols.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 23

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	PART 3. ADMINISTRATIVE SUPPORT RECORDS <p>SECTION 1. EMERGENCY PREPAREDNESS FILES</p> <p><u>EMERGENCY PLANNING CASE FILES.</u> Case files consist of emergency operating plans which provide for continuity of agency operations and other background papers such as changes to plan, coordinating actions, and other documents. Arranged by file type, therunder numerically. Maintained by Central Office Division Level Offices, Offices of the Area Directors and Agency Superintendents.</p> <p>a. Case file maintained by office responsible for preparation and issuance of plan which includes record copy of plan.</p> <p>b. Copies of plans other than those maintained in case files above.</p>		
301-01	<p><u>EMERGENCY TEST AND EXERCISE FILES.</u></p> <p>a. Consolidated or comprehensive reports reflecting agency-wide results of test conducted under emergency plans. Arranged numerically. Maintained in Central Office.</p> <p>b. Other papers accumulating from emergency operations tests such as instructions to participants, staff assignments, messages, tests of communications and facilities, and copies of reports.</p>	Diff Diff	Cut off when superseded or obsolete. Hold 3 years or until volume warrants and retire to FARC. Destroy when superseded, obsolete, or no longer needed for reference.
301-02	<p><u>EMERGENCY TEST AND EXERCISE FILES.</u></p> <p>a. C.O.</p> <p>b. C.O.</p>		Cut off at close of fiscal year in which test is completed. Hold 3 years or until volume warrants and retire to FARC. Cut off at close of fiscal year in which test is completed. Destroy 3 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 24

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	SECTION 2. COMMUNICATIONS FILES		
302-01	<u>TELEPHONE DIRECTORY FILES.</u> Correspondence, forms, and other records relating to the compilation of telephone listings and directories. (NOTE: Retain one copy of each published directory in accordance with Publication Master Files procedures, Schedule 303-01.)	Diff	Destroy 3 months after issuance of directory.
302-02	<u>ORIGINAL MESSAGE (TELETYPE) FILES.</u> Copies of incoming and original authenticated copies of outgoing messages maintained for locator purposes, transmission checks, evidence of receipt, and other administrative purposes. Arranged chronologically.	Diff	Cut off monthly. Destroy 1 year after cutoff.
	SECTION 3. PUBLICATIONS MANAGEMENT, PRINTING, AND REPRODUCTION FILES		
303-01	<u>PUBLICATIONS MASTER FILES.</u> Official file copy of each BIA publications such as technical reports, booklets, pamphlets, posters, monographs, or other materials published by the Central, Area, or Agency Offices. Includes also one official file copy of publications prepared by contractor. Official file copy is maintained by the office responsible for the preparation and issuance or requiring the grantee/contractor preparation. Publications in this file will be distinctly marked "Record Set" and will not be charged out. Arranged by publication type, then chronologically.	Diff	<u>Permanent.</u> Cut off when publication is superseded, canceled, or 3 years after issuance, whichever is sooner. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
303-02	<u>PUBLICATION MANUSCRIPT FILES.</u> Editorial matter relating to the publication of a manuscript, including drafts, printer's copies of galley and page proofs, and other working or control data used in	Diff	Cut off at close of fiscal year in which related publication is issued. Destroy 2 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 25

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
303-03	<u>LIBRARY CATALOG FILES.</u> Cards showing authors, titles subject, cross-reference, etc., and indicating descriptive details including location of items on the shelves. Arranged as appropriate.	Diff	Destroy when related items have been permanently removed from the library collection.
303-04	<u>JOB CONTROL REGISTERS.</u> Registers used to control the receipt of requisitions and work orders for printing and duplicating jobs. Maintained by office responsible for printing control. Arranged by register number.	Diff	Cut off at close of fiscal year in which compiled or when register is filled, whichever is applicable. Destroy 1 year after cutoff.
303-05	<u>JOB OR PROJECT FILES.</u> Files contain all papers and data pertaining to the planning and execution of printing, binding, duplication, and distribution jobs. Includes requisitions, bills, samples, clearances, and related papers. Arranged numerically by control or requisition number.	Diff	Cut off at close of fiscal year in which job is completed. Destroy 1 year after cutoff.
	a. Files pertaining to in-house reproduction jobs or projects.	Diff	Cut off at close of fiscal year in which job is completed or requisition is canceled. Destroy 4 years after cutoff.
	b. Files pertaining to reproduction jobs or projects performed by Government Printing Office or outside contractor.	Diff	Destroy at close of fiscal year in which publication is discontinued, superseded, or becomes obsolete, or after 5 years if the status of publication is unknown.
303-06	<u>NEGATIVE PRINTING PLATE FILES.</u> Files consist of photographic negatives used for reproduction of major publications. Negatives used for reprints are brought forward to current year. Arranged by title or requisition number according to fiscal year.	Diff	

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 26

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
303-07	JOB HISTORY CARD FILES. Cards maintained by the office responsible for printing and reproduction to reflect the reprint history of all major publications. Arranged by publication name or number.	Diff	Destroy after related publication is rescinded, discontinued, or becomes obsolete.
303-08	PUBLICATION STOCK RECORD CARD FILES. Stock record cards or other documentation maintained to reflect the status of supply of directives, blank forms, and other publications including data as to stock levels, quantities on hand, and quantities received and issued. Arranged alphabetically by document type.	Diff	Destroy when card is filled or when card is superseded or obsolete, whichever is earlier.
304-01	SECTION 4. ART, GRAPHICS, AND PHOTOGRAPH FILES GRAPHIC SERVICES JOB CONTROL FILES. Files contain graphic services requisition forms, requestor's notes or drawings or other instructions, and notes to BIA illustrators or graphic contractor. Arranged by job control number.	Diff	Cut off at close of fiscal year in which job is completed. Destroy 2 years after cutoff.
304-02	STILL PICTURE PHOTOGRAPHIC FILES. Files consisting of the original negative and a captioned print for each black and white photograph and the original color transparency or color negative and a captioned print for each color photograph. Other still picture files include the original and a referenced print of any poster, original artwork, slide sets, and filmstrips. Photographic files include materials relating to BIA programs, functions, and important individuals or groups of individuals. Record copies are to be retained by office of origin. Arranged by program, function or individuals.	Diff	Permanent. Cut off every five years at close of fiscal year. Hold for 3 years and then offer to NARS. Destroy duplicate copies not described at left when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 27

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
304-03	MOTION PICTURE, VIDEO, AND SOUND RECORDING FILES. Files consist of motion pictures, video recordings and sound recordings created by or made in cooperation with BIA. Includes: Motion pictures - the original negative or color original plus optical sound track, an intermediate master positive and duplicate negative plus optical sound track, and a sound projection print of each motion picture; Video recordings - the original or the earliest generation of each recording or a kinescope of the recording; Sound recordings - the master tape, matrix or stamper, and one disc pressing for each conventional mass-produced multiple copy disc recording and the original tape for each magnetic audio tape recording.	C.O.	Permanent. Hold for five years after creation date and then offer to NARS.
304-04	AUDIO-VISUAL FINDING AIDS AND PRODUCTION DOCUMENTATION FILES. Consists of existing finding aids such as data sheets, shot lists, catalogs, indexes, and other textual documentation necessary for the proper identification, retrieval, and use of the above audiovisual records as well as production case files or similar files which include copies of production contracts, scripts, transcripts, or other documentation bearing on the origin, acquisition, release or ownership of the audiovisual production.	Diff	Permanent. Disposition should be in accord with instructions governing the audio-visual records to which these records relate.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15. BIAM SUPPLEMENT NO. 3
Appendix 2
Page 27 - a

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
305-01	SECTION 5. MAIL, MESSENGER AND DISTRIBUTION FILES.		
	<u>POSTAL RECORDS.</u> Files consist of Post Office forms and supporting papers such as receipts for registered and certified mail, insured mail, and special delivery receipts and forms, reports of loss, etc. Arranged chronologically.	Diff	Cut off at close of fiscal year. Destroy 1 year after cutoff.
	<u>MAIL CONTROL FILES.</u> Files consist of statistical reports of postage used on outgoing mail, production reports of mail handled, and related papers. Arranged chronologically.	Diff	Cut off monthly or quarterly according to volume. Destroy 1 year after cutoff.
	<u>MESSENGER SERVICE FILES.</u> Files consist of daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related and similar papers. Arranged as appropriate.	Diff	Cut off monthly. Destroy 3 months after cutoff.
	<u>MAILING LISTS AND RELATED MATERIAL.</u> Arranged as appropriate.	Diff	Destroy after appropriate revision of mailing list or after 3 months, whichever is earlier.
	a. Correspondence, request forms, and other records related to changes in mailing lists.	Diff	Destroy individual cards when canceled or revised.
	b. Cards.	Diff	Dispose of plates or stencils when canceled or revised.
	c. Plate or stencil mailing lists.		

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 28

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
306-01	<p>SECTION 6. SECURITY AND SAFETY FILES</p> <p>PERSONNEL SECURITY CLEARANCE CASE FILES. Documents relating to investigations of personnel employed by or seeking employment with the Government, or whose relationship otherwise with the Government requires a security clearance, but exclusive of copies of investigative reports and related papers furnished to agencies by the Civil Service Commission for which maintenance and disposition instructions are provided in Chapter 1-2 of the Federal Personnel Manual. Arranged by case number or alphabetically by name of individual.</p> <p>a. Case files relating to cases appealed to the courts; linked with Congressional investigations, or otherwise of demonstrated interest to the Congress, Congressional committee, or the Executive Office of the President; or the subject of considerable public interest.</p> <p>b. Case files containing derogatory information.</p>	<p>C.O.</p>	<p><u>Permanent.</u> Cut off at close of fiscal year in which action is completed. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement.</p> <p>C.O.</p> <p>Cut off at close of fiscal year in which action is completed. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 29

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	<p>c. Case files containing no derogatory information.</p> <p>d. Duplicate copies.</p> <p><u>PERSONNEL SECURITY CLEARANCE STATUS FILES.</u> Records maintained in security units to show the security clearance status of individuals. Records may be in the form of lists, rosters, or cards. Arranged alphabetically by surname.</p> <p><u>SECURITY VIOLATIONS FILES.</u> Papers relating to investigations of alleged security violations. Included are investigative reports and related papers. Excludes papers placed in official personnel folders. Arranged by violation type, indexed alphabetically. Record copy is to be retained by office of origin.</p>	<p>C.O.</p> <p>Diff</p> <p>Diff</p>	<p>Cut off at close of fiscal year in which action is completed. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff.</p> <p>Destroy when not needed for reference.</p> <p>Destroy when superseded, obsolete, or no longer needed for reference.</p>
306-02		Diff	<p>Permanent. Cut off at close of fiscal year in which final action is made. Retire to FARC when volume warrants. Offer to NARS 20 years after retirement.</p>
306-03			

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 30

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	b. Other files relating to alleged security violations.	Diff	Cut off at close of fiscal year in which final corrective or disciplinary action is made. Destroy 2 years after cutoff.
	c. Duplicate copies.	Diff	Destroy when not needed for reference.
306-04	<u>CLASSIFIED DOCUMENT RECEIPT FILES.</u> Papers relating to the receipt, transfer, and issue of classified documents maintained by other than control points. Arranged as appropriate.	Diff	Cut off at close of fiscal year. Destroy 2 years after cutoff.
306-05	<u>CLASSIFIED DOCUMENT DESTRUCTION CERTIFICATES.</u> Papers relating to the destruction of classified documents. Arranged chronologically.	Diff	Cut off at close of fiscal year. Destroy 2 years after cutoff.
306-06	<u>CLASSIFIED DOCUMENT INVENTORY FILES.</u> Files consisting of forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified documents relating to Top Secret material covered below. Arranged chronologically.	Diff	Cut off at close of fiscal year. Destroy 2 years after cutoff.
306-07	<u>TOP SECRET DOCUMENT ACCOUNT AND CONTROL FILES.</u> Arranged numerically.	Diff	Cut off at close of fiscal year in which documents shown on forms are down-graded, transferred, or destroyed. Destroy 5 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 31

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
b.	Forms accompanying documents to insure continuing control, showing names of persons handling documents, intra-office routing, and comparable data.	Diff	Destroy when related document is downgraded, transferred, or destroyed.
306-08	<u>CLASSIFIED MATERIAL ACCESS FILES.</u> Documents maintained by control points or custodians of classified files which constitute authorization for individuals to have access to classified files. Includes forms containing the individual's name and signature, classification of files concerned, information desired, and signature of official authorizing access. Arranged as appropriate.	Diff	Cut off on transfer, reassignment, or separation of individual or when access authorization is withdrawn or cancelled. Destroy 2 years after cutoff.
306-09	<u>CLASSIFIED DOCUMENT CONTAINER SECURITY FILES.</u> Files consist of forms or lists used to record safe and padlock combination, names of individuals knowing combination, and comparable data used to control access into classified document containers. Arranged by organizational element and chronologically thereunder.	Diff	Destroy when superseded by new form or list, or upon turn-in of containers.
306-10	<u>SAFETY AND SECURITY INSPECTION CASE FILES.</u> Documents concerning the inspection, and follow-up thereof, of facilities to assure the adequacy of protective and preventative measures taken against continuing hazards of fire, explosion and accidents, and to assure the adequacy of measures taken to safeguard information and the	Diff	Cut off at close of fiscal year. Destroy 3 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3

Appendix 2

Page 32

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
306-11	product or services from sabotage and unauthorized entry. Arranged by organizational element and chronologically thereunder.	Diff	Cut off at close of fiscal year, or after final entry in register, as appropriate. Destroy 2 years after cutoff.
306-12	<u>VISITOR CONTROL FILES.</u> Registers or logs used to record names of visitors, such as outside contractors, service personnel, vendor's representatives and visitors. Arranged numerically by control number.	Diff	Destroy 3 months after return to issuing office.
306-13	<u>IDENTIFICATION FILES.</u> Includes building and visitors passes, identification cards, credentials application listing, and similar records. Arranged alphabetically by name of individual.	Diff	Cut off after expiration or revocation. Destroy 3 months after cutoff.
306-14	<u>PROPERTY PASS FILES.</u> Documents authorizing removal of property or materials. Arranged alphabetically by name of individual.	Diff	Cut off after turn-in of key. For areas under maximum security, destroy 3 years after cutoff. For other areas, destroy 6 months after cutoff.
306-15	<u>KEY CONTROL FILES.</u> Documents relating to accountability for keys issued. Arranged by organizational unit.	Diff	Cut off at close of fiscal year. Destroy 1 year after cutoff.
	<u>LOST AND FOUND FILES.</u> Reports, loss statements receipts, and other papers relating to non-BIA lost and found articles. Arranged alphabetically or as appropriate.	Diff	

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 33

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
307-01	SECTION 7. PROPERTY AND SPACE MANAGEMENT FILES <u>EQUIPMENT - TECHNICAL MANUALS AND OPERATING INSTRUCTIONS</u> Includes parts lists, installation and maintenance instructions. Arranged by name of equipment or vendor.	Diff	Destroy when superseded, obsolete, or when all related equipment is retired or disposed of.
307-02	<u>VENDOR REFERENCE MATERIALS FILES.</u> Documents listing supplies and services by vendors. Includes catalogs, brochures, mailing lists, and similar material. Arranged by vendor's name.	Diff	Destroy when superseded, obsolete, or no longer needed for reference.
307-03	<u>EMPLOYEE PROPERTY ISSUE FILES.</u> Cards file documenting property and equipment charges out to personnel, including employee receipts. Arranged alphabetically.	Diff	Destroy when new card is made, provided item has been returned.
307-04 *	<u>NON-EMPLOYEE PROPERTY LOAN FILES.</u> Agreements covering loans of Government Property to individual Indians or non-BIA personnel. Maintained by BIA operating offices. Arranged alphabetically by individual, loan type, and location.	Diff	Cut off at fiscal year end when property is returned. Destroy 1 year after cutoff.
307-05	<u>PROPERTY RELEASE FILES.</u> Notification to payroll office that employee has no property charged against him and may be cleared for final salary payment.	Diff	Cut off at fiscal year end after employee clearance. Destroy 1 year after cutoff.
307-06 *	<u>REQUISITION FILES.</u> Documents showing evidence of requisition, issue, delivery, and receipt of supplies, equipment, and services. Arranged as appropriate.	Diff	Cut off at close of fiscal year in which equipment received. Destroy 2 years after cutoff.
307-07	<u>PROPERTY RECORDS RECEIPT FILES.</u> Copies of purchase orders maintained as property receipt records. Arranged numerically.	Diff	Cut off at close of fiscal year. Destroy 2 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 34

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
307-08	<u>SUPPLY ACTIVITY REPORTS.</u> Reports on supply requirements and procurement matters submitted for supply management purposes. Arranged numerically.	Diff	Cut off at close of fiscal year. Destroy 2 years after cutoff.
307-09*	<u>PROPERTY TRANSACTION SOURCE DOCUMENT FILE.</u> Documents accumulated in controlling and accounting for non-expendable personal property in the BIA. Papers reflect the acquisition, assignment, transfer and disposition of controlled property and are used for input to the computer. Includes copies of Forms S-707 and S-4310, Property Accountability Transaction, and Forms S-713 and S-4312, Property Invoice. Arranged by location and property identification number.	Diff	<p>Withdraw and place in the completed source document file after verification with computerized property inventory listing.</p> <p>a. Suspended source documents.</p> <p>b. Completed source document files.</p> <p>c. Separate reference file of original Forms S-4310 arranged by property identification number.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 35

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
307-10*	<u>PROPERTY INVENTORY LISTINGS:</u> Consists of computer printouts and physical inventory documents pertaining to controlled personal property in BIA.	Diff	Cut off after next annual listing or next complete physical inventory is taken, reconciled, and approved. Destroy 2 years after cutoff.
307-11	<u>INVENTORY CONTROL FILES.</u> Inventory control cards used for stock control and property maintenance. Maintained at some locations in addition to or in lieu of computerized inventory.	Diff	Cut off at close of fiscal year. Place in inactive file upon disposition or transfer of property. Destroy 2 years after cutoff.
307-12	<u>BOARD OF SURVEY AND LOSS OR THEFT FILES.</u> Reports and other documents relating to the damage, loss, or theft of property. Arranged alphabetically, then chronologically and by location.	Diff	Cut off inactive file at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 Years after cutoff.

*

- a. Reports involving pecuniary liability.
- b. All other reports.

*

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 36

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
307-13*	<u>EXCESS PERSONAL PROPERTY FILES.</u> Reports of excess personal property and reports of the transfer of excess personal property. Arranged numerically.	Diff	Cut off at close of fiscal year. Destroy 3 years after cutoff.
307-14	<u>SPACE ALLOCATION AND UTILIZATION FILES.</u> Documents created or maintained by offices responsible for the allocation, use, and release of building space. Included are requests for space, record of assignments, reports, survey, records used for internal space planning, requests for adjustments, space layouts and floor plans, and related papers. Arranged by building name.	Diff	Cut off at close of fiscal year in which assignment is terminated, lease canceled or when plans are superseded or become obsolete. Destroy 2 years after cutoff.
307-15	<u>WORK REQUESTS FOR BUILDING MAINTENANCE.</u> Request forms or work orders for building maintenance work. Arranged numerically by work order number.	Diff	Cut off after work is performed or requisition canceled. Destroy 3 months after cutoff.
307-16	<u>SPACE REPORTING FILES.</u> Documents relating to reporting agency space requirements and holdings. Arranged by report type, thereunder chronologically and by location.	Diff	Cut off at close of fiscal year. Destroy 2 years after cutoff.
	a. Reports submitted to General Services Administration. b. Other reports and related work papers.	Diff	Cut off at close of fiscal year. Destroy 2 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 37

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	SECTION 8. TRAVEL, TRANSPORTATION AND MOTOR VEHICLE FILES.		
	EMPLOYEE TRAVEL FILES. See Schedule 703-01 for employee travel files maintained for accounting purposes. See Schedule 101-08 for employee official travel files maintained for administrative purposes.		Destroy when employee is separated, or when passport has expired without request for renewal, or when revoked, whichever is earlier.
308-01	PASSPORT FILES. Requests for passport actions, notification for passport services, receipts, clearances, action control cards, correspondence and related papers generated in obtaining passports for personnel performing foreign travel. Files are maintained by the office responsible for securing passports and visas. Arranged alphabetically by employee name.	C.O.	Destroy 1 year after all entries on the records are cleared.
308-02	TRANSPORTATION REQUEST ACCOUNTABILITY RECORDS. Records documenting the issue or receipt of accountable papers involved in travel and transportation function, such as Standard Form 1120. Arranged by request type, then chronologically thereunder.	Diff	Destroy 3 years after final entry on register.
308-03	BILLS OF LADING REGISTER FILES. Registers used to account for bills of lading. Arranged numerically by register number.	Diff	Cut off files at close of fiscal year. Destroy 3 years after cutoff.
308-04 *	GOVERNMENT LOSSES IN SHIPMENT ACT FILES. Freight records relating to the Government Losses in Shipment Act consisting of schedules of valuable shipped and related papers and reports. Arranged numerically by shipment number.	Diff	

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 38

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
308-05	MOTOR VEHICLE OPERATOR FILES. Documents relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, violation, and related correspondence. Arranged alphabetically by employee surname.	Diff	Cut off at close of fiscal year in which operator is separated, transferred, or upon revision of authorization to operate Government vehicle. Destroy 3 years after cutoff. Destroy 3 years after cutoff. (Note: If operator transfers within the Bureau, send file to new duty station.)
308-06	MOTOR VEHICLE REPORT FILES. Arranged by report type, then by location and chronological sequence.		<p>a. Accident reports.</p> <p>b. Maintenance reports.</p> <p>c. Operating reports.</p> <p>d. Other vehicle reports.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 39

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
308-07*	VEHICLE RELEASE FILES. Documents accumulated in the transfer by sale, donation, or exchange of motor vehicle. Arranged numerically by vehicle number.	DIFF	Cut off at close of fiscal year. Hold for 3 years or until volume warrants and retire to FARC. Destroy 30 years after cutoff.
	SECTION 9. BUILDING AND UTILITIES FILES		
	This Section describes documents relating to (1) design and construction of new Federal buildings and utilities specifically provided for by appropriated funds, and (2) facilities management, which includes construction of buildings and utilities; operation of physical plant facilities and facility improvements. Certain of the records pertaining to the respective Central Office functions are maintained in the Division of Facilities Engineering at Albuquerque.		
	BUILDING AND UTILITIES (B AND U) EVALUATION SURVEY FILES. Data sheets including inventory and other pertinent information on every building and utility of BIA. The data sheets and photographs for each building and utility are filed in loose-leaf binders. Data includes such items as type of building, agency, dimensions, cubic footage, cost, construction plan number, current evaluation, type of construction, and utilities. Record copy is to be retained by office of origin. Arranged by project number of facilities management order.	C.O. Area	Record copy-- <u>PERMANENT</u> (For a selection only). Break file upon completion of building project. When building is destroyed or transferred from BIA custody, furnish NARS with a brief description of project so that NARS can make a selection from files according to provisions of GRS 22.
309-01*	B AND U PLANS, DRAWINGS AND SPECIFICATIONS. Original drawings of construction plans on tracing paper or cloth of buildings and utilities; also tracings and prints of plants; improvements to buildings, building project; water, sewage and electrical power distribution systems; and other construction projects.	DIFF	Transfer selected files to NARS for permanent preservation, and retire remainder to FARC. FARC destroy 30 years after retirement.
309-02			

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 40

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	Record copy is to be retained by office of origin. Arranged by project number or facilities management order.		b. All other copies-- Destroy in agency when no longer needed for references.
309-03	<u>CONSTRUCTION CONTRACT CONVENIENCE FILES.</u> Non-record copies of material which is in the construction project files, and copies of correspondence between the Central Office and Area and Field Offices relating to construction matters. These files were created solely as a convenience in expediting the various projects, and have no value once the project is terminated, nor do they contain any record material not already in the construction project files. Arranged by contract and project number.	Diff	Destroy after termination of the project.
309-04 *	<u>CONSTRUCTION PROJECT CASE FILES.</u> Cost estimates, specifications, shop drawings, blueprints, bids, copies of contracts, construction reports, and related correspondence and other material pertaining to construction, facilities improvements, and/or repair and maintenance of buildings and utilities such as radio communications, heating, electrical, water, and sewage systems. Arranged by construction project number or facilities management order number.	C.O. Area	Destroy on site 10 years after termination of project. Destroy duplicate copies when no longer needed for reference. Retain one copy of "as-built" drawings for the life of the building.
309-05 *	<u>BUILDING AND UTILITIES REPORTS.</u> Quarterly, semiannual, annual or periodic reports on B and U activities in narrative or statistical form. Arranged by report type, thereunder chronologically. Record copy to be retained by office of origin.	Diff	Cut off at close of fiscal year. Retire to FARC when inactive or no longer needed. Destroy 20 years after cut-off. Destroy duplicate copies when no longer needed for reference.
309-06 *	<u>QUARTERS EVALUATION FILES.</u> Surveys and appraisals	Area Agcy	Cut off at close of fiscal

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 41

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	made every three years (on Form S-1151, S-1152, or equivalent) to establish a basis for rental rates for federally-owned facilities occupied by BIA employees in the field. Information includes description and location of quarters and evaluation data.		year in which quarters are re-evaluated. Destroy after 1 year.
309-07	<u>QUARTERS ASSIGNMENT FILES.</u> Contain information on quarters such as approved schedule of deductions, assignments to such quarters, vouchers, and requisitions for property, and current received inventories of quarters. <ul style="list-style-type: none"> a. Area Office files. b. Agency files. 	Area Agency	Cut off at close of fiscal year in which new deductions are placed in effect. Destroy after 2 years. Cut off at close of fiscal year in which tenant vacates quarters. Destroy after 6 months.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 42

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
401-01 *	<p>PART 4. PERSONNEL MANAGEMENT RECORDS</p> <p>SECTION 1. GENERAL PERSONNEL PROGRAM FILES</p> <p>See Part 9, Sections 1-12, for ADP-related Personnel records.</p> <p>OFFICIAL PERSONNEL FOLDERS. Documents accumulated to provide an official record of personnel actions pertaining to an employee's status and service. The Federal Personnel Manual specifies the documents required for inclusion in Official Personnel Folders. Official file copy is maintained by Central and Area Personnel Offices. Arranged alphabetically by employee surname. (See Schedule 101-09 for unofficial personnel folders.)</p> <p>a. Folders of employees transferred to another agency.</p> <p>b. Folders of separated employees.</p>	C.O. Area	<p>Follow instructions in FPM.</p> <p>Transfer folders of employees to inactive file in accordance with instructions in FPM. Transfer folders to National Personnel Records Center (Civilian), 111 Winnebago Street, St. Louis, Missouri 63318, 30 days after separation except as provided in FPM.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 43

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
401-02	TEMPORARY MATERIALS IN OFFICIAL PERSONNEL FOLDERS. Material maintained as temporary records on the left side of the Official Personnel Folder in accordance with the Federal Personnel Manual.	C.O. Area	Destroy after 1 year or upon transfer (except in a transfer of functions) or separation of employee, whichever is sooner.
401-03	SERVICE RECORD CARD FILES. SF-7Bs showing pay and personnel history for each employee. Maintained in accordance with FPM.	C.O. Area	Cut off after transfer or separation of employee. Destroy 3 years after cutoff.
401-04	PERSONNEL STATISTICAL REPORTS. Records created in the preparation, coordination, and consolidation of regular and special personnel reports to the Civil Service Commission (GSC). Included are reports on Federal civilian employment, acquisition of handicapped persons, and geographical distribution of employment; biennial reports on occupations; other comparable reports; and related papers. Arranged by report type, then by location and in chronological sequence.	Diff	Cut off at close of fiscal year. Destroy 2 years after cutoff.
401-05	EMPLOYEE LOCATOR FILES. Consisting of information such as: name, social security number, submission date, current residence address, emergency locator information and office address, and telephone numbers. Arranged as appropriate.	C.O. Area	Destroy when superseded or obsolete.
401-06	EMPLOYEE RECORD CARDS. Used for informational purposes outside personnel offices (such as Standard Form 7-B). Arranged and maintained in accordance with FPM instructions.	Diff	Destroy upon separation of employee or forward to receiving agency if employee transfers within the Bureau.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 44

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
401-07	POSITION IDENTIFICATION STRIP FILES. SF-7's used in service control file in personnel offices to provide summary data on each position occupied.	C.O. Area	Destroy when position is canceled or new strip is prepared.
401-08	PERSONNEL INVESTIGATIVE FILES. These files consist of confidential background investigations for BIA employees; Filed in manila envelopes showing the employee name and SSN. Maintained outside the Official Personnel Folder.	C.O. Area	Place in Official Personnel Folder when employee transfers or separates and dispose of as a part of the OPF.
402-01	<p>SECTION 2. EMPLOYMENT FILES</p> <p>APPOINTMENT FILES. Correspondence, letters, and telegrams offering appointments to potential employees. Arranged alphabetically by applicant surname.</p> <ul style="list-style-type: none"> a. Accepted appointments. b. Declined appointments. 	C.O. Area C.O. Area	File on left side of Official Personnel Folder. File inside application and destroy in accordance with 402-03.
402-02	ACTIVE APPLICATIONS FOR EMPLOYMENT. Documents such as SF-171 created in receiving applications, conducting interviews, making selections, and placing applicants qualified and available for employment. Included are applications for employment, qualification rating sheets, control logs, applicant referrals, and related papers. Arranged alphabetically by surname.	C.O. Area	File on right side of Official Personnel Folder if individual is employed. Place files of unsuccessful applicants in inactive file (402-03).

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 45

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
402-03	<u>INACTIVE APPLICATIONS FOR EMPLOYMENT.</u> Files established when decision is made that an applicant is not qualified, declines, or will not be selected for appointment for other reasons. Included are applications for Federal employment and related papers. Arranged alphabetically by applicant surname.	C.O. Area	Cut off at close of fiscal year. Destroy 2 years after cutoff or upon receipt of CSC report of inspection, whichever is earlier, providing the requirements in the Federal Personnel Manual are observed.
402-04	<u>LETTERS OF REFERENCE AND PRE-EMPLOYMENT CREDIT REPORT FILES.</u> Correspondence and other documents regarding employment suitability. Includes letters to and replies from previous employers, personal and character references, retail credit checks, etc. Arranged alphabetically by name.	C.O. Area a. Accepted applicants. b. Rejected applicants.	File in a plain manila envelope on left side of Official Personnel Folder and destroy in accordance with 401-02. File inside application and destroy in accordance with 402-03.
402-05	<u>CERTIFICATE FILES.</u> Requests for certificates of eligibles and certificates of eligibles for appointment. Arranged by certificate number.	C.O. Area	Cut off at close of fiscal year. Destroy 2 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 46

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
402-06	<u>NOTIFICATION OF PERSONNEL ACTION FILES.</u> SF-50's, exclusive of those in Official Personnel Folders, accumulated to provide a record for inspections, statistics, references, preparation of reports, etc. Arranged chronologically. Maintained by Personnel Offices of the BIA.	C.O. Area	Cut off monthly. Destroy 2 years after cutoff.
402-07	<u>INTERNAL PROMOTION PLAN FILES.</u> Announcements, bids, copies of registers, and selected papers maintained by Personnel Offices. Arranged numerically.	C.O. Area	Cut off at close of fiscal year. Destroy 2 years after cutoff provided requirements of Federal Personnel Manual are observed.
402-08	<u>VACANCY ANNOUNCEMENT FILES.</u> Consists of record copies of vacancy announcements maintained by servicing Personnel Offices. Also contains a listing of tribal offices contacted relative to the vacancy, their comments, telephone number, and date; justification for filling the position; SF-171, Applications, with attached supervisory assessments; certificates of best qualified applicants; and letters to nonselected applicants.	C.O. Area	Cut off at close of fiscal year in which announcement closes. Destroy 2 years after cutoff.
402-09	<u>REDUCTION-IN-FORCE FILES.</u> a. Retention registers. These are lists of printouts prepared before reduction-in-force for each competitive level affected by the reduction. Arranged chronologically by register date.	C.O. Area	Cut off at close of fiscal year. Destroy 2 years after cutoff or, if an appeal or court case is pending, destroy after the case is resolved, whichever is later.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 47

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	<ul style="list-style-type: none"> b. Work cards. Used in compiling retention registers. Arranged alphabetically. c. Notice to Employees and related papers. Arranged chronologically. d. Placement files. Documents which result from attempts to secure new positions for displaced employees. 	C.O. Area	Cut off at close of fiscal year. Destroy after RIF is completed, unless they are used as retention register.
402-10	<u>EMPLOYEE EXAMINATION RECORDS.</u> Arranged alphabetically. <ul style="list-style-type: none"> a. Completed test materials. These consist of test booklets in which answers have been recorded, and results recorded on test or qualification records. b. Test Record of individual employees. This is a record showing all test scores attained by an employee. 	C.O. Area	Follow appropriate Civil Service regulations. <ul style="list-style-type: none"> Follow instructions in FPM.
	SECTION 3. EMPLOYEE PERFORMANCE AND UTILIZATION FILES		
403-01	<u>INCENTIVE AWARDS CASE FILES.</u> Records documenting an employee suggestion or superior performance award. Arranged alphabetically.	Diff	Cut off upon close of fiscal year. Destroy 2 years after cutoff.
403-02	<u>INCENTIVE AWARDS REPORT FILES.</u> Awards program reports, including copies of feeder reports prepared within BIA and copies of summary reports to Civil Service Commission. Arranged alphabetically.	Diff	Cut off at close of fiscal year. Destroy 2 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 48

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
403-03	<u>CERTIFICATES OF PERFORMANCE RATING.</u> Excludes copies filed in Official Personnel Folders. Arranged alphabetically by employee name.	Diff	Cut off at close of fiscal year. Destroy 2 years after cutoff.
403-04	<u>PERFORMANCE RATING APPEAL FILES.</u> Consist of copies of employee's appeals of his performance rating, copies of decisions rendered and other material pertaining to the case. Arranged alphabetically by employee name.	C.O. Area	Cut off at close of fiscal year in which final decision is made. Destroy 1 year after final action on case.
	SECTION 4. POSITION CLASSIFICATION AND JOB EVALUATION FILES		
404-01*	<u>POSITION DESCRIPTION FILES.</u> Documents which describe duties, responsibilities, and supervisory relationships of each position within the organization. These include copies of position descriptions of General Schedule and Wage Board positions, position description amendments, certifications, checklists or fill-in descriptions, multiple or standard descriptions and related papers. Office copies of position descriptions are covered by Schedule 101-09. Maintained by the Personnel Office. Arranged numerically by series number.	C.O. Area	Cut off file at close of fiscal year. Place in inactive file when position is abolished or superseded. Destroy 5 years after cutoff. Descriptions of continuing value may be retained as nonrecord reference material.
404-02	<u>POSITION CLASSIFICATION SURVEYS.</u> Documents created by performing systematic examination of the essential aspects of all positions and position design and structuring within an area. Included are position survey reports, records of classification surveys, position review certifications, Whitten Amendment review papers, recommendations, and related papers. Arranged by position number.	C.O. Area	Cut off at close of fiscal year following completion of subsequent survey of each unit. Destroy 5 years after cutoff. Surveys which may be of continuing value can be retained as nonrecord material.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 49

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
404-03	REORGANIZATION PROPOSALS FILES. Consists of reorganization proposals submitted to the Personnel Office for classification comments. Typical papers in the file include narrative description and justification for the reorganization; current and proposed organizational charts; current and proposed mission and function statements; staffing patterns; and classifier's notes and responses.	C.O. Area	Cut off at close of fiscal year when action is completed. Destroy 3 years after cutoff.
404-04	CLASSIFICATION APPEAL FILES. Consists of papers accumulated when an employee appeals his classification. Included are such items as the initial letter from employee stating his reasons for the appeal; copy of job description; classifier's notes and evaluation statement; and letter to employee advising of the outcome. Appeals to the Civil Service Commission become a case file disposable under CSC schedules. Arranged numerically.	C.O. Area	Cut off at close of fiscal year when action is completed. Destroy 3 years after cutoff.
	SECTION 5. EMPLOYEE RELATIONS AND SERVICES FILES		
405-01	APPEALS AND GRIEVANCES FILES. Files related to reviewing, hearing, and disposing of employee grievances and appeals of adverse personnel actions and disciplinary measures. These include material pertinent to individual employees but not necessarily filed in the Official Personnel Folder, such as reprimands, employee appeals of disciplinary actions, summaries and transcripts of hearings, designation of committee members, committee reports, Civil Service Commission (CSC) reports and related papers. Arranged alphabetically by employee name.	C.O. Area	Cut off at close of fiscal year after final decision. Destroy 7 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 50

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
405-02	<u>EMPLOYEE FINANCIAL STATEMENT FILES.</u> Files for outside employment and financial interest and related papers. Arranged alphabetically by employee name.	C.O.	Cut off at close of fiscal year in which employee leaves a position for which a statement is required or when the employee leaves BIA or statement is superseded, whichever is earlier. Destroy 2 years after cutoff.
405-03	<u>EMPLOYEE INTERVIEW FILES.</u> Documents which record counselling interviews, results of action taken and separation interviews. Arranged alphabetically by employee name.	C.O.	Cut off at close of fiscal year in which employee is transferred or separated. Destroy 6 months after cutoff.
405-04	<u>DISCRIMINATION COMPLAINT (EEO) CASE FILES.</u> Documents created in investigating or requesting the investigation of formal and/or informal complaints of discrimination by employees of, and applicants for employment with BIA, because of race, religion, etc.; resolving complaints; recommending or directing corrective action; and reporting information on the processing and disposition of each case. Included are copies of complaints, investigation reports, hearing transcripts or summaries, statements of witnesses, and related papers. Arranged by case number, indexed alphabetically.	C.O. Area	Cut off at close of fiscal year after final decision. Destroy 4 years after cutoff.
405-05	<u>LOGS OR REGISTER OF VISITS TO DISPENSARIES, FIRST AID ROOMS, AND HEALTH UNITS.</u> Arranged chronologically.	Diff	Cut off at close of fiscal year in which last date on log or register is entered. Destroy 2 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 51

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
405-06	HEALTH STATISTICAL SUMMARIES AND REPORTS. Regarding employee health and related papers, retained by reporting unit. Arranged by report type and chronologically thereunder.	Diff	Cut off at close of fiscal year. Destroy 2 years after cutoff.
405-07	HEALTH RECORD CASE FILES. Files contain correspondence, reports, forms, and other papers documenting employee medical history. Arranged alphabetically by employee name. a. Pre-employment physical examination, Health Qualification Placement Records, disability retirement examination, and fitness for duty examination. b. All other papers.	C.O. Area	Upon separation, place in a sealed envelope and file on right side of Official Personnel Folder. Destroy in accordance with 401-01.
405-08	EMPLOYEE PERSONAL INJURY CASE FILES. Case files regarding job-related injuries to BIA employees. These papers are in addition to (and sometimes duplicates of) papers in Official Personnel Folders. Maintained by Area Safety Managers and used for communicating with Department of Labor regarding compensation claims. Includes accident reports, investigative reports, medical examinations, and directly related correspondence. Arranged by employee name.	C.O. Area	Destroy when file has been inactive for 5 years.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 52

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
406-01	SECTION 6. EMPLOYEE TRAINING FILES <u>INDIVIDUAL EMPLOYEE TRAINING FILES.</u> Case files containing applications for training, authorizations, schedules, reports of progress or attendance and related documents reflecting the training of individual employees. Arranged by office and thereunder alphabetically by employee name.	C.O. Area	Cut off when employee transfers or terminates. Destroy 3 years after cutoff.
406-02	<u>TRAINING REPORT CARD FILES.</u> Training achievement records and cards showing history of individual employees. Arranged alphabetically by employee name.	C.O. Area	Destroy individual record upon separation of employee.
406-03	<u>TRAINING REPORT FILES.</u> Consist of documents reflecting actual training progress and accomplishments. Along with directly related papers, this file includes quarterly, semi-annual, or annual reports of training accomplishments; summary reports; special training reports; ADP listings and reports of employee training; study reports; and coordinating actions. Maintained in BIA Central Office and Area Offices. Arranged by report type, then chronologically thereunder.	C.O. Area	Cut off at close of fiscal year. Destroy 5 years after cutoff or after Civil Service Commission review, whichever is sooner.
406-04	<u>TUITION ASSISTANCE FILES.</u> Documents reflecting individual employee participation in the Tuition Assistance Program. Included are requests for and approvals or disapprovals for tuition assistance, college transcripts, grade reports, and related papers. Arranged by office and thereunder alphabetically by employee name.	C.O. Area	Cut off at close of fiscal year in which course is completed or 2 years after date of last action, if completion is unknown. Destroy 3 years after cutoff.
406-05	<u>CAREER DEVELOPMENT FILES.</u> Documents maintained on individual employees to record planned career progression and training courses. Arranged alphabetically by employee name.	C.O. Area	Cut off when employee transfers or terminates. Destroy 6 months after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 53

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
406-06	TRAINING PROGRAM ADMINISTRATIVE FILES. Documents relating to departmental, bureau, and CSC formal training programs such as Managerial Development Program, Executive Development Program, etc. Includes papers regarding announcements, applications, selection and attendance. Arranged by title of program.	C.O. Area	Cut off at the close of fiscal year. Destroy after 5 years.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 54

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
501-01	<p>PART 5. INFORMATION AND PUBLIC RELATIONS RECORDS</p> <p>SECTION 1. PUBLICITY AND PROMOTION FILES</p> <p>BIOGRAPHICAL FILES. Biographies, photographs, newspaper clippings, and related items pertaining to the BIA Commissioner and Deputy Commissioner. Maintained by the Public Information Office. Arranged as appropriate.</p>	C.O.	<p>Permanent. Cut off at close of fiscal year that individual leaves. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement.</p>
501-02	<p> SPEECH FILES. Originals of speeches and other papers created in the process of writing, reviewing, clearing, and delivering speeches by BIA officials. Maintained by originating office. Arranged by title or topic of speech and date.</p> <p>a. Record copy of speeches delivered by the BIA Commissioner, Deputy Commissioner, and Heads of Central and Area Offices.</p> <p>b. All other speeches.</p>	<p>C.O. Area</p>	<p>Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement.</p> <p>Diff Cut off at close of fiscal year. Destroy 6 years after cutoff.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 55

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
501-03	<u>NEWS AND PRESS RELEASES.</u> Documents relating to the preparation, coordination, clearance, and dissemination of information to any public communications media. The files include drafts, clearance documents, formal press releases, and related papers. Record set is maintained in the releasing office and should be marked "RECORD SET." Arranged chronologically.	C.O. Area	Permanent. Cut off at close of fiscal year. Hold 2 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
501-04	<u>PRIVACY ACT RECORDS SYSTEMS.</u> Records created in reviewing records systems and submitting requests for clearances and annual reports. Maintained by Bureau Privacy Act Officer. Arranged as appropriate.	C.O.	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff.
501-05	<u>PRIVACY ACT DISCLOSURE FILES.</u> Files created in maintaining records of disclosures, when such information cannot be maintained in the basic (disclosed) record. Includes notification documentation on disputed or corrected records. Arranged by records system, then alphabetically by individual.	Diff	Cut off at close of fiscal year. Destroy on site after basic record is destroyed or 5 years after disclosure, whichever is longer.
501-06	<u>PRIVACY ACT DISPUTE FILES.</u> Case records created in the event of Privacy Act disputes, such as amendment case files. Maintained by Privacy Act Officer. Arranged by record system, then alphabetically by individual.	Diff	Cut off at close of fiscal year when dispute is settled. Retain 4 years after a ruling against the individual, as is mandatory under the Privacy Act.
501-07	<u>PRIVACY ACT STATISTICAL FILES.</u> Records created in accumulating data and submitting statistical reports.	Diff	Cut off at close of fiscal year. Destroy on site 2 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 56

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
501-08	<p><u>FREEDOM OF INFORMATION ACT REQUEST FILES.</u> Documents accumulated in preparing replies to inquiries specifically identified as FOIA requests. Includes the request, estimates of search costs and reproduction fees, documents reflecting coordination of the response, and related papers and correspondence.</p> <p>a. Approved requests and denied requests which do not result in appeals or litigation.</p> <p>b. Denied requests resulting in appeals or litigation.</p>	Diff	Cut off at close of fiscal year in which final determination is made. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff.
501-09	<u>FREEDOM OF INFORMATION REPORTS AND STATISTICS.</u> Files created in compiling and submitting FOI statistical reports.	Diff	Cut off at close of fiscal year. Destroy 5 years after cutoff.
502-01*	<u>CONGRESSIONAL RELATIONS FILES</u>		<p><u>CONGRESSIONAL INVESTIGATION FILES.</u> Documents accumulated as a result of investigations and studies of BIA activities by Congressional committees. Included are papers relating to the conduct of the investigation, information on the activities of investigating committees, analyses of committee reports committee recommendations, and BIA replies. Arranged by case number or alphabetically by report type.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 57

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
502-02	<p>a. Records maintained in office responsible for Congressional liaison.</p> <p>b. Records maintained in other offices.</p> <p>c. Duplicate copies.</p>	C.O. Diff Diff	<p>PERMANENT. Cut off at close of fiscal year. Place in inactive file when investigation is closed. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after cutoff.</p> <p>Cut off at close of fiscal year. Destroy 6 years after cutoff.</p> <p>Destroy when no longer needed for reference.</p>
502-02	CONGRESSIONAL AND WHITE HOUSE CORRESPONDENCE FILES. Correspondence, memoranda, reports, and other papers accumulated in the course of preparing replies to Congressional and White House inquiries. Arranged as appropriate.		<p><u>C.O.</u> Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement.</p> <p>Diff</p>
502-02			<p>a. Papers containing policy and precedent, and requiring extensive research which document relations with the Executive Office of the President and Congress. Record copy is to be maintained by office responsible for liaison with the President and Congress.</p> <p>b. Duplicate copies of a. above.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 58

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
600-01 *	<p>PART 6. LEGAL AND LEGISLATIVE RECORDS</p> <p><u>CLAIMS CASE FILES.</u> Case files of claims against the Government handled by administrative hearings conducted by BIA Examiners. Includes such material as testimony, affidavits, and related papers pertaining to various types of claims such as damage, land and trespass. Arranged by case number, indexed by claimant.</p> <p>a. Settled claims.</p> <p>b. Disallowed claims.</p>	<p>C.O. Area</p> <p>C.O. Area</p>	<p>Cut off at close of fiscal year in which settlement is made. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff.</p> <p>Cut off at close of fiscal year in which disallowance decision is made. Hold 3 years and retire to FARC. Destroy 7 years after cutoff.</p>
600-02	<u>LITIGATION CASE FILES.</u> Documents relating to actual legal proceedings in which the BIA has an interest. Included are advisory reports, investigation reports, litigation reports, statements of claims, copies of processes and pleadings, supporting documents, and related correspondence. Maintained by Office of Congressional and Legislative Affairs. Arranged numerically.		

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 59

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	<ul style="list-style-type: none"> a. Cases designated as significant or precedential. b. Other cases. c. Duplicate copies. 		<p>Diff Permanent. Cut off at close of fiscal year in which case is closed. Hold 10 years and retire to FARO when volume warrants. Offer to NARS 20 years after retirement.</p> <p>Diff Cut off at close of fiscal year in which case is closed. Destroy 10 years after cutoff.</p> <p>Diff Destroy when no longer needed for reference.</p>
600-03*	<p><u>LEGAL ACTIVITY REPORTS TO CENTRAL OFFICE.</u> Periodic reports on legal activities prepared or reviewed by the Area Office and forwarded to the Central Office. Arranged by report type, thereunder chronologically and by location. Record copies in Central Office.</p> <p>a. Periodic reports on legal activities submitted from Field Offices to Central Office.</p> <p>b. Area Office copies.</p>	<p>C.O.</p> <p>Area</p>	<p>Permanent. Cut off at close of fiscal year. Hold 5 years or until sufficient volume accumulates and retire to FARO. Offer to NARS 20 years after retirement.</p> <p>Cut off at close of fiscal year. Destroy on site 5 years after cutoff.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 60

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
600-04	LEGISLATION CASE FILES AND INDEXES. Original documents created in preparing, reviewing, and commenting on proposed legislation, Executive Orders, proclamations, and reports relating to BIA activities from their inception to final passage. Included are background material, drafts, reviews, minutes of meetings, position papers, and related correspondence. A card index in the BIA Central Office lists actions on each bill. Another index lists bills by the Congress and subject. Arranged numerically by Act number, indexed by subject or title of law. Maintained by Office of Congressional and Legislative Affairs.	C.O.	Permanent. Cut off at close of fiscal year when legislation is enacted or dropped. Retire to FARC when no longer needed for current operations. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 61

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	<p>PART 7. FINANCIAL MANAGEMENT RECORDS</p> <p>See Part 11, Trust Responsibility Records, Section 9, for additional Individual Indian Money Records.</p> <p>SECTION 1. GENERAL FINANCIAL FILES</p>		
701-01*	<p><u>RECORDS OF CASH AND CHECK REMITTANCES RECEIVED AND FORWARDED.</u> Records pertaining to the receipt of checks payable to the U. S. Treasury and the transmittal of the checks to the BIA Central Office with primary responsibility for deposit with the Treasury. Arranged by remittance type, thereunder chronologically.</p>	Diff	Cut off at close of fiscal year. Destroy 4 years after cutoff.
701-02*	<p><u>ACCOUNTING OFFICER DESIGNEE FILES.</u> Records relating to the designation and revocation of accountable officers. Arranged alphabetically.</p>	Diff	Cut off at close of fiscal year in which revocation occurs. Destroy after 4 years provided account is cleared by GAO.
701-03	<p><u>FEDERAL PERSONNEL SURETY BOND FILES.</u> Copies of Federal personnel surety bonds and attached powers of attorney. Arranged as appropriate.</p> <ul style="list-style-type: none"> a. Official copy. b. All other copies. 	Diff	<p>Destroy 15 years after end of bond premium period.</p> <p>Destroy when bond becomes inactive or at end of bond premium period.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 62

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
SECTION 2. BUDGET FILES			
702-01*	BUDGET ADMINISTRATIVE FILES. Documents accumulated in offices of operating officials which serve as management tools in the preparation of budget estimates and in coordination and execution of approved budgets. Arranged chronologically by budget period.	Diff	Cut off at close of fiscal year. Destroy 2 years after cutoff.
702-02*	BUDGET ESTIMATES. Budget estimates prepared or consolidated in BIA Headquarters Budget Office comprising appropriation language sheets, narrative statements, and related schedules and data. Arranged chronologically.	C.O.	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement.
	a. Final consolidated submission maintained by C.O.	Area Agcy	Retain until obsolete, superseded, or no longer needed for reference.
	b. Area and Agency copies.	Diff	Cut off at close of fiscal year. Destroy 1 year after cutoff.
702-03*	BUDGET WORKING FILES. Work papers, cost statements and other data accumulated in preparation of projected fiscal programs and annual budget estimates and for budget review purposes, including duplicates of papers included in file copies of budget estimates. Arranged as appropriate.		

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 63

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
702-04*	<p><u>REPORT ON OPERATING BUDGET FILES.</u> Monthly computer printout showing a comparison of program needs and actual obligations and costs for each line item. Shows cost account, description, percent of obligation complete, current year programmed and to date obligations and costs, and totals for current year obligations and unobligated balance. Arranged chronologically, thereunder by report title.</p> <p>a. End of fiscal year reports.</p> <p>(1) Administrative Service Center fiscal copy.</p> <p>C.O. Cut off at close of fiscal year. Destroy 5 years after cutoff.</p> <p>Diff Cut off at close of fiscal year. Destroy 2 years after cutoff.</p> <p>b. All other monthly reports.</p> <p>(1) Administrative Service Center fiscal copy.</p> <p>C.O. Cut off at close of fiscal year. Destroy 3 years after cutoff.</p> <p>Diff Cut off at close of fiscal year. Destroy 1 year after cutoff.</p>		
702-05*	<p><u>AGENCY ALLOCATION STATUS REPORT FILES.</u> Computer printout showing by activity at the Agency level the amounts brought forward obligated, obligated and current year net, accrued expenditures, undelivered orders, total charges, percent obligated, and unobligated balance. Arranged chronologically.</p>		

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 64

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION		DISPOSAL INSTRUCTIONS
		FILE	LOCATION	
a.	End of fiscal year reports.			
	(1) Administrative Service Center fiscal copy.	C.O.		Cut off at close of fiscal year. Destroy 5 years after cutoff.
	(2) Other offices.	Diff		Cut off at close of fiscal year. Destroy 2 years after cutoff.
b.	Other monthly reports.			
	(1) Administrative Service Center copy.	C.O.		Cut off at close of fiscal year. Destroy 3 years after cutoff.
	(2) Other offices.	Diff		Cut off at close of fiscal year. Destroy 1 year after cutoff.

REPORT ON BUDGET STATUS FILES. Monthly computer printouts of SF-133 data giving budget status by account for the current year, prior year, and total. Shows amounts available: new obligational authority, unobligated balance, advances, reimbursements, other income, recoveries, and total available. Status of amounts available: accrued expenditures, undelivered orders, obligations incurred, unbilled balances, and total available. Relations of obligations to net disbursements: net unpaid obligations and net disbursements. Arranged chronologically.

702-06*

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 65

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
a.	End of fiscal year reports. (1) Administrative Service Center fiscal copy.	C.O.	Cut off at close of fiscal year. Destroy 5 years after cutoff.
	(2) Other offices.	Diff	Cut off at close of fiscal year. Destroy 2 years after cutoff.
b.	Other monthly reports. (1) Administrative Service Center copy.	C.O.	Cut off at close of fiscal year. Destroy 3 years after cutoff.
	(2) Other offices.	Diff	Cut off at close of fiscal year. Destroy 1 year after cutoff.
			REPORT ON OBLIGATIONS FILES. Monthly computer print-out of SF-225 data showing a summary of obligations for personnel compensations, personnel benefits, contractual service, acquisition of capital assets, grants and fixed charges, and other object classes. Shows in detail the gross obligations as broken down above; summary for advances, reimbursements, and other income; net obligations incurred; expired account (adjustments); and net unpaid obligations. Arranged numerically.
702-07*	a. (1) End of the fiscal year reports.	C.O.	Cut off at close of fiscal year. Destroy 5 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 66

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	(2) Other offices.	Diff	Cut off at close of fiscal year. Destroy 2 years after cutoff.
	b. Other monthly reports.		
	(1) Administrative Service Center copy.	C.O.	Cut off at close of fiscal year. Destroy 3 years after cutoff.
	(2) Other offices.	Diff	Cut off at close of fiscal year. Destroy 2 years after cutoff.
702-08*	AREA ALLOTMENT STATUS REPORT FILES.	Computer printout showing for each appropriation the allotments obligated and unobligated balance brought forward, current year net allotment, accrued expenditures, undelivered orders, total charges, percent obligated, and unobligated balance. Used to show status of funds for area. Arranged numerically.	
	a. Administrative Service Center fiscal copy.	C.O.	Cut off at close of fiscal year. Destroy 5 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 67

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
703-01	<p>SECTION 31. ACCOUNTING AND DISBURSEMENT FILES</p> <p>PASSENGER TRANSPORTATION (INDIVIDUAL) RECORDS. Documents reflecting payments to individuals consisting of travel vouchers, requests, authorizations, vendor invoices, and other papers relating to official travel of BIA employees, dependents, or others authorized to travel. Arranged alphabetically by name of employee.</p> <p>This schedule applies to records maintained in accounting office. See Schedule 101-08 for travel files maintained in other offices for administration purposes.</p>	Diff	Cut off at close of fiscal year. Destroy 2 years after cutoff.
703-02	<p>PASSENGER TRANSPORTATION (CARRIER) RECORDS. Documents reflecting payments to carriers consisting of memorandum copies of vouchers (SF-1171a), memorandum copies of transportation requests (SF-1169a), and all supporting documents. Arranged as appropriate.</p>	Diff	Cut off file at close of fiscal year. Destroy 3 years after cutoff.
703-03 *	<p>FREIGHT RECORDS (CARRIER). Consisting of memorandum copies of vouchers (SF-1113a), memorandum copies of bills of lading (SF-1130a and 1131a), or their equivalents, and related supporting papers. Arranged chronologically.</p>	Diff	Cut off file at close of fiscal year. Destroy 3 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 68

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
703-04*	<u>SUBSIDIARY LEDGER FILES.</u> Records used as posting and control media but subsidiary to the general and allotment ledgers. Includes Accounting Data Input Code Sheets, Batch Control Sheets, Statements of Transactions, Financial Status Reports, Report of Federal Cash Transactions, and Requests for Advancements or Reimbursements. Arranged numerically.	Diff	Cut off at close of fiscal year. Destroy 4 years after cutoff.
703-05*	<u>NOTICE OF GAO EXCEPTION FILES.</u> Consist of General Accounting Office notices of exception, both formal and informal, and related correspondence. Arranged chronologically.	Diff	Cut off after exception is cleared by General Account- ing Office. Destroy 1 year after cutoff.
703-06*	<u>CERTIFICATES OF SETTLEMENT FILES.</u> Documents reflect- ing the settlement of accounts of accountable officers, statements of differences, and related papers. Arranged by case, thereunder in chronological order.	<ul style="list-style-type: none"> a. Certificates covering closed account settlements and final balance settlement. b. Certificates showing periodic settlement. c. Schedules of certificates of settlement of claims settled by General Accounting Office. 	<p>Diff</p> <p>Cut off at close of fiscal year in which settlement is made. Destroy after 2 years provided certificate is cleared.</p> <p>Diff</p> <p>Destroy when subsequent certificate of settlement is received.</p> <p>Diff</p> <p>Cut off at close of fiscal year in which claim is settled. Destroy 2 years after cutoff.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 69

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE	LOCATION	DISPOSAL INSTRUCTIONS
703-07*	<u>GENERAL LEDGER DETAIL LISTING FILES.</u> Monthly computer printout listing of all transactions affecting accounts for the period. Shows agency, location, fiscal year, appropriation, activity, work order number, cost code, object class, description, identification, accounting group, account number, normal balance, beginning year balance, beginning month, current month, and current balance. Arranged chronologically.	C.O.		Cut off at close of fiscal year in which action is completed. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff.
703-08*	<u>ADVICE OF ALLOTMENT FILES.</u> Consist of original Advice of Allotment forms. Identifies allotment number, date, revision number, addressee, unit number and name, appropriation symbol, and title. Shows account number, description and title, amount allotted (increase or decrease), remarks, apportionment by quarters, and approval signature. Used to document receipt of funds. Arranged chronologically, thereunder numerically by allotment number.			Cut off at close of fiscal year. Destroy 10 years after cutoff.
	a. Office receiving the allotment of funds.	Diff		Cut off at close of fiscal year. Destroy 3 years after cutoff.
	b. Other offices.	Diff		Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC.
703-09 *	<u>MONTHLY JOURNAL OF TRANSACTION FILES.</u> Computer printouts with a line item entry for each transaction by appropriation and activity sequence. Shows document reference number, area, agency, location, fiscal year, appropriation, activity, cost code, work order number, object class, description, transaction code and amount, general ledger accounts debited and credited, and date. These are used to document each accounting transaction and are GAO site audit records. Arranged chronologically.	C.O.		FARC will destroy according to the following GAO instructions: Records created prior to July 2, 1975, should be kept 10 years, 3 months after the period of account. Records created after July 2, 1975, retain 6 years, 3 months.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3

Appendix 2

Page 70

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
703-10 *	VOUCHER AND SCHEDULE OF PAYMENT FILES. These files consist of SF-1166 and SF-1167 Continuation. Identifies department, bureau, location, agency station number, and appropriation summary. Shows voucher number, payee, address, invoice number, other identification, amount, and Disbursing Office check number. Official file copies are annotated by Treasury with the Disbursing Office check number. These files are used to prepare Treasury checks and are GAO site audit records. Arranged by voucher number.	C.O.	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. (FARC will destroy according to the following GAO instructions: Records created prior to July 2, 1975, should be kept 10 years, 3 months after the period of account. Records created after July 2, 1975, retain 6 years, 3 months.)
703-11 *	CASH DOCUMENTS BY APPROPRIATION FILES. Monthly computer printout showing in chronological order the schedule number and amount of each payment made under each appropriation. Totals are transferred to SF-224, Statement of Transactions, which shows appropriated fund or receipt amount, receipts and revolving fund repayments, and net disbursements. Files also include Treasury Form 6652, Statement of Differences. These are GAO site audit records. Arranged chronologically.	C.O.	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. (FARC will destroy according to the above GAO instructions.)
703-12 *	SCHEDULE OF CANCELLED CHECKS FILES. Consist of SF-1098 listing checks for cancellation by Treasury. Identifies department; bureau; location; Disbursing Office symbol, number, and location. For each check, shows date of issue, check number, payee, applicable voucher number, amount, and symbol of appropriation or fund to be credited. May also include supporting correspondence relating to the reason for cancellation. These are GAO site audit records. Arranged by schedule number.	Diff	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. (FARC will destroy according to the above GAO instructions.)

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 71

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
703-13 *	<u>CONSTRUCTION PROGRESS STATUS REPORT FILES.</u> Monthly computer printouts by project showing cost code; description (labor, supplies, contract); estimated and actual manhours; amount of the approved program; obligations total to date; current year program and current year to date; and total cost to date. Bottom line shows unbilled balance of allotments and authorized collections. These files are used to document allotments of funds to projects. Arranged chronologically.	C.O.	Cut off at close of fiscal year in which action is completed. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff.
703-14 *	<u>CERTIFICATE OF DEPOSIT FILES.</u> These files consist of SF-219, Certificate of Deposit, maintained in deposit number sequence. Shows date, deposit number, accounting station, symbol, bank name and location, sum, accounting symbols and amounts, and department or agency name and address. The forms are annotated with batch number and date and are used to show deposits of funds in banks. Arranged numerically.	Diff	Cut off at close of fiscal year. Destroy 3 years after cutoff.
703-15 *	<u>ACCOUNTS PAYABLE AND UNDELIVERED ORDERS FILES.</u> Monthly computer printout showing the project (location) total of undelivered orders and/or accounts payable. Shows document number, area, location, appropriation, activity, cost code, work order number, object class, description (number of schedule), other identification, undelivered order amount, accounts payable amount, amount disbursed, transaction code, and amount and date of last transaction. These files are used to determine accounting status. Arranged chronologically.	C.O.	Cut off at close of fiscal year. Destroy 3 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 72

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
703-16 *	DAILY INPUT REGISTER FILES. This file, also known as the Input Transaction Register, is a computer printout listing of all documents input into the fiscal system daily. Shows numerical sequence, batch, document reference number, area, agency, location, fiscal year, appropriation, accounting information, description, other identification, and amount. Used to correct input errors. Arranged chronologically.	C.O.	Cut off at close of fiscal year. Destroy 1 year after cutoff.
703-17	CODING SHEET FILES. These files consist of Form 5-4236, Financial Accounting System Code Sheet. Shows document reference, general ledger debit or credit, area, agency location, appropriation, activity, accounting code, program detail, work order, object class, distribution, and amount. Includes batch header coding sheet for group of coding sheets covered plus adding machine tape for sum. These documents are used for system input. Arranged chronologically.	Diff	Cut off at end of each quarter. Destroy 3 months after cutoff.
703-18 *	PAID VOUCHER FILES. These files contain copies of purchase orders; original invoices; and a copy of SF-1166, Voucher and Schedule of Payments. In addition for automated system, also includes a copy of the printout showing voucher number, vendor information and amount, code sheet and data control sheet. These files are used to document purchase of miscellaneous items and the related payment. Arranged numerically.	Diff	Cut off closed files at end of fiscal year. Hold 1 year and retire to FARC. (FARC will destroy according to the following GAO instructions: Records created prior to July 2, 1975, should be kept 10 years, 3 months after the period of account. Records created after July 2, 1975, retain 6 years, 3 months.)
703-19 *	DAILY INPUT AUDIT TRAIL FILES. Computer printout for all vouchers in the automated system. Shows voucher number, vendor name and address, account and description, and statement that voucher "found to be in balance with the above accounting transactions." Also includes an alphabetical vendor name list. Used to correct input errors.	C.O.	Cut off at close of fiscal year. Destroy 1 year after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 73

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
704-01	<p>SECTION 4. PAYROLL FILES</p> <p>See Part 9, Section 5 for magnetic tape payroll records.</p> <p>TIME AND ATTENDANCE REPORTS. Copies maintained by Time and Attendance Clerks for administrative purposes. Originals are forwarded for payroll preparation. Arranged chronologically by pay period, thereunder alphabetically.</p> <p>PAYROLL DETAIL COST REPORT FILES. Computer printout files showing pay information for all BIA employees. Shows area, agency, name, SSN, pay period number, transaction code, accounting data, manhours, biweekly gross, FICA if applicable, retirement, Federal Employees Government Life Insurance, health benefits, and total cost. Arranged chronologically by pay period.</p>	DIFF	Cut off at end of pay period. Destroy 1 year after cutoff.
704-02			<p>C.O. Cut off at close of calendar year. Retire to National Personnel Records Center, St. Louis, MO, 3 years after cutoff. Destroy 56 years after cutoff.</p> <p>Diff Cut off at close of calendar year. Destroy 3 years after cutoff.</p> <p>C.O. Cut off at close of calendar year. Destroy after audit by GAO or 3 years after cutoff, whichever is earlier.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 74

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
704-03	<u>HEALTH INSURANCE FILES.</u> a. Health Benefits Registration and Notices of Change in Enrollment Status Form, signed originals. Arranged alphabetically. b. Transmittal and Summary Report to Carrier, showing number of employees covered, added, dropped, etc. Arranged chronologically.	Diff	Cut off at close of fiscal year in which employee is separated
705-01	<u>SECTION 5.1 CONTROL AND TRUST ACCOUNT FILES</u> <u>CONTROL, TRUST, AND TRIBAL ACCOUNTS GENERAL LEDGER FILES.</u> Consist of SF-1014a Cards showing debit and credit entries and are used to reflect expenditures in summary. Shows each account number and title, previous balance, date of entry, description, debit amount, credit amount, memorandum, and balance. These files cover control accounts: allocations, allotments, and securities purchased with tribal funds and tribal accounts. Arranged by ledger account number.	G.O.	Cut off at close of fiscal year. Destroy 4 years after cutoff.
705-02*	<u>STATEMENT OF TRANSACTIONS FILES.</u> Consist of SF-224, Statement of Transactions. They contain copies of documents prepared in the field and originals of documents and source documents for those prepared at the Administrative Service Center for manual systems. These are GAO site audit records and are used to effect payments. Arranged numerically.		Permanent. Cut off ledger sheets that are filled or closed at close of the fiscal year. Hold 10 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 75

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	a. Administrative Service Center.	C.O.	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. FARC will destroy according to the following GAO instructions: Records created prior to July 2, 1975, should be kept 10 years, 3 months after the period of account. Records created after July 2, 1975, retain 6 years, 3 months.
	b. Area/Agency Offices.	Area Agency	C.O.
705-03*	<u>APPROPRIATION WARRANT FILES.</u> Consist of Treasury Form 523, Appropriation Warrant. Shows the total amount of the warrant and breaks it down by appropriation. Cites the public law number and date approved. These records are received by facsimile from the Department of Administration in Washington and document receipt of funds. Arranged chronologically.	Diff	Cut off at close of fiscal year. Destroy 3 years after cutoff.
705-04*	<u>ADVICE OF COLLECTIONS FILES.</u> Consist of Form 5-770 showing the unit name, reference to the certificate deposit number and date, symbol and appropriation number, description, and amount. Used to show deposits of funds into various appropriations. Arranged chronologically.	C.O.	Cut off at close of fiscal year. Destroy 3 years after cutoff.
705-05*	<u>STATEMENT OF RECEIPTS FILES.</u> Consist of SF-108, which is an annual report for miscellaneous receipts to the Division of Administration in Washington. Shows receipt symbol, receipt account title, and actual funds received. The form also has columns for two fiscal year estimates; however, none are made at the Administrative Service Center. Included in these files are comments and work sheets. Arranged chronologically.	C.O.	Cut off at close of fiscal year. Destroy 3 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 76

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
705-06 *	<u>REPORT OF UNAVAILABLE RECEIPTS FILES.</u> Consist of the report of miscellaneous receipts (sale of maps, etc.) for monies returned to the U.S. Treasury General Fund. Shows current year to date, location code, dates, and account symbols. These reports are used for comparison to SF-224, Statement of Transactions. Arranged chronologically.	Diff	Cut off at close of fiscal year. Destroy 3 years after cutoff.
705-07 *	<u>NONEXPENDITURE TRANSFER AUTHORIZATION FILES.</u> Consist of SF-1151, which is a notification to Treasury to transfer funds from one appropriation to another. Arranged numerically.	Diff	Cut off at close of fiscal year. Destroy 3 years after cutoff.
705-08 *	<u>APPORTIONMENT AND REAPPORIONMENT SCHEDULE FILES.</u> Consist of SF-132 showing by appropriation Budgetary Resources and Application of Budgetary Resources. Also includes DI Form 521, Revision of Activity or Project Allotment Showing Budgetary Resources Allotted to Major Activities or Projects. Amounts listed for each item. Arranged chronologically, thereunder by activity or project.	Diff	Cut off at close of fiscal year. Destroy 2 years after cutoff.
705-09 *	<u>ADVICE OF ALLOTMENT FILES.</u> Consist of Form 5-4101, Advice of Allotment. Identifies unit name, number, appropriation symbol, and title. Shows account number, description and title, and amount allotted (increase or decrease). These documents are used in the Administrative Services Center Fiscal Office for posting only. Arranged numerically.	C.O. Area	Cut off at close of fiscal year. Destroy 3 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 77

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
705-10 *	UNAPPROPRIATED RECEIPTS TRIAL BALANCE FILES. Consist of computer printouts received from the Treasury reflecting deposits of tribal funds. They are used to balance with the general ledger cards. Arranged chronologically.	C.O. Area	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC.
706-01 *	SECTION 6. INDIAN SERVICES SPECIAL DISBURSING AGENT FILES	C.O. Area Agency	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC will destroy according to the following GAO instructions: Records created prior to July 2, 1975, should be kept 10 years, 3 months after the period of account. Records created after July 2, 1975, retain 6 years, 3 months.
706-02 *	VOUCHER FILES. Consists of SF-1034, Public Voucher For Services and Purchases Other than Personal. Shows purchase of securities from Treasury, banks, etc. These files are used to document investment of excess cash. Gives payee name and address, check number, article or services, amount and accounting classification. These are GAO site audit records. Arranged numerically by voucher number.	Area Agency	Cut off at close of fiscal year. Hold 3 years after cutoff.
706-03 *	CERTIFICATES OF DEPOSIT FILES. Contain SF-209, Certificate of Deposit, for funds deposited in local banks by Area Offices. Covers their individual Indian Money Accounts. Arranged numerically, indexed alphabetically.	Area Agency	Cut off at close of fiscal year. Destroy 3 years after cutoff.
	JOURNAL VOUCHER FILES. Consists of GAO Stock Form 1017, Journal Voucher, for crediting interest to Individual Indian Money Accounts. Prepared in Area Offices.	a. Area Office.	Cut off at close of fiscal year. Destroy 3 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 78

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	b. Other office copies.	Area Agency	Cut off at close of fiscal year. Destroy 2 years after cutoff.
706-04*	<p><u>MONTHLY CHECK RECONCILIATION LISTING FILES.</u> Computer printout showing accounting symbol, serial number, and amount for all checks written for Indian Services Special Disbursing Agent. Includes totals. These are GAO site audit records. Arranged chronologically by month.</p> <p><u>SPECIAL DISBURSING AGENT FILES.</u> General ledger detail list which covers Indian Services Special Disbursing Agent funds only. Shows debit and credit entries and is used to reflect expenditures in summary. Arranged chronologically.</p>	C.O. Area Agency	<p>Cut off at close of fiscal year. Hold 1 year or until volume warrants and retire to FARC.</p> <p>FARC will destroy according to the following GAO instructions: Records created prior to July 2, 1975, should be kept 10 years, 3 months after the period of account. Records created after July 2, 1975, retain 6 years, 3 months.</p>
706-05*		C.O. Area Agency	<p>Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff. Destroy duplicate copies when no longer needed for reference.</p>
706-06*	<u>TRIAL BALANCE FILES.</u> Monthly reconciliation of individual Indian Money Accounts, local form, prepared in each Area Office showing a trial balance of general ledger accounts. Prepared at Area and Agency Offices and sent to the Indian Services Special Disbursing Agent Office. Arranged chronologically by month.		Cut off at close of fiscal year. Destroy 1 year after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 79

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
706-07*	RECONCILIATION STATEMENT FILES. Consist of Treasury Form TUS 5207, Reconciliation Statement of Funded Checking Account Maintained with the Treasurer of the United States. Prepared by Treasury for the Special Disbursing Agent monthly. Shows for the Disbursing Agent and for the Treasurer of the United States: opening balance, plus deposits credited, total, less checks paid, closing balance, plus deposits credited but not claimed, plus deposits claimed but not credited, not claimed, plus deposits claimed but not credited, plus outstanding checks, and totals. Also includes back-up copies of Certificates of Deposit, statement of checking accounts (list of checks deposited), other supporting documents, and adding machine tapes. These records are no longer accumulating. Arranged numerically.	Diff	Cut off at close of fiscal year. Destroy 3 years after cutoff.
706-08*	INDIAN SERVICES SPECIAL DISBURSING AGENT (ISSDA) REPORT FILES. These files consist of monthly report to Treasury by the Special Disbursing Agent. Include: SF-1219, Statement of Accountability; SF-1220, Statement of Transaction according to Appropriations, Funds, and Receipt Accounts; SF-1178, Statement of Funded Checking Account and Report of Checks Drawn on the Treasurer of the United States; and SF-1179, Reconciliation of Block Control Level Totals of Checks Issued (net total becomes net withdrawals for the month on SF-1178). This entire file is a GAO site audit record. Arranged chronologically.	Diff	Cut off at close of fiscal year. Hold 1 year or until volume warrants and retire to FARC. FARC will destroy according to the following GAO instructions: Records created up to July 2, 1975, should be kept 10 years, 3 months after the period of account. Records created after July 2, 1975, retain 6 years, 3 months.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 80

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
706-09 *	<p><u>DAILY DISBURSEMENT REPORT FILES.</u> These files consist of local area forms showing summary of checks written. Identifies Julian date, area, agency code, check numbers, schedule number, and number of checks. Shows account numbers, debits and credits. An adding machine tape for the sum is also attached. These records are used to balance check copies reports. Although not a GAO site audit record, these records facilitate GAO audits. Arranged chronologically.</p>	Diff	<p>Cut off at close of fiscal year. Hold 1 year or until volume warrants and retire to FARC.</p> <p>FARC will destroy according to the following GAO instructions: Records created prior to July 2, 1975, should be kept 10 years, 3 months after the period of account. Records created after July 2, 1975, retain 6 years, 3 months.</p>
706-10	<p><u>CHECK CARD FILES.</u> Punched cards for each check written by the Bureau of Indian Affairs. Shows account station code, amount, and accounting information. Does not show payee name. Used to correct errors until printout of issued checks is received. Arranged numerically.</p>	C.O.	<p>Cut off monthly. Destroy when printout of issued checks is received.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 81

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
PART 8. CONTRACTING AND PROCUREMENT RECORDS			
801-01	SECTION 1. PROCUREMENT FILES <p>PROCUREMENT REGISTERS. Registers maintained to record and control the assignment of numbers to contracts, purchase orders, invitations to bid, interagency agreements, requisitions and similar type documents and to record other data relative to processing of procurement actions. Arranged by register number.</p>	Diff	Cut off at close of fiscal year in which final entries are made on all procurement actions entered for that year. Destroy 6 years after cutoff.
801-02	<p>CONTRACT OR PURCHASE TRANSACTION FILES. Consist of documents relating to the initiation, administration, negotiation, award, inspection, testing, acceptance, and payment of purchase transactions. Includes contract, requisition, purchase order, lease, bond and surety records, correspondence and related papers. Arranged by purchase order number.</p> <p>a. Construction contracts exceeding \$2000, and purchase orders or comparable instruments after July 25, 1974, for amounts of \$10,000 or more.</p> <p>b. Construction contracts under \$2000 and purchase orders or comparable instruments after July 25, 1974, for amounts of less than \$10,000.</p>	Diff	Cut off at close of fiscal year. Place in inactive file when transaction is completed. Hold 2 years or until volume warrants and retire to FARC. Destroy 6 years after cutoff.

*

*

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 82

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
*	c. Purchase order working files maintained by operating offices.	Diff	Cut off at close of fiscal year in which final payment is made. Destroy 2 years after cutoff.
	d. Duplicate copies.	Diff	Destroy when no longer needed for reference.
		Diff	Destroy when canceled or superseded, or when company is removed from qualified bidder list or similar record.
		Diff	File in official contract or purchase transaction file.
		Diff	Cut off at close of fiscal year in which denied. Retire to FARC if volume warrants. Destroy 6 years after cutoff.
801-03	<u>BIDDER RECORDS.</u> Includes records of qualified or disqualifed bidders, bidders mailing lists, bidders list applications such as SF-129 and other similar or related papers.	Diff	
801-04*	<u>BID FILES.</u> Case files of bids received from prospective contractors for various supplies, equipment, and/or services.	Diff	
	a. Successful bids.	Diff	
	b. Unsuccessful bids.	Diff	
801-05*	<u>UNSOLICITED PROPOSAL FILES.</u> Consists of individual and outside contractor's unsolicited proposals and supporting papers; BIA findings and evaluations; acknowledgement receipts; denial information and other related papers. Arranged alphabetically by contract name.	Diff	

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15. BIAM SUPPLEMENT NO. 3
Appendix 2
Page 83

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
801-06 *	<p>a. Awarded.</p> <p>b. Rejected.</p>	Diff	Place in official contract or purchase transaction case file. (801-02)
801-06 *	<p><u>INTERAGENCY AGREEMENT CASE FILES.</u> Files which reflect formal agreement between Federal entities to perform services on reimbursable basis. Documents include original copies of pre-award data such as contract status control; request for contract action; basic interagency agreement and sub-agreement; modifications and supporting papers; cost estimates and related data; voucher transfers between appropriations and/or funds; vouchers and schedules of withdrawals and credits; technical, financial, and other miscellaneous reports; press releases, information bulletins, and related papers. Arranged by case number. Record copy to be retained by office of origin.</p>	Diff	Cut off at close of fiscal year. Place in inactive file when final payment is made. Hold 2 years or until volume warrants and retire to FARC. Destroy 6 years after cutoff. Destroy duplicate copies when no longer needed for reference.
802-01 *	<p><u>CONTRACT ADMINISTRATION FILES</u></p> <p><u>CONTRACT MONITORING CASE FILES.</u> Working files maintained by offices and program/project monitors responsible for administering or monitoring BIA contracts and interagency agreements. Case papers include duplicate copies of documents found in the official contract or interagency agreement case file and additional back-up materials such as notes and working papers concerning contractor activities; evaluation of contractor proposals, submissions, and reports; copies of correspondence concerning subcontractor activities; and routine communications</p>	C.O. Area	Cut off at close of fiscal year in which final payment is made. Hold 2 years or until volume warrants and retire to FARC. Destroy 6 years after cutoff. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 84

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	pertaining to administering the individual contract or interagency agreement. Arranged by contract number. (See Schedules 801-02 or 801-06 for the official record of a contract or interagency agreement.)		

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 85

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
901-01	<p>PART 9. AUTOMATIC DATA PROCESSING RECORDS</p> <p>The following Part contains records associated with electronic data processing. Section 1, System Documentation Files, consists of paper records usable by people. All other sections pertain to machine-readable records residing primarily on magnetic tape. However, some disk records also exist in BIA systems; records descriptions contained herein are applicable regardless of the media used for storage, i.e., magnetic tape, disk, or drum. These records are maintained at the Division of ADP Services, Albuquerque, New Mexico.</p> <p>For ADP output related records, consult the individual Parts and Schedule numbers for that program or function. The official record copy for Financial management computer printout records will be maintained by the Branch of Finance and Accounting, Albuquerque, New Mexico.</p>	<p>SECTION 1. SYSTEM DOCUMENTATION FILES</p> <p><u>SYSTEM FEASIBILITY STUDY FILE.</u> Consists of documents required as the first phase of system documentation. Management uses information developed early in this phase to determine the course of action on the project. Documents contained include the following: the request for ADP services containing general specifications, reason for the request, suggestions and comments, and authorizing official's signature; the initial ADP response to the user's request. Flowchart of the existing system portraying major aspects of the existing system; a report analysis identifying the elements of information furnished on existing reports;</p>	

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 86

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	<p>an analysis of each type of form or document used in the existing system; an analysis of each file involved in the existing system; a description of the characteristics of those documents used to generate input data to the system; file or data set descriptions providing basic data relative to each file or data set required in the system; record description providing basic data for each element within a given record; layout of each output report; system analysis grid charts highlighting unnecessary duplications; narrative report describing the existing system and the proposed system; flow diagram of the proposed system; cost comparison of existing and proposed procedures; detailed cost narrative; a schedule for implementing the proposed system showing beginning date and projected implementation date; and review and acceptance of the feasibility study documentation reflecting the user's review of the documentation and his decision to support the proposal. Documents are arranged in the folder in the order described above and are filed in the technical library by system.</p> <p>a. Feasibility studies not supported by the user.</p> <p>b. Feasibility studies accepted.</p>	<p>C.O.</p> <p>C.O.</p>	<p>Cut off at close of fiscal year in which decision is made. Destroy 5 years after cutoff.</p> <p>Cut off at close of fiscal year when system becomes obsolete. Destroy 5 years after cutoff.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 87

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
901-02	<p>GENERAL SYSTEM DESIGN FILE. Consists of documents required as an overview or overall description of the system. Documents contained in this part include the following: a general system narrative containing a concise, nontechnical explanation of the system; a flowchart portraying input requirements in a block diagram; a description of the data requirements of the system; file or data set descriptions providing basic data relative to each file or data set required in the system; a record description providing basic data for each element within a given record; the desired layout of each output report; document flow diagram portraying the flow of each user-generated document through the entire system; glossary of terms and abbreviations including a list of references which support certain requirements of the specifications; and a review and acceptance of general system design specifications reflecting user review and acceptance of the design of the system.</p>	C.O.	<ul style="list-style-type: none"> a. For systems in which all master data files are declared permanent, transfer to NARS with appropriate file. b. For systems in which all data files are disposable under this schedule, cutoff where system is superseded or discontinued. Destroy when all magnetic tape data have been destroyed.
901-03	<p>SUBSYSTEM MODULE DOCUMENTATION FILE. When required, the subsystem module file consists of the following documents: an explanation of the purpose and relationships of subsystem to the overall system objectives and general processing requirements; a flowchart showing data flow through the entire subsystem module; a file flow diagram portraying the flow of all files through the entire system; a review of subsystem module specifications for accuracy and completeness.</p>	C.O.	<ul style="list-style-type: none"> a. For systems in which all master data files are declared permanent, transfer to NARS with appropriate file. b. For systems in which all data files are disposable under this schedule, cutoff when system is superseded or discontinued. Destroy when all magnetic tape data have been destroyed.

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 88

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
901-04	PROGRAM SPECIFICATIONS FILE. After missing information is supplied on prior level documents, this file is begun. Documents include the following: a narrative description of the computer program showing purpose, program requirements, limitations, and restrictions; decision logic table showing action entries for decision rules; program halts, messages and actions containing a list and explanation of each program halt, program-produced error message, and the action required; test data and run diagram used to assist the programmer and for subsequent use in the computer operation function; and a review of the computer program specifications determining accuracy, efficiency, and completeness.	C.O.	Cut off when the program is superseded. Destroy when all related magnetic tape data have been destroyed.
901-05	PROGRAM DOCUMENTATION FILE. Consists of a reference listing of those documents relating to the programs which were developed during the specification phase plus documentation about the program prepared when program is written, compiled, and tested. Consists of the following documents: a narrative reference to program specifications; additional required documentation consisting of the following: source listing of program, listing of test data used, optional program documentation, and other helpful documentation; and a review of program documentation reflecting a review for completeness, conformance with data processing manual procedures, and user review of all report test samples.	C.O.	Cut off when the program is superseded. Destroy when all related magnetic tape data have been destroyed.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 89

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
901-06	<p><u>OPERATIONS DOCUMENTATION FILE.</u> Establishes the requirements for operating documentation that will ensure proper performance during actual operation. Consists of the following items: input collection instructions outlining the procedure for collecting input source documents; an instruction for punching and encoding raw data into machine-readable media; job setup instructions containing the time frame, run time, control card preparation instructions, and method to be used for identifying process codes; input/output diagrams; run deck setup data; other applicable forms for stack information including computer operating instructions and a narrative description of each computer program used in the process; halt/messages/ actions for each program; input/output run diagrams; output preparation and distribution instructions providing a delivery schedule for each report; an identification and explanation of those areas on each report that must be checked before release; instructions for decollating, bursting, binding, and distribution; control log for report distribution; and review and acceptance of operations documentation by organization responsible for reviewing operational documentation.</p>	C.O.	<p>Cut off when the program is superseded. Destroy when all related magnetic tape data have been destroyed.</p> <p>a. For systems in which master data files are declared permanent, transfer to NARS with appropriate file.</p> <p>b. For systems in which all data files are disposable under this schedule, cutoff when system is superseded or discontinued. Destroy when all magnetic tape data have been destroyed.</p>
901-07	<p><u>USER DOCUMENTATION FILE.</u> This file varies considerably based on the size and the complexity of the system. Sufficient documentation must be furnished to support the system. As a minimum, user documentation must consist of the following items: an outline of the capabilities and limitations of the system, instructions for preparing source documents and samples of each document, a list or table of edit criteria, methods for establishing applicable batches and control totals, definition of error messages,</p>	C.O.	

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 90

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
901-08	<u>INPUT/OUTPUT RUN DIAGRAM FILES.</u> Identifies system, subsystem, data prepared, date of document it replaces, and run deck setup control. Used by computer operators to show sequence, input, sources, identification of tapes, etc.	C.O.	Cut off when superseded. Destroy 3 months after cutoff.
901-09	<u>MACHINE UTILIZATION RECORD FILES.</u> Computer printouts showing utilization of machine by project and lost time; used for internal management of computer installation only.	C.O.	Cut off at close of the fiscal year. Destroy 3 years after cutoff.
902-01	<u>SECTION 2. DATA AUTOMATION FILES</u> <u>PROJECT PROGRESS REPORTING FILES.</u> These magnetic files show project code, identification number of ADP work request; date, type, and priority assigned the request; requested and estimated completion date; estimated and actual man- and machine-hours; percent completion; current man- and machine-hours; and last status change date. This file is used for internal management and control within the various project offices of ADP at the Data Center.	C.O.	Cut off when superseded. Destroy tape data 2 years after cutoff.
902-02	<u>ADP PROGRAM ABSTRACT REPORTING FILE.</u> This magnetic tape file reflects pertinent information on computer programs, i.e., devices required, output produced, usage frequencies, etc. Data contained in this file is used to prepare reports for internal management. File contains the following information: current "as of" date; name of project, system, subsystem, and program; frequency of program; hardware devices used; memory required; type of operator intervention; type of input media and applicable source documents; average times required to convert raw data, set up the job, set up and take down equipment, and to run;	C.O.	Cut off when superseded. Destroy tape data 2 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 91

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
902-03	<p><u>OPERATIONAL CONTROL AND COMPUTER UTILIZATION FILES.</u></p> <p>These magnetic tape files show system number, run number, and task code; user number, initialize time, run time, elapsed time, stop and start time, and computer system identifier. Data is used to prepare a variety of reports on computer usage for both internal and external management.</p>	C.O.	<p>Cut off when superseded. Destroy tape data 3 years after cutoff.</p>
902-04	<p><u>WORK OR SCRATCH TAPE FILES.</u> Magnetic tape files used for the duration of a processing step or job. They may be reused or written over during or at the end of the job. Record material is retained in another format. Data are useless after they have been successfully used as input.</p>	C.O.	<p>Destroy according to programmer instructions.</p>
902-05	<p><u>INTERMEDIATE FILES.</u> These magnetic tape files consist of work or scratch tapes which have dated dispositions expressed in number of days. The tapes are processed a sufficient number of times during the retention period so that they have been successfully used as input and are considered useless.</p>	C.O.	<p>Destroy according to programmer instructions.</p>
902-06	<p><u>MAGNETIC PROGRAM TAPE FILES.</u> Magnetic tapes containing data transferred from properly-sequenced machine-coded object program deck and utility or processor program decks (e.g., load, label, I/O package, etc.) which are read into computer memory prior to running a program to cause the computer to perform data processing functions.</p>	C.O.	<p>Cut off when the program is removed from the system. Destroy tape data when the last records processed by the program have been destroyed.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 92

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
902-07	SYSTEM "DUMP" FILES. Magnetic tape files containing a complete "DUMP" of the systems pack.	C.O.	Dispose of after third update cycle.
902-08	PRINT TAPE FILES. Magnetic tapes containing source output data extracted from the system without destroying the source tapes. Used for producing required printouts of tabulations, ledgers, tables, registers, and reports.	C.O.	Cut off after printing. Destroy tape data after output has been released and approved.
902-09	SECURITY BACKUP TAPE FILE. Magnetic tape that is identical in format to master tape and is retained as security in case master tape is damaged or inadvertently erased.	C.O.	Cut off when report is released. Major reports not authorized for disposal must be submitted to NARS for review using standard form 115. Minor reports maybe destroyed one month after cutoff unless notified otherwise by the organizational element that requested the report.
902-10	SPECIAL REPORT TAPE FILES. Magnetic tapes containing data created for preparing nonrecurring, one-time, and special reports.	C.O.	Dispose of after fourth update cycle.
902-11	MAGNETIC TAPE LIBRARY CONTROL FILES. These magnetic tape files are updated daily and consist of library transaction records used to maintain the tape library.	C.O.	
SECTION 3. PROGRAM PLANNING AND EVALUATION FILES			
903-01	PROGRAM PLANNING AND EVALUATION MASTER FILES. Data contained in these magnetic tape files are accumulated on a fiscal year basis and used for long-range		

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 93

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	<p>planning and budgeting. Data reflects information to improve the basis of major program decisions in the operating agencies and in the executive offices. File is organized on the basis of BIA programs and reflects the future as well as the current. Three categories of information are shown: program memoranda, special studies, and financial plans. Program memos provide the documentation recommended for the budget year. Special studies provide the groundwork for the decisions reflected in the program memos. Program and financial plans are a summary of agency programs in terms of their output, costs, and financing needs over a planning period covering the budget year and two future years, or longer if appropriate. Shows entry type; originator; organization; transaction data; budget activity and suffix cost feature; reservation; program element and description; history number and indicator; estimates for: four prior years, plan current year, base current year, plan two years in future, base two years in future; decimal indicator; and change reason. File is used for reference as a part of the Qwick Query System. Printouts are used in BIA Washington offices for planning.</p> <p>a. Tapes produced during the fiscal year.</p> <p>b. Final fiscal year tape.</p>	<p>C.O.</p> <p>C.O.</p>	<p>Dispose of after fifth update cycle.</p> <p>Cut off at close of fiscal year. Destroy tape data 2 years after cutoff.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 94

SCHEDULE NUMBER	DESCRIPTION OF RECORDS*	FILE LOCATION	DISPOSAL INSTRUCTIONS
904-01	<p>SECTION 4. FINANCE FILES</p> <p><u>ACCOUNTING MASTER FILE.</u> These are general ledger files. External file label is 005-20-130-04. This magnetic tape file reflects the status of all BIA accounts. Shows general ledger account number, accounting data, location information, debit and credit balances, transaction amounts, and other fiscal data. The file is used as a source for most BIA financial reports and may be used to construct a GAO audit trail.</p> <p>a. Monthly tapes.</p> <p>b. Year-end final tapes.</p>	<p>C.O.</p> <p>C.O.</p>	<p>Cut off monthly. Destroy tape data 13 months after cutoff.</p> <p>Cut off at close of fiscal year. Destroy tape data 10 years after cutoff.</p>
904-02	<p><u>DOCUMENT MASTER FILE.</u> This magnetic tape file performs an essential step in BIA accounting. It contains a listing of documents showing one of the following accounting entries: accrual, obligation, disbursement, accounts receivable, and advance.</p> <p>a. Master file.</p> <p>b. Daily tapes. External file label is 005-04-065-01.</p>	<p>C.O.</p> <p>C.O.</p>	<p>Cut off at close of fiscal year. Destroy tape data 6 years and 3 months after cutoff.</p> <p>Cut off when processing is completed. Destroy tape data 45 days after cutoff.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 95

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
904-03	c. Monthly tapes. External file label is 005-22-04-03.	C.O.	Cut off when processing is completed. Destroy 1 year after cutoff.
904-04	<u>TRANSACTION HISTORY FILE.</u> These magnetic tape files consist of all records input to the financial system. Shows location data, appropriation, and accounting data. Information on these tapes may be used to construct a GAO audit trail. Tape data is used to prepare Monthly Journal of Transactions printout. External file label is 005-20-150-04.	C.O.	Cut off at close of fiscal year. Destroy tape data 6 years 3 months after cutoff.
904-05	<u>HISTORY RECYCLE INPUT TAPE.</u> These monthly magnetic tape files contain both personal property and finance transactions transmitted daily from Area Offices via encoder. Shows batch and header, identification, end-of-file identification, batch and Julian date, station code and message number, batch record count, batch money control total, document reference number, area agency code, location code, BIA appropriation, and activity code. Transactions are split out at the data center and become input to the respective systems. All items passing the edit appear in the Transaction History File. External file label is 005-34-005-02.	C.O.	Cut off monthly. Destroy tape data 1 month after cutoff.
	<u>INDIVIDUAL INDIAN MONIES BALANCE FORWARD FILES.</u> This magnetic tape file contains a listing of individual IIM accounts, reflecting the money balance. Individual accounts are updated by deposit and withdrawal data furnished by Area Offices. Interest is computed on each account at six-month intervals. Earned interest of \$2.00 or more is automatically added to effect account balances. File is used for accounting of Individual Indian Monies accounts.	C.O.	Cut off at close of fiscal year. Destroy tape data 3 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 96

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
904-06	<u>INDIVIDUAL INDIAN MONEY NAME FILE.</u> This master file contains the names of individuals having an IIM account. Shows account number, census number, allotment code, type of transaction, subagency designation, and name of the individual. Information on this magnetic tape file is used for monthly and semiannual IIM reports. External file label is 005-01-090-01.	C.O.	Cut off on creation of a new master file. Destroy tape data 2 months after cutoff.
904-07	<u>FINANCIAL STRUCTURE, DESCRIPTION, AND CODING TABLES.</u> These magnetic tape files contain several tables used in the finance system. Included are location tables, general ledger structure and description tables, tribal activity structure and description tables, tribal appropriation table, work order table, and transaction code table. Dollar amounts are not included in these tables. The data is used in the Qwick Qwery System. May be used for element validation and element narrative. Tables are retained for reference, coding, or conversion purposes.	C.O.	Cut off when superseded. Destroy tape data 45 days after cutoff.
	SECTION 5. PAYROLL FILES <u>See Part 7, Section 4, Payroll Files, for ADP payroll records.</u>		<u>YEAR-TO-DATE PAY HISTORY FILE.</u> This magnetic tape file contains payroll and leave data for all employees who are paid or use leave. This magnetic tape file is produced biweekly, quarterly, and annually in the same format as the Pay History File except that this file has been updated with any Social Security Number and state code changes. The disk version of this file is used to produce W-2's at the end of the calendar year. A copy of this file is sent to NRPC. External file label is AT 601.

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 97

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
905-02	<u>PAYOUT DETAIL COST FILE.</u> This magnetic tape file is a result of computing the final cycle of payroll and contains detail cost information as reported on Time and Attendance Reports and as computed in accordance with financial management guidelines. One tape is produced each week; it contains BIA cost data used by the finance system. This information is also contained in the Pay History File. The external file label is AT 405. AT 401 is scratched when AT 405 is completed.	C.O.	Cut off biweekly. Destroy 1 year after cutoff.
905-03	<u>FINAL TIME AND ATTENDANCE TAPE FILE.</u> This magnetic tape file consists of Time and Attendance line item input to the pay process. The file is produced twice each biweekly period and is one of the two primary inputs to the pay calculation process. This magnetic tape file contains a detail of all time and attendance, pay, and leave adjustment entries used in computing employee pay and leave balances for a given pay process. Contains data elements showing the following information: SSN, batch and record codes, office and location codes, fiscal year, appropriation, transaction data, pay data, and leave data. This information is also printed on microfilm. External file label is AT 220.	C.O.	Cut off biweekly. Destroy tape data 1 year after cutoff.
905-04	<u>BOND MASTER FILE.</u> Contains a record of bond deductions authorized by each employee and is updated with deductions from the payroll process. Shows SSN, bond number, Area Office code, name, biweekly deduction, face value of bond, note face value, accumulation of amount deducted, refund code, effective issue date, SSN to be issued, name to whom sent, address, coowner, and name of coowner. External file label is 002-080-050-03. (Printout of ledger should be 3-year record.)	C.O.	Cut off biweekly. Destroy tape data 45 days after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 98

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
905-05	STUDENT TRAINEE PAYROLL FILES. This magnetic tape file contains payroll data for student employees. The file is used to process biweekly payroll for student trainees employed part time. External file label is AT 914.	C.O.	Cut off at close of calendar year. Destroy tape data after audit by GAO or 3 years after cutoff, whichever is earlier.
905-06	EMERGENCY FIREFIGHTER PAYROLL HISTORY FILE. Contains payroll data on individuals conscripted on an emergency basis to fight fires on or threatening Bureau lands. This magnetic tape file contains detail history of payments made to employees and deductions withheld. External file label is AT 628.	C.O.	Cut off at close of calendar year. Destroy tape data 3 years after cutoff.
905-07	EMPLOYEE ADDRESS FILE. These disk files contain check mailing addresses (employee address, designated agent, or area and agency) for those employees not having their net paycheck sent to a bank under the net check to bank procedure. File is automatically updated by receipt of an employee address form or by the receipt of a net check to financial institution designation. File is used in payroll process for supplying check mailing addresses. External file label is AD 125.	C.O.	Destroy data when superseded, obsolete, or no longer needed for reference.
905-08	TIMEKEEPER/UNION/CFC ADDRESS FILE. These disk files contain addresses for timekeepers, union locals, Combined Federal Campaign agencies, and other addresses as needs develop. Type of address is determined by code. Input is controlled by payroll staff in Albuquerque. Shows record code and entity number, name, address, and ZIP code. This file may be known as the "institution" address file. Used in the payroll process. External file label is AD 416.	C.O.	Destroy data when superseded, obsolete, or no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 99

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
905-09	<u>FINANCIAL INSTITUTION ADDRESS FILE.</u> These disk files contain addresses of financial institutions authorized by employees to receive savings allotments and net checks. Shows name, address, ZIP code of financial institution, and check sent last pay period indicator. This file may be known as the "Bank" file. External file label is AD 415.	C.O.	Destroy data when superseded, obsolete, or no longer needed for reference.
905-10	<u>INSTALLATION CODE LIST FILES.</u> This is a multi-file magnetic tape consisting of codings for area and agency installation descriptions; GSA, city, county, and state abbreviations; and job title descriptions. Input and update scheduling of these files is controlled by the Personnel Liaison Staff in Albuquerque. Files are used for special purposes where subject matter data is required on reports. External file label is 3199C7AAB.	C.O.	Destroy tape data when superseded, obsolete, or no longer needed for reference.
906-01	<u>PERSONNEL - PAYROLL MASTER FILE.</u> This magnetic tape file consists of personnel data on all BIA employees. Much of the data is generated as a result of pay computations in the integrated personnel-payroll system. Data is primarily that received from the Area Offices in the form of personnel actions, W-4's, etc. Contains data elements reflecting SSN, name, state and Federal tax, deductions, salary rates, leave data, position and occupation data, classification data, and appointment and allotment information. Used for payroll employees and for preparing personnel reports for BIA, Dept. of Interior, and other Federal	C.O.	Cut off monthly. Destroy tape after audit by GAO or 3 years after cutoff, whichever is earlier.

SECTION 6. PERSONNEL FILES

See Part 4, Section 4, for Personnel Management paper records.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 100

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
906-02	agencies. External file label is C1CEA113A.	C.O.	Cut off monthly. Destroy tape data 2 years after cutoff.
906-03	<u>PERSONNEL ACTION HISTORY FILE.</u> These magnetic tape files consist of data inputs taken from each personnel action effective within the month. Used for monthly and annual personnel reports and for research purposes. External file label is AT 106.	C.O.	Dispose of after fourth update cycle.
906-04	<u>VACANT POSITION FILE.</u> Contains information about positions that are established but never encumbered; about positions which have been vacated due to terminations, furloughs, etc.; and about budgeted positions not established. Also contains information about the last employee who held the position. This magnetic tape file is updated with data from personnel actions from the field. Shows office, activity, position, and pay. External file label is 3199CICKA.	C.O.	Cut off at close of calendar year. Destroy tape data 1 year after cutoff.
907-01	<u>TEACHER RECRUITMENT FILE.</u> This magnetic tape file includes applicants for all Federal educator positions. Data includes personal resume-type data. The file is used to create and maintain a Teacher Application Information File and to produce a variety of related reports about teacher recruitment for the Civil Service Commission. Maintained for the CSC by the BIA. External file label is AT 830.	C.O.	Dispose of after third update cycle.
SECTION 7. PROPERTY FILES			
907-01	<u>PERSONAL PROPERTY MASTER FILE.</u> This magnetic tape master file contains data reflecting all accountable property items throughout the BIA. The file reflects action code, document reference number; area, agency, unit, and nomenclature codes; BIA identification number; book or purchase value; make or other	C.O.	Dispose of after third update cycle.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 101

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	LOCATION	FILE	DISPOSAL INSTRUCTIONS
907-02	identification; serial number; and nomenclature description. Data is used to prepare monthly, semiannual, and special request-type reports. This file is also a part of the Qwick Qwery system. External file label is 4513B.		C.O.	Dispose of after third update cycle.
907-03	REAL PROPERTY MASTER FILE. This magnetic tape file contains data pertinent to real property items under the jurisdiction of the BIA. The file reflects area agency codes; activity; unit designation; holding agency designation; usage code; year acquired; assigned building number; property code; GSA location code; cost; ownership codes; size of property; and card code. This file is also a part of the Qwick Qwery System. External file label is 071-01-010-02.		C.O.	Dispose of after third update cycle.
907-04	JUNEAU CONSOLIDATED PROCUREMENT CATALOG MASTER FILE. This magnetic tape file reflects all items that may be purchased under the annual consolidated purchasing agreement with GSA for subsequent delivery to various locations in Alaska. For each article, shows item number, stock number, description, unit of issue, unit cost, and accounting data. Printout of this file is used for ordering supplies. External file label is D5T001-CATALOG.		C.O.	Dispose of after third update cycle.
	FEDSTRIP SUPPLEMENTARY ADDRESS FILE. Contains basic address codes for each location in BIA. Shows supplementary address, mailing address, area, agency code, code as assigned by GSA, and date established. Used as reference for coding GSA shipping addresses. External file label is 005-06-030-01.			

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 102

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
908-01	<p>SECTION 8. TRIBAL FILES</p> <p>PER CAPITA MEMBERSHIP MASTER FILES. These magnetic tape files allow tribes to produce membership rolls and Per capita payments and to obtain special statistical information such as voting lists, mailing lists, age categories, family sizes, etc. as a part of the Qwick Query System. Contains tribal enrollment information showing tribal, individual, and family identification number; relation to family head; type of roll; area, agency, state, and reservation code; resident status; allotment number and relation to allotment number; parent and tribe identification numbers; sex code; date of birth and death; resolution data; Indian status code; blood degree; address; name; maiden name; family history; exception pay amount; description of payee; payee name and address; and special type names (alias, previous, maiden).</p>	<p>NOTE: The Machine Readable Archive Div. (NNR) of NARS did not select this file for permanent retention because data elements listed in the schedule were neither complete nor consistently recorded in the actual record. If all the data elements are ever consistently recorded, the value of the files would be greatly enhanced. Because BIA will continually be updating these records, NNR should have the opportunity to review them periodically.</p>	<p>a. Master file.</p> <p>b. Regional Disbursing Office tape used to produce checks. External file label is 600-04-040-01.</p> <p>c. Print tape associated with the same payment. External file label is 600-04-040-00; alternate labels are 600-04-050-01 and -00, and 600-04-060-01 and -00.</p> <p>C.O.</p> <p>Dispose of after third update cycle.</p> <p>C.O.</p> <p>Destroy 1 year after checks are issued.</p> <p>C.O.</p> <p>Destroy 1 year after checks are issued.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 103

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
908-02	JUDGMENT ROLL SYSTEM FILES. These magnetic tape files are used to show distribution of monies to Indian tribes. Shows judgment identification code; individual name, sex, and identification number; address; date postmarked; date letter sent; tribe enrollment; date of birth and death; ancestor name and roll number; status code; tribal document number; dates of appeal actions; and type and date of decision. File labels vary according to each judgment - beginning with 550 and continuing through 599.	<ul style="list-style-type: none"> a. Tapes produced prior to final payment. b. Tapes produced for final payment. c. Regional Disbursing Office tape. d. Print tape associated with the same payment. 	<ul style="list-style-type: none"> C.O. Dispose of after third update cycle. C.O. Cut off at close of fiscal year of final payment. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cut off. C.O. Destroy 1 year after checks issued. C.O. Destroy 1 year after checks issued.
908-03	ALASKA NATIVE ENROLLMENT FILES. These magnetic multtape files contain records of people, their ancestry, their vital information, and eligibility criteria. Covers applicants who reside in Alaska.		NOTE: The Machine Readable Archives Div. (NMR) of NARS did not select this file for permanent retention because data elements listed on the schedule were neither com-

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	<p>and claim residence; applicants who reside in Alaska and claim out-of-state residence; applicants who reside outside Alaska and claim residence; and applicants who reside outside of Alaska and claim out-of-Alaska residence. System is maintained to allow updating of individual records with determination data such as appeal decisions, changes in residence, changes as a result of administrative findings, and also to provide statistical and informative reports. External file labels are: Master 554-01-060-02-A, -B (name), and -C (exception).</p> <p>a. Master files, names, and exemption files.</p> <p>b. Recovery tape used to show each transaction.</p>	<p>C.O.</p> <p>C.O.</p>	<p>Dispose of after third update cycle.</p> <p>Cut off after each transaction. Destroy tape data 4 years after cutoff.</p> <p>Dispose of after third update cycle.</p>
908-04	<p><u>NAVAJO MEMBERSHIP FILES.</u> Magnetic disk files pertaining to each Navajo Tribal member residing on the Navajo reservation. Basically, this system is maintained as a population register file. Contains all Navajos in New Mexico, Arizona, and Utah. Area is broken down into 5 districts and 23 school districts. Contains tribal enrollment information showing tribal, individual, and family identification number; relation to family head; type of roll; area, agency, state, and reservation code; resident status; parent and tribe identification numbers; sex code; date of birth and death; Indian status code; blood degree; and name. The files are used to furnish the Vital Statistics Section (Window Rock) with pertinent information. Information is used primarily for statistical</p>		<p>NOTE: The Machine Readable Archives Div. (NMR) of NARS did not select this file for permanent retention because data elements listed in the schedule were neither complete nor consistently recorded in the actual records. If all the data elements are ever consistently recorded, the value of the files would be greatly enhanced. Because BIA will be continually updating these records, NNR</p> <p>15 BIAM SUPPLEMENT NO. 3 Appendix 2 Page 104</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 105

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
909-01	purposes, population estimates, sampling, and other applications and may be used in the future by the Bureau of the Census.	C.O. should be given the opportunity to review them periodically.	Dispose of after third update cycle.
909-02	SECTION 9. PLANT FILES	C.O.	Dispose of after third update cycle.
909-03	PLANT MANAGEMENT UTILITY FILES. This magnetic tape file reflects the data pertaining to types and values of utilities operated by the BIA at various locations. Data is used to assist in planning and projecting consumption or quantity rates. The file shows area agency codes, locations, activity, internal program control, original cost of the utility, present value of the utility, replacement cost, year completed and renovated, consumption rate or quantity, action code or general ledger account, and information describing the action. External file label is PPUTILEQP.	C.O.	Dispose of after third update cycle.
909-04	PLANT MANAGEMENT SCHEDULE OF SERVICES. This magnetic tape file is used for planning activities of each plant management office. It identifies the actions required to service the various buildings or grounds under BIA jurisdiction. The file shows area agency codes, location, type of action, building number, usage code, area in square feet, activity code, heat, electricity, water, sewer, number of telephones, sanitation, janitorial service, protection, grounds care, supervisory service, and year. External file label is PMSCHSWC.	C.O.	Dispose of after third update cycle.
909-05	PLANT MANAGEMENT BUILDINGS FILE. Information pertinent to all buildings under the jurisdiction of the BIA is contained in this magnetic tape file.	C.O.	Dispose of after third update cycle.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 106

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	<p>Information is updated periodically from data furnished by the Area Plant Management Offices. The file shows area agency codes, location, action code, internal program control, original cost of structure, present value, replacement cost, dates of completion and renovation, quantity consumption rate or quantity internal progress control, and action or general ledger code. The file also shows information describing the building, central heating, number of bedrooms and classrooms, date roof installed, date painted, and building number assigned. File is used to produce inventories and statistics relative to buildings and structures maintained by the BIA. External file label is PMBUILD.</p>	C.O.	Cut off at close of fiscal year. Destroy tape data 3 years after cutoff.
909-04	<p><u>PLANT MANAGEMENT PROGRAM INVENTORY FILES.</u> Magnetic tape file identifies the various facilities under the jurisdiction of the BIA; i.e., item number and units for current and budget fiscal year and actual and estimated data. The file shows: item identification; physical location; area; agency; location; line item; actual FY item data, number, and units; current FY item data, number, and units; budget FY item data, number, and units; and estimated FY item data, number, and units. Data in this file is used for projections and planning. External file label is PMRMINVN.</p>	C.O.	Dispose of after third update cycle.
909-05	<p><u>PLANT MANAGEMENT REPAIR AND MAINTENANCE MASTER.</u> This magnetic tape master file contains cumulative data relative to the repair and maintenance of buildings and structures operated under the jurisdiction of the BIA. File is updated periodically as repair and maintenance activity is undertaken on each building. Shows area agency codes; location; activity; cost</p>	C.O.	

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 107

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
909-06	coding feature; FY; sequence number; dollar cost of labor, repair, and upkeep; clearing account; total cost for repair or maintenance; and title for each action.	C.O.	Dispose of after third update cycle.
909-07	PLANT MANAGEMENT PLANT OPERATIONS MASTER FILE. This magnetic tape file contains agency code, activity code, program, work order, hours, dollars, materials, contract, miscellaneous estimates, quarter, completion code, and name. Information contained in this file is used in production of work programs. External file label is PMPOST.	C.O.	Dispose of after third update cycle.
909-08	PLANT MANAGEMENT LOCATION FILE. This magnetic tape file shows agency code, location name, school code, state code, city code, county code, Congressional district code, state name and county name. The tape is used to obtain titles for different reports within the plant management system. External file label is PMLOCATE.	C.O.	Dispose of after third update cycle.
	PLANT MANAGEMENT MAJOR ALTERATIONS AND IMPROVEMENT LOG.	C.O.	Dispose of after third update cycle.
	This magnetic tape contains information to be used in creating reports regarding the backlog of projects within the major alterations and improvement of programs. The file contains agency code, year, BIA priority, area priority, agency priority, activity code, project, work order, justification code, and dollar amount. Reports are used by field units to maintain status of their MAI backlog projects. They are also used to establish priorities for funding. External file label is PMMAILOG.		

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 108

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
909-09	<u>PLANT MANAGEMENT REPAIR AND MAINTENANCE LOG.</u> This magnetic tape file contains information to be used in creating reports regarding the backlog of projects within the repair and maintenance of programs. The file contains agency code, year, BIA priority, area priority, agency priority, activity code, project, work order, justification code, and dollar amount. Reports are used by field units to maintain status of their MAI backlog projects. They are also used to establish priorities for funding. External file label is PMRMLOG.	C.O.	Dispose of after third update cycle.
909-10	<u>MICRODEX FILE.</u> Consists of a microfilm index system maintained on magnetic tape. The index covers all BIA engineering drawings on roll microfilm. The entire system consists of about 62,000 drawings. Roll and frame numbers are shown in the file, which is maintained by frame identification number. Original drawings are retired to the FARC. Microfilm is maintained in Facilities Engineering Office.	<ul style="list-style-type: none"> a. Index file. b. Encoder tape. 	<ul style="list-style-type: none"> C.O. Dispose of after third update cycle. C.O. Dispose of after third update cycle.
		SECTION 10. SCHOOL FILES	
910-01	<u>SCHOOL FACILITIES MASTER EQUIPMENT FILE.</u> This magnetic tape file contains all school-related items that may be ordered through GSA or through Property Management on open market for nonstock items. Shows identification number, description, nomenclature code	C.O.	Dispose of after third update cycle.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 109

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
910-02	and description stock number, object class, unit of issue, unit cost, and multiaward. External file label is 200-01-025-03.	C.O.	Dispose of after third update cycle.
910-03	<u>SCHOOL FACILITIES MASTER ROOM TYPE FILES.</u> This magnetic tape file reflects the basic items required in certain type classrooms, workshops, dormitories, etc. Shows room type number, identification number, nomenclature code and description, stock number, object class, unit of issue, unit cost, quantity allowed, description, room type name, and line number. Used for ordering when a new facility is being furnished. External file label is 200-01-055-04.	C.O.	Dispose of after third update cycle.
910-04	<u>SCHOOL FACILITIES PROJECT FILE.</u> This magnetic tape contains all necessary accounting data to complete a multiline requisition for purchasing stock or nonstock items through GSA. Shows project number, work order number, accounting distribution code, pseudo code, estimated cost per code, accrual cost per code, project name, area, agency, document identification, routine identification, requisitioner, supplementary address, signal code, fund code, priority, requested delivery date, advice, BIA identification code, and originating office requisition number. Used for automated requisitioning from GSA. External file label is 200-01-085-04.	C.O.	Dispose of after third update cycle.
910-05	<u>MASTER CURRICULUM FILE.</u> The main source of this data is HEW's State Educational Records and Report Series: Handbook VI entitled "Standard Terminology for Curriculum and Instruction in Local and State School Systems." This file contains records for each possible course that could be taught in an institution. The records contain the identification number as well.	C.O.	Destroy data when superseded, obsolete, or no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 110

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
910-05	as the titles of each subject.	C.O.	Destroy data when superseded, obsolete, or no longer needed for reference.
910-06	<u>INDIVIDUAL SCHOOL CURRICULUM FILE.</u> This file contains the courses actually taught at the individual schools. The data is generated by coded document from individual schools. The records contain the individual school number, the course identification number, and the course title.	C.O.	Dispose of after third update cycle.
910-07	<u>EDUCATIONAL FACILITIES INVENTORY MASTER FILE.</u> This magnetic tape file contains data related to the classroom and capacity of related education-type facilities within the BIA. The file reflects area agency codes, building number, building code, building description, grade range (low-high), academic capacity, dormitory capacity, building condition code, building gross square feet, year building constructed, year building renovated, room number, room code, room description, number of teacher stations, and room net square feet. The building number, building code, and condition codes were generated from the Plant Management Building File (PMBUILD). This file is also a part of the Qwick Query System. External file label is D2T006INVMSR.	C.O.	Dispose of after third update cycle.
	<u>STUDENT ENROLLMENT RECORDS SYSTEMS FILES.</u> These magnetic tape files cover all students enrolled in BIA-operated schools or dormitories. Contains individual student enrollment personal data. Shows student file number, name, sex, address, entry date, student type, admission criteria, graduation or withdrawal code and dates, birthdate and place, parent or guardian information, tribal information, degree of Indian blood, family number, and student enrollment/census number. Master file is on disk	C.O.	Dispose of after third update cycle.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 111

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	at Dept. of Interior in Washington, D.C. Used to update disk records, these magnetic tape records are essentially work tapes.		Dispose of after third update cycle.
911-01	SECTION 11. ROADS FILES <u>ROADS INVENTORY FILES.</u> Information in this magnetic tape file includes the following items for roads on BIA lands: area; agency; and reservation code; route number; section; road length; quality code; total cost in dollar mile; cost of seal coat by mile and section; snow removal by mile and section; class; present type of surface; current and planned road surface type; estimate to complete planned changes; school bus usage code; status of section of road; county section; Congressional district; state; average traffic; user benefit; plan benefit; and net benefit. Data is used in the Qwick Qwery System for reference. External file label is MASTRDINV.	C.O.	Dispose of after third update cycle.
911-02	 <u>BRIDGE INVENTORY FILES.</u> Information in this magnetic tape file includes the following items for bridges on BIA lands: area; agency; reservation; route; section; mile; post; state; Congressional district; county; school route; year built; structural characteristics and other structural data; condition of the superstructure and substructure; estimated remaining life; appraisal of general conditions and adequacy; proposed improvements showing year needed, type, description, cost, and type of funds. Data is used in Qwick Qwery System for reference and as an aid to budgeting for improvements. External file label is BRDGINV.	C.O.	Dispose of after third update cycle.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 112

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
912-01	<p><u>MASTER LAND DESCRIPTION FILE</u>. This disk file includes regular and townsite data that is received from the title plant. Information is taken from legal description of land within section, township, and range of an area of both trust and right-of-way. File shows reservation code; range; township; section; multiple use (county) code; meridian; range east or west; township; north or south; county, state, and township name and code; subdivision; block; lot; cross-reference reservation code; and subdivision name. The information contained in this file is used for reference purposes.</p>	C.O.	Dispose of after third update cycle.
912-02	<p><u>LAND INDEX (CHAIN OF TITLE) FILES</u>. Information in this file is received from the title plants where the data is taken from the Congressional Record; probate files; record of sales; leases; rights-of-way; deaths; deeds; patents; Congressional, Presidential, and Secretary Acts; and other specified documents. File shows: extract control number, land description by quarter-quarter, section, township, range, tract reservation code; tract number, average fractional interest conveyed, land description remark, multiple use (county) code, and master reservation code. These magnetic tape files are used to show a complete historical record on all Indian lands from the time of its issuance up to current ownership if still in trust (CFR requirement). (Refer to Schedule 1105-05 for a description of the original documents.)</p>	C.O.	Dispose of after third update cycle.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 113

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
912-03	<p><u>PEOPLE INDEX (CHAIN OF TITLE) FILES.</u> Information included in this magnetic tape file is received from the title plants where it is taken from Congressional Record, probate files, record of sales, deeds, specified documents, and other legal records. File shows extract control number; document type, number, and date; owner reservation code; owner (allotment) number and name; grantor-grantee code; relationship code; fractional interest acquired; and master reservation code. Files are used to maintain current legal ownership records on individual Indians, as well as tribally-owned land. A complete historical record must be kept (25CFR) on all Indian land from the time of its issuance up to current ownership if still in trust. (Refer to Schedule 1105-06 for a description of the original documents.)</p>	C.O.	Dispose of after third update cycle.
912-04	<p><u>RANGE PEOPLE (HEIR) FILE.</u> Information included in this magnetic tape file is received on coding sheets from the agency offices. File shows record type, range unit allotment number, name of heir, distribution code, authority, Indian identification number, decimal share owned, and stipulation code. File is used to prepare listing of heirs on Indian lands by name. (Refer to Schedule 1106-01 for a description of the original documents.)</p>	C.O.	Dispose of after third update cycle.
912-05	<p><u>RANGE LAND FILE.</u> Information in this magnetic tape file is taken from various legal land ownership documents and is received on coding sheets from the agency offices. File shows record type, range unit, reservation code, range unit money and acres, permittee name, Indian identification number, other identification number, animal unit months, class, (Indian or non-Indian), stipulation code, allotment</p>	C.O.	Dispose of after third update cycle.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 114

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
912-06	number, acres, land description by quarter-quarter, county code, kind of land, section, township, range, and stipulated money. File is used to prepare listings showing land occupancy by location. (Refer to Schedule 1105-01, 02, 03, 05, 06 and 07 for descriptions of the original documents.)	C.O.	Dispose of after third update cycle.
912-07	<u>INDIAN INFORMATION SYSTEM FILES.</u> This magnetic tape file contains tribal and non-tribal members who own land on the reservation. File contains current and historical personal information and provides the tribes with a method of acquiring lease income, establishing ownership, determining land and water usage, and furnishing financial analysis for BIA and tribal management.	C.O.	Dispose of after third update cycle.
912-08	<u>RANGE PERMITTEE PAYMENT SYSTEM.</u> This magnetic tape file contains personal and ownership data for Indian land owners, regardless of sex or age, who are the permittees for grazing privileges and for non-Indian permittees. File provides authorization for grazing privileges on individual Indian or tribal-owned land from which payments are made on yearly basis.	C.O.	Dispose of after third update cycle.
912-09	<u>LEASE DISTRIBUTION SYSTEM FILES.</u> Data on this magnetic tape file covers three reservations in the Aberdeen Area. File contains personal information on Indian landowners, regardless of sex or age. Shows money computations on each lease.	C.O.	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to the FARC. Destroy 20 years after cut off.
	<u>NAVAJO-HOPI JOINT USE PROJECT PEOPLE FILE.</u> This magnetic tape file consists of survey information collected by the Joint Use Administrative Office. Both people data and improvement data are included. File covers people who reside in the Joint Use	C.O.	

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 115

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	<p>Area. The information will be used by arbitrators, BIA officials, and the Courts to make determinations as to the disposition or allocations in the Joint Use Area. Printout is produced monthly for JUA Office in Flagstaff, Arizona.</p>	C.O.	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cut off.
912-10	<p><u>NAVAJO-HOPI JOINT USE PROJECT LAND FILE.</u> This magnetic tape file consists of survey information collected on land by the Joint Use Administrative Office. The land data collected is within the jurisdiction of Navajo-Hopi Reservation and is being used in accordance with the enactment of Public Law 93-531, which specifies in part the partitioning of like and equal land in the Navajo-Hopi Joint Use Area. The information will be used by U. S. Solicitor's Office, BIA officials, and the Courts to make determination as to the disposition of land in the Joint Use Area.</p>	C.O.	Dispose of after third update cycle.
912-11	<p><u>LRIP GEOGRAPHIC LOCATION DIRECTORY.</u> The information in this magnetic tape file is taken from the GSA Geographical Location Codes Manual. It shows state and county code, state and county name, and state abbreviation for all BIA locations. Card file is maintained in LRIP Liaison Office.</p>	C.O.	Dispose of after third update cycle.
912-12	<p><u>LRIP RESERVATION DIRECTORY.</u> This information included on this disk file is received from the Land Records Improvement Project (LRIP) Liaison Office. File shows reservation codes. Card file is maintained in LRIP Liaison Office.</p>	C.O.	Dispose of after third update cycle.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 116

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
PART 10. AUDIT AND INVESTIGATION RECORDS			
SECTION 1. AUDIT GENERAL FILES			
1001-01	ANNUAL SUMMARY OF AUDIT FINDINGS. Consists of annual or other periodic summaries of findings and recommendations in (1) internal audits of Bureau Operations and (2) audits or inspections of tribes or tribal activities performed by the Bureau.		Permanent. Cut off at the close of fiscal year in which summary is prepared. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement.
SECTION 2. INTERNAL AUDIT FILES			
1002-01*	BIA INTERNAL AUDIT CASE FILES. Documents accumulated in the review and examination of BIA operations by BIA or Department of Interior auditors, to ensure accuracy, propriety, legality, and reliability of the use of assets. Included are communications about scheduled audits; draft and final audit reports; responses, comments, and recommendations; reports on corrective actions planned and taken; and related working papers. Arranged by functional responsibility, theretunder by geographic location.	C.O.	Cut off at close of fiscal year in which audit is completed. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff. Destroy duplicate copies when no longer needed for reference.
SECTION 3. EXTERNAL AUDIT FILES.			
1003-01*	TRIBAL AUDIT REPORT FILES. Consist of record copies of the final audit report files of any tribal operation or tribal contract in which the audit was conducted by BIA auditors. May also include related papers concerning review and comments on draft reports by auditee and BIA Office with contract monitoring responsibility, reconciliation of recommendations and other responses, and other	C.O.	

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 117

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	clearance documents. Included also are pertinent papers regarding audit resolution and planned corrective actions. Arranged by tribe.		
	a. Official files maintained by C.O.	C.O.	Cut off at close of fiscal year in which audit is closed. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff.
	b. Reference copies maintained at Area and Agency offices.		Destroy when superseded, obsolete, or no longer needed for reference.
1003-02	<u>NONTRIBAL CONTRACT AUDIT CASE FILES.</u> Documents created as a result of examining contractor operations (other than tribal) to protect the interest of the BIA, to determine the reasonableness of costs, or for special purposes. Included are copies of contract proposals and contracts, communications with procurement officials, draft and final reports, comments and recommendations, and directly related working papers. Arranged by case number or name.	C.O.	Cut off at close of fiscal year in which audit is closed. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff. Destroy duplicate copies when no longer needed for reference.
1003-03*	<u>TRANSMITTAL AUDIT REPORTS.</u> Consists of original copies of all audit reports of tribal operations, or BIA grantees/contractors performed by other Federal agency audit staffs, State audit staffs, and commercial accounting firms. Included are comments and findings from BIA review of the audit reports. Arranged by tribe or contractor name. Record copy is maintained by Central Office Audit Staff.	C.O.	Cut off at close of fiscal year in which audit is closed. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 118

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1003-04*	<u>GAO AUDIT COORDINATION FILES.</u> Documents accumulated in coordination arrangements for GAO audits and in making replies to and performing follow-up actions on reports of audit. Included are notifications of forthcoming audits, draft and final audit reports, informal inquiries, comments on findings and recommendations, follow-up actions, replies to GAO, and directly related papers. Arranged by GAO audit number.	Diff	Cut off at end of fiscal year following issuance of final GAO audit report. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff. Destroy duplicate copies when no longer needed for reference.
1003-05	<u>AUDIT CONTROL REGISTERS.</u> Documents used to control the assignment of numbers and other identifying data to audit reports received and sent out. Included are log or register sheets, index cards, or similar controls. Arranged numerically.	C.O.	Destroy when all reports listed thereon are disposed of.
1004-01	<u>INVESTIGATION FILES.</u> Case files developed in investigative actions concerning alleged violations of law, policy, or regulations, unethical conduct and other irregularities of Bureau employees and those paid with BIA funds. Includes unscheduled investigations of operations of BIA programs involving tribes, contractors, grantees; related correspondence; and intelligence data received from other law enforcement agencies. Cases are often referred to Department of Interior for investigation.	C.O.	Cut off at close of fiscal year in which all action on the investigation is completed and any payment or restitution of funds by employees are settled in full. Hold 4 years or until volume warrants and retire to FARC.
	a. Cases relating to violations of a sufficiently serious nature to be classified as felonies maintained in C.O. b. All "other cases maintained In C.O.	*	Destroy 20 years after cutoff. Destroy 4 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 119

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	c. Duplicate copies maintained at field offices.	Diff	Destroy 4 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 120

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	LOCATION	FILE	DISPOSAL INSTRUCTIONS
	PART II. TRUST RESPONSIBILITIES RECORDS			
II01-02	<p>The files described in this Part relate to BIA functions in carrying out its administrative and legal trust responsibilities. Included are records in the Bureau functional areas of Trust Administration; Protection of Indian Rights in Trust Resources; Management, Protection, and Development of Indian Natural Resources; Environment; and Trust Services.</p> <p>SECTION I. TRUST ADMINISTRATION GENERAL FILES</p> <p><u>TRUST WITHDRAWAL PROGRAM FILES.</u> Records concerning division over trust property and of other services rendered to Indians. They contain drafts and other material on proposed legislation concerning the program. They serve as a working tool in drawing up programs; source of information to interested parties, and on past accomplishments. Maintained by C.O. division level office, Area and Agency Tribal Operations Office. Arranged numerically. Record copy retained by office of origin.</p>		<p>C.O.</p> <p>a. Record copies maintained in Central Office.</p> <p>b. Area and agency copies.</p>	<p>15 BIAM SUPPLEMENT NO. 3 Appendix 2 Page 120</p> <p>Permanent. Retire to FARC immediately after consolidating all related records from various offices. Offer to NARS 20 years after retirement.</p> <p>Destroy duplicate copies when no longer needed for reference.</p> <p>Area/ Agency</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 121

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
SECTION 2. ENVIRONMENTAL QUALITY FILES			
1102-01*	<u>ENVIRONMENTAL IMPACT STATEMENTS.</u> Studies and surveys of the impact of projects and activities that modify the quality of the human environment. These files are generally associated with a proposal that may significantly change the human environment. Arranged by type, thereunder by location. Record copy is to be retained by office of origin.	Area/ Agency/ C.O.	Cut off at close of fiscal year statement is completed. Hold 3 years or until volume warrants and retire to FAR C. Destroy 20 years after cutoff. Destroy duplicate copies when no longer needed for reference.
1102-02	<u>ENVIRONMENTAL CONTROL FILES.</u> Correspondence, reports, analyses, and statements on projects that may affect the human environment (relating to air and water quality, land resource modification, etc.). Arranged by location and material type. Record copy is to be retained by office of origin.	Area/ Agency/ C.O.	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FAR C. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
SECTION 3. IRRIGATION FACILITIES FILES			
1103-01	<u>RIVER BASIN INVESTIGATION STUDIES FILES.</u> Studies on irrigation, economic conditions, and resources at Indian reservations in the river basins (such as Missouri River Basin), to be used in drawing up programs for the area. Basin programs involve development and coordination of BIA programs with those of other	Area/ Agency/ C.O.	Permanent. Cut off at close of fiscal year study is completed. Hold 3 years or until volume warrants and retire to FAR C. Offer to NARS 30 years after cutoff. Destroy dupli-

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 122

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1103-02	agencies in river basins, and the transfer of Indian population to other lands when parts of reservations are flooded by water development projects. Arranged by location. Record copy maintained by office of origin.	Area Project Agency	Permanent. Cut off at close of fiscal year in which project is completed. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1103-03	IRRIGATION PROJECT PLANNING CASE FILES. Include such material as copy of agreement for lease of land for the project, description and summary, maps, range resources, studies, water storage data, operation and maintenance plans, summary of costs, finance plan, programs of work, and related correspondence. Arranged numerically by case number, then by location and time period. Record copy maintained by office of origin.	Area Project Agency	Permanent. Cut off at close of fiscal year of project completion. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1103-04	IRRIGATION ENGINEERING DATA FILES. Original survey books, irrigation project maps, drawings, plans, and blueprints. This material is used to describe and identify a project and its components. Arranged numerically by project, then record type, and time period. Record copy maintained by office of origin.	Area Project Agency	Permanent. Cut off at close of fiscal year of contract expiration. Retire to FARC when inactive. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 123

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1103-05*	IRRIGATION ASSESSMENT ORDER MODIFICATIONS. Files of correspondence and lists relating to modification of operation and maintenance assessment orders. Arranged numerically, then by location. Record copy maintained by office of origin.	Area Project C.O.	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to PARC. Destroy 20 years after cutoff. Destroy duplicate copies when no longer needed for reference.
1103-06	IRRIGATION MAPS AND DRAWINGS. Record set consisting of one copy of each version of maps and drawings showing irrigated areas, land proposed for restoration, water drainage, buildings, etc. Arranged by location, then by contract number when appropriate. Record copy maintained by office of origin.	Area Project Agency	Permanent. Cut off at close of fiscal year. Hold 3 years then offer to NARS. Destroy duplicate copies when no longer needed for reference.
1103-07	IRRIGATION REPORTS. Periodic and annual narrative and statistical reports on irrigation operations, construction and maintenance. Maintained by Area Division of Resources, Agency Land Operations Office, or Irrigation Project Office. Record copy maintained by office of origin.	Area Project Agency	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1103-08*	IRRIGATION FORECAST FILES. Records include hydrology forecasts, specifications, plans, and related correspondence. Maintained by Irrigation Project Office. Arranged chronologically, then by location.	Project	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 124

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1103-09*	<u>IRRIGATION AND POWER CONSTRUCTION PROJECT FILES.</u> Original record copies of current and earlier OEM construction projects, associated maps, surveys, studies, and related correspondence. They include histories of projects and other relevant documentation, such as recorded and unrecorded easements not covered by land right-of-way maps files. Arranged numerically by project number, then by location or chronologically by year. Record copy maintained in office of origin.	Area Project Agency	Cut off at close of fiscal year of project completion. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff. Destroy duplicate copies when no longer needed for reference.
1103-10*	<u>IRRIGATION PROJECT LAND DESIGNATION FILES.</u> Records of land designated for power or irrigation projects or use. Included are original maps, related correspondence, specifications, etc. Maintained by Irrigation Project Office. Arranged by location, then by project number.	Project	Cut off at close of fiscal year. Hold 3 years and retire to FARC if volume warrants. Destroy 20 years after cutoff. Destroy duplicate copies when no longer needed for reference.
1103-11*	<u>POWER CUSTOMER ACCOUNT LEDGER SHEETS AND SCHEDULES.</u> Records which document receipt of monies resulting from customer power billings including Collection Form 1040 receipts. Maintained by Irrigation and Power Office. Arranged numerically by book number.	Project	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff. Destroy duplicate copies when no longer needed for reference.
1103-12*	<u>CUSTOMER POWER BILLINGS.</u> Original cards on monthly or periodic billings to customers for power usage. Monies received are posted to power customer ledger sheets. Maintained by Irrigation and Power Office. Arranged chronologically, then by location and customer number.	Area Project	Destroy when no longer needed. Retain on site until disposition.
1103-13*	<u>POWER CUSTOMER ACCOUNT FILES.</u> Customer accounts containing relevant information on the customer, his account status, and related correspondence with the	Project	Cut off at fiscal year end of account closing. Hold 3 years of until volume

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 125

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	LOCATION	FILE	DISPOSAL INSTRUCTIONS
	customer. The records are used by project managers, engineers, and administrative offices as a source of information on customer requirements and account status. Maintained by Area Office and Irrigation Project Office. Arranged numerically by customer account, indexed alphabetically. Record copy maintained by office of origin.			warrants and retire to FARC. Destroy 10 years after cutoff. Destroy duplicate copies when no longer needed for reference.
1103-14*	<u>POWER REPORTS.</u> Periodic and annual narrative and statistical reports on power generation and distribution operations, construction projects, and maintenance performed on power generation and distribution stations. Maintained by Area Office and Irrigation and power operating offices. Arranged by report type and location, then chronologically. Record copy maintained by office of origin.	Area Project	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff. Destroy duplicate copies when no longer needed for reference.	
1103-15*	<u>IRRIGATION AND POWER METER BOOKS.</u> Records which contain water and power usage readings for customers serviced by project. Maintained by Area Office and Irrigation project operating offices. Record copy is to be retained by office of origin. Arranged chronologically.	Area Project	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff. Destroy duplicate copies when no longer needed for reference.	
1103-16*	<u>IRRIGATION LEDGER ACCOUNT BOOKS AND SCHEDULES.</u> Records which document receipt of customer monies associated with periodic billings. Maintained by Area and Irrigation Operating Offices. Arranged numerically by land description, then by location. Record copy maintained by office of origin.	Area Project	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff. Destroy duplicate copies when no longer needed for reference.	
1103-17	<u>POWER OPERATIVE MAPS, DRAWINGS, AND STANDARDS.</u> Original maps, drawings, and tracings of power distribution systems and locations. Maintained by Area and Irrigation	Area Project	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff. Destroy duplicate copies when no longer needed for reference.	

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 126

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1103-18	and Power Operating Offices. Arranged by location, then by year and record type. Record copy maintained by office of origin.	Area Project	FARC. Destroy 10 years after cutoff. Destroy duplicate copies when no longer needed for reference.
	POWER AND IRRIGATION WORK ORDERS. Transmittal service orders, area lighting work order, system equipment maintenance orders and engineering work orders. Maintained by Irrigation and Power Office. Arranged numerically by section, then by location, name, and year.	Project	Cut off at close of fiscal year. Destroy 3 years after work order completion. Destroy duplicate copies when no longer needed for reference.
	SECTION 4. AGRICULTURE SOIL AND MOISTURE CONSERVATION FILES		
1104-01	FARM PLANS RECORDS. Conservation plans and related papers for individual farms based on preliminary surveys and, at times, on relatively long-term plans. Maintained by Area and Agency Soil and Moisture Offices. Arranged by plan type, location, or individual. Record copy retained by office of origin.	Area Agency	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1104-02*	LONG-TERM CROPPING PLANS. Plans for crop rotation on particular lands covering a relatively long period. They include a crop history of the land giving the crops that have been grown on the land and the yield obtained for each. Maintained by Area and Agency Soil and Moisture Offices. Arranged by plan type. Record copy retained by office of origin.	Area Agency	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff. Destroy duplicate copies when no longer needed for reference.
1104-03*	SUMMARY OF LONG-TERM CROPPING PLANS. Records which contain a summary of significant data on long-term cropping plans. Maintained by Area and Agency Soil and Moisture	Area Agency	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 127

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	LOCATION	FILE	DISPOSAL INSTRUCTIONS
1104-04	<u>SOIL AND RANGE SURVEYS.</u> Studies of the irrigation and cultivation potential of the soil in particular areas, and of the grazing potential of particular range areas, including a determination of the physical characteristics of the soil, composition and condition of the native vegetation and kinds and location of cultural features. Duplicate portions maintained in other BIA offices are considered nonrecord within this series of records. Official file maintained by Agency Soil and Moisture Office. Arranged by survey type, thereunder chronologically by location.	Area Agency		Permanent. Place in inactive file when superseded by a new survey. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1104-05	<u>SOIL AND MOISTURE CONSERVATION MAPS.</u> Record set (one copy of each version) of various maps pertaining to soil conservation including annotated base maps showing erosion condition, technical survey maps showing types of soil, index maps showing where surveys were made, land proposed for restoration and water drainage. These maps are used to make recommendations as to proper land use and erosion control. Arranged by map type and location. Official copy maintained by agency soil and moisture office.	Area Agency		Permanent. Cut off at close of fiscal year. Hold 3 years then offer to NARS. Destroy duplicate copies when no longer needed for reference.
1104-06*	<u>SOIL AND MOISTURE HISTORY CASE FILES.</u> Records include such material as water availability, type of forage, topography, fencing, and grazing potential. Maintained by Division level soil and moisture office. Arranged numerically by case, then by location and year.	Area Agency		Cut off at close of fiscal year of case closing. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 128

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1104-07	<u>SOIL AND MOISTURE CONSERVATION REPORTS.</u> Annual statistical and narrative reports prepared at all levels on Form 5-302. Maintained by C.O. Division level offices, Area and Agency Soil and Moisture Offices. Arranged chronologically, then by report type and location. Record copy maintained by originating office.	Area Agency C.O.	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1104-08	<u>SOIL AND MOISTURE CONSERVATION PERIODIC REPORTS.</u> Periodic statistical and narrative reports prepared at all levels. Maintained by C.O. Division level offices, Area and Agency Soil and Moisture Offices. Record copy retained by requesting office. Arranged by report type, then by time period and location.	Area Agency C.O.	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1104-09	<u>SOIL AND MOISTURE (ALL OTHER REPORTS).</u> One-time statistical and narrative reports requested on SEM conservation activities. Maintained by C.O. division level offices, Area and Agency Soil and Moisture Offices. Arranged by report type, then location, and then chronologically. Record copy is to be retained by requesting office.	Area Agency C.O.	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.

SECTION 5. LAND MANAGEMENT FILES

This section describes records on trust administration which pertain primarily to real property management including land rights, real estate appraisal, land use planning, and land lease management. The official record, whether maintained in the Title Plant (TIP), Area or Agency Office should be retired to appropriate

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 129

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1105-01	<u>FEDERAL ARCHIVES AND RECORDS CENTERS</u> <p>Federal Archives and Records Centers when they are inactive and/or have been reduced to microfilm. See Schedules 912-01 through 912-12 for ADP Land Records.</p> <p><u>LAND ALLOTMENT CASE FILES AND ASSIGNMENT RECORDS.</u></p> <p>Records which document the allotment and assignment of Federal Government land to tribes and individual Indians, and their subsequent custody by the Indians, under Acts of Congress, treaty rights, and other agreements. They are still used to establish Indian rights and titles to land. Included are allotment books or schedules, secretarial orders, and allotment case files, allotment or estate record cards; tribal land agreement files; Land registers and record books; records of contested land allotment cases; and related indexes, correspondence, and other papers such as heirship card indexes. Arranged numerically, indexed alphabetically.</p>	TIP1 Agency	<u>Permanent.</u> Cut off at close of fiscal year file becomes inactive. Hold 5 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement.
1105-02	<p><u>LAND PLAT BOOKS.</u> Documents which show parcels of land allotted to Indians, and other items such as townsites, reclamation withdrawals, reservoirs, agency and school reserves, etc.; also plat number, township, range, and meridian. Notations on the plats indicate boundaries of land allotted and allotment number of the allottee, and indicate any further changes in land ownership. Arranged numerically, then by location.</p>	TIP1 Agency	<u>Permanent.</u> Hold 2 years and offer to NARS.
1105-03	<p><u>LAND TRANSACTION FILES.</u> Numbered case files covering land transactions such as exchanges between tribe and non-Indians, sales made to non-Indians, exchanges between Indians by deed or patent in fee, and conveyance made to another Indian or tribe by an order transferring inherited interest in Indian land. Included is such material as resolutions from tribes agreeing to exchange, appraisal reports (formerly certificates), correspondence justifying transactions, title opinions by legal</p>	Agency	

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 130

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	counsel, letters to Bureau of Land Management to issue patents in fee to non-Indians, Petitions for sale, reports by Agency superintendents, certificates of indebtedness, original bids, abstract of bids, copies of advertisements, written consent of heirs to sell, and related correspondence and alphabetical indexes to case files. Arranged numerically, indexed alphabetically.	Agency	Permanent. Cut off at close of fiscal year of sale completion. Hold for 10 years and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1105-04*	a. Case files maintained at Agency. b. Microfilm or other copies of sale document.	TIP1	Destroy when obsolete, superseded or no longer needed for reference.
1105-05	<u>ABORTED LAND TRANSACTION FILES.</u> Aborted petitions to sell, transfer, or otherwise alienate rights or property. Arranged numerically, indexed alphabetically.	Agency	Cut off at close of fiscal year that transaction is aborted. Destroy 5 years after cutoff.
	<u>LAND TRACT BOOKS AND RELATED INDEXES.</u> Journal books showing transactions relating to particular tracts of land. Shown is legal description of land (subdivision, section, township, range, and acreage); Indian and English names of allottee; date tract of reported to Secretary of the Interior for patent; date of approval; date and number of patent; Indian's allotment number; file number of heirship; and a listing	TIP1	Permanent. Retire to FARC when books become inactive and rarely used for reference. Offer to NARS 20 years after retirement.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 131

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1105-06	of any further transactions relating to the tract. Arranged numerically, indexed alphabetically.	TIP1	<u>Permanent.</u> Retire to FARC when books become inactive. Offer to NARS 20 years after retirement.
1105-07	<u>LAND TITLE FILES - DEEDS.</u> Copies of deeds issued to Indians, conveying land (allotted and unallotted), and similar or related documents giving evidence of land ownership such as: abstracts, homestead patents; record books of conveyance of deed; title examiners' reports; and related indexes. Deeds are in bound volumes or binders. The earlier books contain manuscript copy of deed handwritten into the book, while later ones consist of typewritten carbon copies of deeds bound into books or filed loose in book-type boxes. Arranged numerically, indexed alphabetically.	TIP1	<u>Permanent.</u> Retire to FARC when books become inactive. Offer to NARS 20 years after retirement.
1105-08	<u>ACQUIRED SUB-MARGINAL LAND BOOKS.</u> Journal books listing lands acquired from the Department of Agriculture, which purchased the lands under Acts of Congress between 1933 and 1937. Entries include tract number, name of grantor, legal description of land, date of approval by the Attorney General, date of deed, and purchase price. Arranged numerically.	TIP1	<u>Permanent.</u> Retire to FARC when books become inactive. Offer to NARS 20 years after retirement.
	<u>REMOVAL OF RESTRICTIONS FILES.</u> Files containing applications for removal of restrictions, records of action taken, and related papers and indexes. Arranged numerically, indexed alphabetically.	Agency.	<u>Permanent.</u> Cut off at close of fiscal year action com- pleted. Hold 5 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retire- ment.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIA SUPPLEMENT NO. 3
Appendix 2
Page 132

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1105-09	b. Microfilm or other copy of removal of restrictions document.	TiP1	Destroy when no longer needed for reference.
	<u>LAND SURVEY FIELD NOTES.</u> Notebooks containing the initial observations of an engineer or other specialist. They are used to more precisely establish the metes and bounds to pinpoint and analyze the resources of a specific piece of land. Arranged numerically, then by location and date.	TiP1	Permanent. Cut off at close of fiscal year file becomes inactive. Hold 5 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1105-10	<u>LAND MAPS, PLANS AND RELATED INDEXES.</u> Township maps and Plats (other than those described in Schedules 1106-02 and 1106-05) and town plans, giving such detailed information as section, township, and range of land and, in some cases, ownership, together with related tracings, documents, and indexes. Arranged numerically.	TiP1 Agency	Permanent. Cut off at close of fiscal year file becomes inactive. Hold 2 years and offer to NARS.
1105-11	<u>LAND RIGHT-OF-WAY FILES.</u> Records indicating rights-of-way or easements granted over Indian lands for roads, power lines, railroads, communication lines, irrigation ditches, canals, pipelines, etc.: Includes documents such as applications, tribal resolution, and maps or tracings illustrating right-of-way.	Area Agency C.O.	Permanent. Cut off at close of fiscal year in which right-of-way is terminated. Hold 2 years and offer to NARS.
	a. Case files maintained at office of approving official.		

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15. BIAM SUPPLEMENT NO. 3
Appendix 2
Page 133

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1105-12	b. Copies of documents maintained at Title Plants.	TIP1 C.O.	Destroy when obsolete, superseded, or no longer needed for reference.
1105-13	<u>LAND ACQUISITION MAPS BOOKS.</u> Original maps and copies of public maps used as base maps and annotated. They show the location of land purchased under the Indian Reorganization Act, indicating the township in which located and such items as Indian reservations and irrigation projects. Although these files contain some nonrecord material, most of the maps in the Central Office are not duplicated elsewhere. Arranged numerically, then by location.		<u>Permanent.</u> Cut off at close of fiscal year. Hold 2 years and offer to NARS.
	<u>LAND LEASE CASE FILES AND RELATED INDEXES.</u> Mineral, oil and gas, business, homesite, and surface land farming, and other surface land leases; and sand and gravel permits. Copy of lease, lease bond, transcript form for lease and bond, statement and certificate of awards, lease assignments, related correspondence, and other supporting papers. Leases are often in case files including such related materials as estimates, appraisals, restrictions, affidavits, and correspondence. (See 1108-08 for grazing permit files and 1107-03 for timber contract files.) Arranged numerically, then by location and date.	Area Agency	<u>Permanent.</u> Cut off at close of fiscal year in which lease is terminated. Hold 5 years or until

- a. Land lease case files documenting mineral, oil, or gas leases over \$25,000 per annum. Files maintained at various bureau levels.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 134

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
*	b. All other land lease case files. Official file maintained by office approving lease.	Area Agency	volume warrants and retire to FARC. Offer to NARS 20 years after retirement.
	c. Copies of lease document and modifications maintained at Title Plants.	TiPl	Cut off at close of fiscal year in which lease is terminated. Hold 3 years or until volume warrants and retire to FARC. Destroy 7 years after cutoff.
			Destroy when superseded, obsolete, or no longer needed for reference.
1105-14*	<u>LAND LEASE ACCOUNTING FILES AND RELATED INDEXES.</u> Accounting records related to the availability, collection, custody, and deposit of royalties, rentals, and other funds derived from leases of Indian land or mineral or other resources rights, and records of the disbursement of such funds. Maintained by Agency Land Office. Arranged numerically.	Agency	Cut off at close of fiscal year in which lease expires. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff.
1105-15*	<u>OIL WELL RECORDS.</u> Copies of records submitted or received from U. S. Geological Survey regarding oil and gas operations on leased Indian lands. Includes well logs, plugging records, production reports, communication agreements and lease status reports. Record copies maintained by USGS as permanent records. Arranged numerically.	Agency	Cut off at close of fiscal year in which lease expires. Destroy after 4 years.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 135

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1105-16	<p><u>NATION-WIDE OIL AND GAS LEASE BOND FILES.</u> Files relating to nation-wide oil and gas lease bonds. Consists of the bond document indicating principal and surety and other related papers.</p> <p>a. Original bonds maintained by C.O.</p> <p>b. Copies of bonds maintained in Area Offices.</p>	C.O. Area	<p>Cut off at the close of fiscal year in which bond is terminated. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff.</p> <p>File with appropriate land lease case file (1105-13) if one exists. Otherwise, cutoff at close of fiscal year in which bond is terminated. Destroy after 2 years.</p>
1105-17	<u>MINERAL RESOURCE INVENTORY AGREEMENT FILES.</u> Consists of interagency agreements with U. S. Geological Surveys or Bureau of Mines and contracts with private firms to conduct Research and Summary of Mineral Resources on Indian lands. These studies are an assessment of potential mineral values of Indian lands. Record copy is located in Central Office. Arranged numerically, then alphabetically by agency of firm name.	C.O.	Permanent. Cut off at close of fiscal year in which study is completed. Hold 5 years and retire to FARC. Offer to NARS 20 years after retirement.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 135 - a

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1105-18*	<u>TOWN LOT USE PERMITS.</u> Temporary files concerning use of restricted lands, or land for which it has been impossible to secure clear legal title. They include copies of rent receipts, related material and all other town lot use permits. Maintained by Agency Land Office. Arranged numerically.	Agency	Cut off at close of fiscal year in which permit expires. Destroy 3 years after cutoff.
1105-19	<u>REAL PROPERTY INSURANCE POLICIES.</u> Insurance policies on restricted real property, and related card records. Maintained by Agency Land Office. Arranged numerically.	Agency	Cut off at close of fiscal year in which policy is canceled or terminated. Destroy after 2 years.
1105-20	<u>REAL ESTATE APPRAISAL REPORT FILES.</u> Narrative appraisal reports prepared by BIA appraisers or by contractor appraisers. Appraisals are used by Realty Officers in negotiating leases, land transactions, or for cases involving litigation. Includes inventories and assessment of land and improvements. Also included are reviews and evaluations of appraisal reports prepared by other government agencies or by contractor appraisers. Arranged by legal land description - township, range, and section. Record copy is maintained by office of origin.	Area Agency	<u>Permanent.</u> Cut off at close of fiscal year in which appraisal is completed. Hold 10 years and retire to FARC when volume warrants. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1105-21	<u>REAL ESTATE APPRAISAL REFERENCE FILES.</u> Consists of county assessor's maps, quadrangle maps, reservation maps, county atlases, copies of BIA Reservation Road Maps, plat maps, and aerial photographs used for appraisal and land use planning purposes. Arranged by type and land location.	Area Agency	Destroy when superseded, obsolete, or no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 136

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1105-22	<u>REAL ESTATE MARKET DATE CARD FILES.</u> Consists of 5" x 8" edge-punched cards containing market data on recorded real estate transactions. Data is used for preparing appraisal reports. Maintained in Real Estate Appraisal and Planning Offices: Filed by location code and sub-location code.	Area Agency	Destroy when superseded, obsolete, or no longer needed for reference.
1105-23	<u>APPRAISAL GROSS DATA REPORT FILES.</u> Includes narrative reports and supporting maps and statistical charts. These are compilations of basic data for an area where a reservation has numerous leases requiring appraisals prior to negotiation of new leases. Filed alphabetically by agency. Record copy maintained by office of origin.	Area Agency	<u>Permanent.</u> Cut off at close of fiscal year when superseded by a new report. Retire to FARC when volume warrants. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1105-24	<u>LAND USE FEASIBILITY AND MARKETABILITY STUDY FILES.</u> Narrative reports, sometimes in bound form and related papers resulting from studies to evaluate and analyze use and development of reservation land. Maintained by agency and thereunder by reservation and sequential number. Record copy maintained by office of origin.	Area Agency	<u>Permanent.</u> Cut off at close of fiscal year in which study is completed. Hold 5 years and retire to FARC when volume warrants. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1105-25	<u>RESERVATION LAND USE AND DEVELOPMENT PLAN FILES.</u> Original tracings, sepia, and mylars of design plans and construction plans for land use developments on Indian reservations. Arranged by project name. Record copy maintained by office of origin.	Area Agency	<u>Permanent.</u> Cut off at close of fiscal year in which project plan is completed. Hold 5 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 137

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1105-26	<u>REAL PROPERTY REPORTS.</u> Periodic Reports showing accomplishments, statistical information and other related data and correspondence, on all phases of real property management. They contain information regarding: acquisitions and disposals of land; surface leases and permits; oil-and-gas and other mining leases and permits; Land planning and real estate appraisal. Arranged by report title or type.	TIPL Area Agency C.O.	(including photographic reproductions) when no longer needed for reference.
1106-01	<u>INDIVIDUAL INDIAN PROBATE CASE FILES AND RELATED INDEXES.</u> Case files relating to estates of deceased Indians, containing lists of persons receiving notice of hearings, depositions by relatives and friends before examiners, wills, notice of hearing to determine heirs or probate wills, listings and appraisals of inherited interests possessed by the deceased, summary of family history, order determining heirs, examiners' notice of determination to heirs, guardianship papers, final settlement, and related correspondence. Index to probate cases contains name, allotment number, date of death, date of determination of heirs, and file number. These files may be filed separately or as part of Allotment Case Files (Schedule 1105-01).	1105-01 Agency	Permanent. Cut off at close of fiscal year in which case is closed. Retire to FARC when inactive. Offer

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 138

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	b. Copies of Hearing Examiner reports maintained at Title Plant.	TIP1	to NARS 20 years after retirement. Destroy when superseded, obsolete or no longer needed for reference.
1106-02	<u>HEIRSHIP FILES.</u> Proofs of heirship extracted from case files of individual Indians. Record copy maintained in Title Plant.	TIP1	Permanent. Cut off at close of fiscal year in which case is closed. Retire to FARC when inactive. Offer to NARS 20 years after retirement.
	a. Area and Agency copies.	Area Agency	Destroy duplicate copies when no longer needed for reference.
1106-03	<u>TWENTY-DAY CASE FILES.</u> Records relating to BIA representation of restricted Indians in matters concerning their estates in State and Federal Courts. In certain cases BIA has the right to petition for transfer of cases from State to Federal Court jurisdiction, within 20 days after filing of case. Arranged numerically, indexed alphabetically.	TIP1	Cut off at close of fiscal year of case closing. Hold 3 years or until volume warrants and retire to FARC. Destroy 30 years after cutoff.
	a. Record copies at Title Plant.	Area Agency	Destroy when no longer needed for reference.
	b. Area and Agency copies.	Area Agency	

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 139

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1107-01	SECTION 7. FORESTRY AND TIMBER MANAGEMENT FILES	Area Agency	<u>Permanent.</u> Cut off upon supersession by new plan. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1107-02	TIMBER MANAGEMENT PLANS. Overall plans for the conservation and utilization of forests under jurisdiction of BIA. They are revised periodically to show volume of timber growth, potential under different forms of management, and allowable annual cut under sustained yield management. Maintained by Forestry Branch. Arranged chronologically, then by location, or as appropriate. Record copy is to be retained by office of origin.	Area Agency	<u>Permanent.</u> Cut off at close of fiscal year in which contract is completed. Retire to FARC 5 years after cutoff or 5 years after any litigation, whichever is later. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1107-03	TIMBER SALE CONTRACT FILES. Records concern commercial cutting operations and include the Forestry activity copies of contracts together with related correspondence, sales plans, and other documents attached to and forming a part of the contracts. Maintained by the Forestry Branch. Arranged by contract number, then by time period and location. Record copy maintained by Agencies.	Area Agency	<u>Permanent.</u> Cut off at close of fiscal year of contract expiration. Hold 5 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
	TIMBER SALE DATA FILES. Records which support the timber sale contract, but are maintained separately. The cards (Form 5-5311) give an abstracted history of timber cutting, and are used for quick reference concerning timber contracts, from which data are taken. Data include reservation, purchaser, seller, contract number, amount of bond, information on bids, volumes and rates of timber cut, amounts received, and stumpage data which is adjusted as changes occur. Arranged by contract number, then by time period and location. Record copy maintained in G.O.		

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 140

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1107-04	<u>TIMBER SALES LEDGERS.</u> Timber money records and Timber Scale Record sheets maintained in ledgers - by Scaling Controlling Account (on Form 5-5320), and by Scaling Unit (on Form 5-5322), to summarize all timber sale transactions. Value and volume of timber cut, by ownership, is shown for each contract. Maintained by Forestry Branch. Arranged numerically by contract, then by owner name. Record copy maintained by office of origin.	Agency	Permanent. Cut off at close of fiscal year in which contract is completed. Hold 5 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1107-05	<u>FORESTRY SCALE REPORTS.</u> Ten-day reports related to timber sale contracts (on Form 5-5301, or equivalent - formerly 5-473 or 5-496) and forestry operations that is prepared and retained at Agencies. Maintained by Forestry Branch. Arranged chronologically, then by location and report type.	Agency	Cut off at close of fiscal year in which contract is completed. Retire to FARC 5 years after cutoff or 5 years after any litigation, whichever is later. Destroy 20 years after cutoff.
1107-06	<u>MONTHLY REPORT OF TIMBER CUT.</u> Reports (on Form 5-5309 or equivalent) summarize the Scale Reports, giving monthly volume and value of timber cut and cumulative total for each contract, and is used as a check on the purchaser's compliance with the terms of his contract. Arranged chronologically, thereunder by report type and location. Record copy is retained by office supervising contract.	DIFF	Cut off at close of fiscal year in which contract is completed. Hold 5 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 141

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1107-07	<u>SPECIAL ALLOTMENT CUTTING PERMITS.</u> Special timber cutting permits, not formal contracts. Data are summarized in Agency and Area forest management reports. Included is Form 5-5328 or its equivalent with related correspondence and other records. Maintained by Area or Agency Forestry Office. Arranged numerically by permit issuance number. Record copy retained by office of origin.	Agency Area	Permanent. Cut off at close of fiscal year of permit expiration. Retire to FARC 5 years after completion of permit or any litigation, whichever is later. Offer to NARS 20 years after retirement. Destroy duplicate copies 5 years after completion of permit.
1107-08*	<u>TIMBER CUTTING PERMITS.</u> Includes special permits, such as Form 5-5331 which covers paid and free use permits on lands of unorganized tribes. Related correspondence is to be included as part of the record. Maintained by Forestry Branch. Arranged numerically, then by location and individual.	Agency	Cut off at close of fiscal year in which permit expires. Destroy 5 years after cutoff.
1107-09*	<u>LOG SCALE SHEETS.</u> Records of amount of timber removed from tribal or allottee portion of the logging unit. Data are summarized in other records. Maintained by Forestry Branch. Arranged numerically, then by location.	Agency	Cut off at close of fiscal year in which logging unit is completed. Hold 5 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff.
1107-10*	<u>FORESTRY CHECK SCALE REPORT.</u> Report (on Form 5-5310 or equivalent) prepared at Agencies monthly, with an annual summary, to check the work of scalers and certify its accuracy. Arranged chronologically, thereunder by report type and location. Record copy retained by requesting office.	Agency Area	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 142

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1107-11	FORESTRY WORKING PAPERS. Worksheets such as Form 5-5304 and 5-5307, topographer's map sheets when not attached to record maps, duplicate copies, and all other backup material not part of official files. Maintained by Forestry Branch. Arranged similar to official record.	Agency Area	Destroy when superseded or obsolete.
1107-12	ANNUAL FINANCIAL AND OPERATING STATEMENTS FOR INDIAN SAWMILLS. Ledger sheets, including profit and loss statements and balance sheets, detailed operating statements, inventory lists, analysis by species of various wood, footage cut, market price, and payroll classification. They are used for a yearly comparative analysis of operations and to determine per capita payments to Indians on timber sales. Maintained by Area or Agency Forestry Branch or mill. Arranged chronologically, then by location and statement type. Record copy retained by office of origin.	Agency Area	Permanent. Cut off every 3 years or sooner if volume warrants. Hold 3 years and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1107-13*	FINANCIAL STATEMENTS OF LUMBER COMPANIES. Records are maintained in BIA offices for reference use. Maintained by Forestry Branch. Arranged chronologically, thereunder by statement type and location.	Agency Area	Destroy when no longer needed for reference.
1107-14	FORESTRY MANUSCRIPT OR ANNOTATED MAPS. Records include such material as original prints of each reservation's forest area; fire organization maps; blueprint, black-and-white print, and linen copies of allotment plat books for Indian lands. Maintained by Forestry Branch. Arranged by location, then by material type and time period. Record copy is to be retained by office or origin.	Agency Area C.O.	Permanent. Cut off when superseded by new print or map. Hold 5 years than offer to NARS. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15-BIAM SUPPLEMENT NO. 3
Appendix 2
Page 143

FILE NUMBER	DESCRIPTION OF RECORDS	LOCATION	DISPOSAL INSTRUCTIONS
1107-15*	AGENCY FIRE CONTROL PLANS. Agency fire control plans which include resources available, fire control techniques, approaches, etc., to be used in fire fighting. Maintained by Forestry Branch. Arranged alphabetically by location, thereunder by plan type.	Agency	Destroy 5 years after plan ceases to be in effect.
1107-16*	ANALYSIS OF OBLIGATIONS REPORT. Analysis, prepared at the Agency, Area, or Central Office (on Form 5-5316, or equivalent) which summarizes obligations and expenditures each fiscal year for each forestry program activity, by type of funds and volume and value of timber harvested and administrative fees earned. Arranged chronologically, then by location.	C.O.	<p><u>Permanent.</u> Cut off at close of fiscal year. Hold 5 years or until volume warrants and retire to FARC. Offer to MARS 20 years after retirement.</p> <p>a. Record copy maintained at Central Office</p> <p>b. Copies maintained by Area and/or Agency</p>
1107-17*	INDIVIDUAL FIRE REPORT. Report on an individual fire using Form DI-1201 or its equivalent. Maintained by Forestry Branch. Arranged alphabetically by fire location, thereunder chronologically.	Area Agency Agency Area	<p>Cut off at close of fiscal year. Hold 5 years or until volume warrants and retire to MARC. Destroy 20 years after cutoff.</p> <p>Cut off at close of fiscal year. Destroy 5 years after cutoff. Destroy duplicate copies when no longer needed for reference.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3

Appendix 2

Page 144

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1107-18	<u>AGENCY ANNUAL FORESTRY REPORT.</u> Annual report on Forestry activities by Agency on Form 5-5313 or equivalent. Maintained by Division of Resources and Forestry Branches. Arranged chronologically, then by report type and location. Record copy is to be retained by Central Office.	Area Agency C.O.	<u>Permanent.</u> Cut off at close of calendar year. Hold 5 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1107-19	<u>ANNUAL FORESTRY REPORT.</u> Annual report on forestry activities by Area Office and a bureau-wide summary in the Central Office on Form 5-5314, or equivalent. Maintained by C.O. Division of Resources and Area Forestry Branch. Arranged chronologically, then by report type, and location.	a. C.O. b. Files maintained in Area Offices.	<u>Permanent.</u> Cut off at close of fiscal year. Hold 5 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 145

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1107-20*	CUMULATIVE FORESTRY COMPARATIVE STATEMENTS. Sheet for each reservation (Form 5-5329, or equivalent) containing postings of expenditures and deductions from tribal and Federal funds for each fiscal year, showing current and accumulated totals. Maintained by Forestry Branch. Arranged chronologically, then by statement type within Agency.	<p>a. Record copies maintained in Central Office.</p> <p>b. Files maintained in Area/Agency Offices.</p>	<p><u>C.O.</u> Permanent. Cut off when Administrative Fees Program is discontinued. Hold 3 years and retire to FARO. Offer to NARS 20 years after cutoff.</p> <p>Area Agency Cut off when Administrative Fees Program is discontinued. Hold 3 years or until volume warrants and retire to FARO. Destroy after 20 years.</p>
1107-21	TIMBER AND FIRE TRESPASS CASE FILES. These records are Bureau case files on trespass actions involving fire or cutting damage to Indian forest lands under Bureau of Indian Affairs supervision.	Agency Area	<p>Cut off at the close of fiscal year in which full settlement was received. Destroy after 1 year.</p> <p>(Prior to the destruction of these records the Agency Superintendent shall determine that settlement has been received in full.)</p>

*

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 146

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
*	b. Fire trespass case files which have been compromised. 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.	Agency Area	Cut off at the close of fiscal year in which final compromise settlement was received. Destroy after 1 year. (Prior to the destruction of these records the Agency Superintendent shall determine that the case is settled in full in accordance with the compromise settlement.)
*	c. Fire trespass case files where no damages have been collected. 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 acknowledgement of debt is received within a 7 year period after the date on which the cause of action arose.	Agency Area	Cut off at close of fiscal year in which cause of action arose providing no payment of damages or written acknowledgement of debt is received during that period of time. Destroy after 7 years. (Prior to the destruction 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.)
*	d. Fire trespass case files where damages have not been collected in full. 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.	Agency Area	Cut off at the close of fiscal year in which last partial payment or written acknowledgement of debt was received. Destroy after 7

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 147

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	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 acknowledgement. The case is considered closed if no payment of damages or written acknowledgement of debt is received within 7 year period after the last partial payment.		(Prior to the destruction 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.)
1108-01	SECTION 8. RANGE MANAGEMENT FILES <u>RANGE MANAGEMENT PLANS.</u> Periodic plans and reports for the conservation, utilization, and management of the range lands under jurisdiction of BIA. Maintained by Land Operations Office. Arranged by Plan or report type, then by location and time period. Record copy is to be retained by office of origin.	Area Agency C.O.	Permanent. Cut off at close of fiscal year in which superseded by a revised or updated plan. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1108-02	<u>RANGE UNIT CASE FILES.</u> Records which give information on range permits or contracts, including name of permittee, area of the range, authorized stocking, grazing season, grazing value, number of livestock grazed, reservation, permit period, etc. They are used to keep account of the grazing land and in making decisions on grazing permit matters. Arranged numerically by case, indexed by permittee or location. Record copy is to be retained by office of origin.	Area Agency C.O.	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 148

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1108-03	RANGE AND WILDLIFE MAPS FILES. Prints of each reservation's forest and forage areas, range unit maps, and blueprint, black-and-white print, and linen copies of allotment plat books for Indian lands. Included also is manuscript or annotated material, and one copy (the record set) of each version. Arranged by location, thereunder by material type and time period. Record copy is to be retained by office of origin.	Area Agency C.O.	Permanent. Cut off at close of fiscal year. Hold 3 years and offer to NARS.
1108-04	RANGE AND WILDLIFE MAPS (ALL OTHERS). Temporary files which include such material as duplicate or record copy of Range and Wildlife maps and material. Arranged similar to official record copies.	Area Agency	Destroy when superseded or obsolete.
1108-05	RANGE AND SOIL SURVEY FILES. Special studies of the irrigation and cultivation potential of the soil in particular areas, and of the grazing potential of particular range areas, including a determination of such factors as water availability, type of forage, fencing, and topography. They should include a record set of maps of areas relating to these activities. Maintained by Land Operation Office. Arranged by survey type, thereunder by location and chronologically. Record copy is to be retained by office of origin.	Area Agency	Permanent. Cut off at close of fiscal year of study completion. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1108-06	GRAZING PERMIT CASE FILES. Bidder's proposal for grazing privileges; statement and certificate of award; grazing permit and modifications, if any; penal or surety bond; schedule of lands; listing of individual Indian moneys and tribal enterprises; and related correspondence. If arranged numerically, there is a related alphabetical index. Maintained by Land Operations Office. Arranged numerically by case,	Agency	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 149

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1108-07*	indexed alphabetically.	Area Agency C.O.	Cut off at close of fiscal year. Retire to FARC after GAO audit or when 3 years old, whichever is earlier. Destroy 20 years after cutoff.
1108-08*	<u>GRAZING PERMIT BID FILES.</u> Files include abstracts of bids, supporting advertising copy, and related correspondence. Arranged numerically by bid, then by individual. Record copy retained by office of origin.	Agency	Cut off at close of fiscal year in which authorization is revoked. Hold originals 3 years and retire to FARC along with associated allotment of grazing permit case file. Destroy duplicate copies or copies not associated with Allotment or Grazing Case Files when superseded or obsolete.
1108-09*	<u>GRANT GRAZING PRIVILEGES AUTHORITY.</u> Authority from individual Indian to BIA to grant grazing privileges on allotted land. Original copy should be merged with allotment or grazing permit case files prior to transfer of records to FARC. Other copies are temporary and should be destroyed after superseded or obsolete. Maintained by Land Operations Office. Arranged numerically, indexed by grantee surname. Record copy retained by office of origin.	Area Agency C.O.	<u>Permanent.</u> Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.

INDIVIDUAL INDIAN MONEY RECORDS. This Section describes accounting records created in the course of acting as trustee in handling funds of individual

SECTION 9. INDIAN TRUST FUND FILES

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 150

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1109-01	<p>Indians (and some non-appropriated tribal funds and related special deposits and trust funds). Individual Indian moneys include such funds as proceeds from sales of real and personal property of individual Indians; rentals of allotments; shares of per capita payments not paid direct; voluntary deposits; pupils' funds; coupon bonds and similar securities; interest credited to accounts; and collections from miscellaneous sources. Such moneys are received, accounted for, and disbursed in accordance with specific authorities set out by law and regulations issued by the Central Office. Part 7, Financial Management Records, Section 6, contains additional IIM records.</p> <p><u>INDIVIDUAL INDIAN MONEY CASE FILES.</u> At Central Office these files contain requests by Indians to spend individual funds and replies thereto, copies of applications for surplus funds, and related correspondence (for certain tribes, such as Osage).</p> <p>At Agencies these are "money folders" constituting a history of the management of an individual Indian's money. Included are receipts for moneys collected, authorities for disbursement, copies of purchase orders, vouchers, royalty and production statements, heirship data, etc. NOTE: These are not the "allotment" folders and should not contain non-fiscal material such as leases, permits, etc., pertaining to grazing, forestry, and other activities. Arranged alphabetically by individual Indian, then numerically. Record copy retained by office of origin.</p>	<p>Area Agency C.O.</p> <p>Permanent. Cut off at close of fiscal year. Retire to FARC 3 years after probate and other actions are completed. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.</p>	

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 151

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1109-02	<u>INDIVIDUAL INDIAN MONEY LEDGERS AND CARDS.</u> Original of general ledgers showing collections, deposits, and withdrawals of funds belonging to individual Indians or Indian credit associations; and the original subsidiary ledger cards or sheets for individual accounts. An individual's ledger card or sheet is used until completely filled, or his account is closed. Maintained by Agency Finance Office. Arranged alphabetically by individual Indian surname. Record copy retained by office of origin.	Agency	Permanent. Cut off at close of year of last posting. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1109-03*	<u>INDIVIDUAL INDIAN MONEY DUPLICATE LEDGER AND CARDS.</u> Copies of individual ledger sheets (Form 5-796) retained by the Agency for safe-keeping (by one-year groups) in a building separate from that in which originals are maintained. (The third copy is given to the individual Indian at the end of each year.) Maintained by Agency Finance Office. Arranged alphabetically by individual Indian surname. Retained until completion of probate.	Agency	Cut off at close of fiscal year. Destroy 5 years after cutoff except sheets for individuals whose estates probates are pending.
1109-04	<u>INDIVIDUAL INDIAN MONEY POSTING AND CONTROL RECORDS.</u> Agency's official record copies of all records related to, identified with, and posted to ledger cards or sheets, documenting receipt and disbursement of the individual Indian's funds. Included are: collection vouchers (collection copy of "Official Receipt" form, or equivalent), journal vouchers, and check copies. Records described here do <u>not</u> include original accounts and supporting documents provided for GAO on-site audit or schedules of collection, certificates of deposit, and similar accounting documentation. GAO on-site audit records, Schedules of Collection, and Certificates of Deposit are considered regular accounting records and are trans-		

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 152

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	<p>ferred or destroyed according to GAO Manual, Title 8, Sect. 3030.35 or General Records Schedule 6, Items 1-b and 5. Even though some or all items on GAO on-site records cover IIM funds, these are not considered supporting documents which are maintained by Area and Agency Finance Offices, and need not be transferred with IIM material to FARC's. Arranged numerically and alphabetically. The official record copy, whether original or carbon is to be retained by office of origin.</p> <p>(1) <u>Original records</u> of receipt and disbursing documentation at Agency IIM Office or other IIM stations not part of the GAO records.</p> <p>(2) <u>Other copies</u> of these documents retained at Agencies.</p>	<p>Area Agency</p> <p>Permanent. Cut off at close of fiscal year. Retire to FARC after BIA audit or 3 years after cutoff, whichever is earlier. Offer to NARS 20 years after retirement.</p> <p>Agency</p> <p>Destroy duplicate copies when no longer needed for reference.</p>	<p>Cut off at close of fiscal year. Destroy 3 years after cutoff.</p> <p>Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no</p>
1109-05	IIM DUPLICATE POSTING AND CONTROL RECORDS. Extra copies of records covered in original copy of posting and control records, and worksheets relating to them. Arranged numerically and alphabetically.	Diff	<p>Area Agency</p> <p>INDIVIDUAL INDIAN "CONTACT" FILES. Records reflecting contact or assistance activity with respect to individual Indians. Counterparts of material in these case files may be found in various other case files at Area and Agency level (IIM, Allotment, Education, etc.) Dependent on extent of completeness of these files, they provide a central point of reference on</p>
1109-06			

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 153

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1109-07	particular individuals. They are maintained separately from other files. Record copy is to be retained by office of origin.	Area Agency	longer needed for reference.
	<u>PER CAPITA PAYMENT RECORDS.</u> Annuity payrolls and other records reflecting the distribution of payment made from tribal and appropriated funds to members of Indian tribes after appropriate identification has been made of living members and/or of heirs. Appropriated fund payments include those arising from provisions of treaties. Copies of all annuity payrolls were sent to Central Office prior to 1950, but this is no longer being done. Included also are such materials as applications for payments; disbursement returns including ledger books, supporting vouchers, exhibits, schedules, and related card records and papers; and all other records incident to the application for payment, determination of recipients, and payment of same. Arranged chronologically, then by location and member surname.		Permanent. Cut off at close of fiscal year in which per capita payment is made. Hold 10 years and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1109-08	<u>SECURITY ACCOUNT FILES.</u> Records of investments of any funds under the jurisdiction of BIA. They include statements of income-producing security accounts such as stocks and bonds, and supporting papers and related correspondence. Arranged numerically by account, then by location and investment type. Record copy retained by office of origin.	Area C.O.	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1109-09	<u>TAX ASSISTANCE FILES.</u> Temporary records created as a result of helping Indians prepare and file income, estate, land, and other tax returns with other Government agencies. They include certificates and related records, including indexes designating tax	Agency	Cut off at close of fiscal year. Destroy on site after certificate is no longer needed for further tax returns.

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 154

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	exempt lands. Maintained by Agency Finance Office. Arranged alphabetically by individual, thereunder chronologically by year.		
1109-10	<u>TAX RETURN FILES.</u> Copies of tax returns, notices of delinquent taxes, ad valorem tax files, and related indexes. Maintained by Agency Finance Offices. Arranged chronologically, indexed alphabetically.	Agency	Cut off at close of fiscal year. Destroy 6 years after cutoff.
1109-11	<u>INDIVIDUAL INDIAN MONEY CHRONOLOGICAL FILES.</u> Convenience copies of correspondence retained in other files. (This is the main set in central files or superintendent's office, for example. All other sets disposable at option of holding offices.) Arranged chronologically.	Area Agency	Cut off at close of fiscal year. Destroy 2 years after cutoff. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BLAM SUPPLEMENT NO. 3
Appendix 2
Page 155

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	PART 12. TRIBAL RESOURCE DEVELOPMENT RECORDS		
	These records include documentation on technical and financial assistance provided to enhance the economic development of Indian reservations and their people. Also includes providing management and technical services on road construction and maintenance programs. The records relate to business enterprise development, securing credit and financing for Indian economic self-development, finding and qualifying Indians for and occupying Indians in jobs on and off the reservation.		<u>Permanent</u> . Cut off at close of fiscal year of project completion. Hold 3 years or until volume warrants and retire to FARG. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1201-01	SECTION 1. BUSINESS ENTERPRISE AND CREDIT FINANCIAL ASSISTANCE FILES	Area Agency	ARTS AND CRAFTS BOARD PROJECT FILES. Case files containing correspondence and related papers pertaining to BIA projects on Indian Arts and Crafts Board programs. Included are surveys by BIA made for establishing the program and for promoting and marketing products under Arts and Crafts Board programs. Separate folder for each case or project. Maintained by Support Service Offices. Arranged by Area, thereunder alphabetically by project title. Record copy is to be retained by office of origin.
1201-02	ANNUAL INDUSTRIAL DEVELOPMENT REPORT FILES.	Area Agency	Reports summarizing activities and accomplishments of each Area and Field Industrial Development Office on a calendar year basis. Includes statistical tables and narrative statements showing current and anticipated additional employment for each Bureau generated plant established on or near Indian reservation areas, active industrial prospects, funds expended for

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 156

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	Industrial and commercial development projects, tribal financial participation, special surveys and feasibility studies. Reports are consolidated at Central Office level for use as program support during budget and Congressional hearings, for information to general public, to reflect overall accomplishments of the program, and as basic guidance for formulation of new program thrusts and policies.	C.O.	Permanent. Cut off at close of fiscal year in which annual report is prepared. Hold 5 years or until volume warrants and retire to FARCS. Offer to NARS 20 years after retirement.
	a. Record copies of feeder reports and consolidated report maintained by Central Office.	Area FIDO	Cut off at close of fiscal year in which report is prepared. Retire to FARCS after 5 years. Offer to Archives Branch of appropriate FARCS 20 years after retirement.
1201-03	b. Copies maintained by submitting office.		SEMI-ANNUAL INDUSTRIAL DEVELOPMENT EMPLOYMENT REPORT FILES. Semi-Annual reports compiled on Bureau-generated or -assisted industrial and commercial enterprises. Includes statistical tables on current employment for each plant or firm established in Indian labor force areas. Tabulations by State and SIC code; also shows reservation locations and products or services. Reports are used for budget support submissions and for general public information.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 157

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	<p>a. Record copy maintained in C.O.</p> <p>b. Informational copies maintained at other offices.</p>	C.O. Area Agency	<p>Cut off at close of fiscal year in which reports are prepared. Hold 3 years or until volume warrants and retire to FARC. Destroy after 20 years.</p> <p>Destroy when superseded, or obsolete, or no longer needed for reference.</p>
1201-04	<p><u>MONTHLY NARRATIVE INDUSTRIAL DEVELOPMENT REPORTS.</u> Reports by Field and Area Industrial specialists, forwarded to Central Office, summarizing their activities including field trips, meetings attended, and contacts with industry, government, and other organizations. Arranged chronologically, theremunder by report type or location.</p> <p>a. Record copies maintained at Central Office.</p> <p>b. Information copies maintained by submitting office.</p>	C.O. Area FIDO	<p>Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff.</p> <p>Cut off at close of fiscal year. Destroy after 5 years.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 158

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1201-05	<u>INDIAN BUSINESS DEVELOPMENT GRANT APPLICATION FILES.</u> Documents accumulated in reviewing and recommending action on IBDP grant applications. Included are application, evaluation paper, notes, recommendation for award or letter of denial, and related papers.	Agency	<p>Cut off at close of fiscal year in which action is completed. Destroy 5 years after cutoff.</p> <p>a. Declined applications.</p> <p>b. Accepted applications.</p> <p>File in appropriate grant case files at the time the grant is awarded.</p>
1201-06	<u>INDIAN BUSINESS DEVELOPMENT GRANT CASE FILES.</u> Records relating to grants awarded to Indian organizations, groups or individuals under the Indian Financing Act of 1974 for Indian business development. Papers include grant application, grant agreement, monthly and semi-annual grant reports, budget documents, and related correspondence.	Agency	<p>Place in inactive file upon termination (cancellation or normal expiration) of grant. Cut off inactive file at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy after 50 years.</p> <p>a. Official case files for approved grants maintained at agency:</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 158 - a

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1201-07	b. Copies of grant application, evaluation, reports and other pertinent papers maintained at Area Offices.	C.O.	Place in inactive file upon termination of grant. Cut off inactive file at close of fiscal year. Destroy after 2 years.
	<u>BUSINESS DEVELOPMENT SPECIAL FINANCIAL ASSISTANCE PROJECT FILES.</u> Case files consisting of original copies of contracts, agreements, including modifications thereto and supporting documents pertaining to projects under contract with BIA to stimulate tribal business enterprises. Includes such projects as American Indian Travel Commission and the American Indian Bank. Arranged alphabetically by project title.	C.O.	Permanent. Cut off at close of fiscal year in which contract is terminated. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement.
1201-08	<u>INDUSTRIAL PROSPECT FILES.</u> Case files containing correspondence and related papers on all industrial and commercial firms currently being considered for location on or near an Indian reservation. Arranged alphabetically by firm.	C.O.	Place in inactive file when firm is no longer considered as prospect. Destroy after 2 years.
1201-09	<u>DIRECT, GUARANTEED OR INSURED LOAN CASE FILES.</u> Records created as a result of credit and financial assistance to provide direct revolving loan funds or guaranteed or insured loans from commercial lending institutions to Indian organizations, groups or individuals who lack necessary collateral.	Agency	Place in inactive file when loan is paid or charged off final. Cut off inactive file at close of fiscal year. Hold 3 years or until volume warrants and
	a. Case files of approved loans maintained at Agencies which include application, loan guaranty or insurance agreement, if applicable, financial reports, records of payment, and related papers. Arranged by type of loan, thereunder by number.		

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 159

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	<ul style="list-style-type: none"> b. Case files of withdrawn, declined or cancelled applications maintained at Agencies. Arranged by type of loan and loan number. c. Copies of applications and other pertinent records maintained at Area or C.O. credit offices. 	<p>Agency</p> <p>Diff</p>	<p>retire to FARC. Destroy 20 years after cutoff.</p> <p>Place in inactive file when notification of final action is received. Cut off inactive file at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 8 years after cutoff.</p> <p>Place in inactive file when approved loan is paid in full or charged off-final or when loan application is withdrawn, declined, or cancelled. Cut off inactive file at close of fiscal year. Destroy after 3 years.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 160

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1201-10	<u>CREDIT LOAN HISTORY CARD FILES.</u> Card records on loans. They contain pertinent and current loan information as called for by original agreement. Maintained by Credit Finance Offices. Arranged numerically or by individual surname. Record copy retained by office supervising loan.	Area Agency	<u>Permanent.</u> Cut off at close of fiscal year in which loan is paid, cancelled or otherwise disposed of. Hold 10 years or until sufficient volume accumulates and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1201-11*	<u>SCHEDULES OF CREDIT LOAN COLLECTION FILES.</u> Listings of payments on various loans. Information is used for posting on loan cards and for other credit purposes. Although payments are recorded on cards, these schedules would be referred to in case of questions. Maintained by Credit Finance Offices. Arranged numerically.	Area Agency	Cut off at close of fiscal year in which loan is terminated. Destroy after 5 years.
1201-12*	<u>CREDIT OPERATIONS REPORT FILES.</u> Originals of annual and periodic narrative and statistical reports on BIA and non-BIA credit-financing activities and programs. Periodic reports and related correspondence on various aspects of credit operations including:	Diff	<u>Permanent.</u> Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. (Destroy duplicates 5 years after cutoff.)

- a. Annual report on revolving cattle pool;
- b. Annual (formerly quarterly) report of delinquent borrowers;
- c. Report of reimbursable collections and adjustments and summary of fiscal year transactions;

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 161

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	LOCATION	FILE	DISPOSAL INSTRUCTIONS
	d. Annual credit report including such attachments as balance sheet, profit and loss statements, reconciliation sheet, and individual statements of loan delinquencies and loans in process of liquidation.	Maintained by Credit Finance Office. Arranged chronologically, thereunder by report type and geographic location. Record copy to be retained by office of origin.		Cut off at close of fiscal year. Destroy 1 year after cutoff.
1201-13	<u>CREDIT FINANCING REPORTS WORKING PAPERS.</u> Backup material used to supplement the record copy of reports. Maintained by Credit Finance Offices. Arranged as appropriate.		Diff	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff. Destroy duplicate copies when no longer needed for reference.
1201-14*	<u>AUDIT REPORTS ON CREDIT OPERATIONS.</u> Special reports prepared by BIA auditors or by public accountants on credit operations, and related correspondence. See Part 10, Audit and Investigation Records, for additional audit files. Maintained by Credit Finance Offices. Arranged chronologically, thereunder by report type and location. Record copy is to be retained by office of origin.		Area Agency	Cut off at close of fiscal year in which stock is disposed of. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff. Destroy duplicate copies when no longer needed for reference.
1201-15*	<u>STOCK PURCHASE FILES.</u> Records of purchase of stock in various Indian associates by individuals. Maintained by Credit Finance Office. Arranged alphabetically by surname.			

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 162

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1202-01	SECTION 2. JOB PLACEMENT AND TRAINING FILES EMPLOYMENT ASSISTANCE CASE FILES. Case files and related indexes for individual Indians who are given assistance in connection with direct employment service or adult vocational training. They include such material as applications for assistance; departure and arrival schedules; records documenting financial assistance; training plans, objectives, and courses pursued; contact sheets recording counseling and guidance service provided (which includes community living, orientation, housing, etc.), employment referral and placement records, and reports on progress. Maintained by destination office providing assistance. Arranged by case number; indexed alphabetically by surname.	FEAO Agency Area	Permanent. Cut off at close of fiscal year when case is completed. Hold 4 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1202-02	REPORTS ON EMPLOYMENT ASSISTANCE. Original copies of periodic (monthly, quarterly, semi-annual, and annual) program and special narrative and statistical reports showing program plans, objectives, activities, and progress. Record copy retained by Area Office. Arranged by report type, thereunder chronologically by reporting period and location.	C.O. Area	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1202-03	EMPLOYMENT ASSISTANCE INACTIVE INQUIRY AND APPLICATION FILES. Consists of documents regarding inquiries not resulting in applications, and applications not resulting in scheduling for direct employment or training. Maintained by Employment Assistance Office. Arranged alphabetically by surname.	FEAO Agency Area	Cut off at close of fiscal year. Destroy 2 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 163

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1202-04*	<u>FINANCIAL ASSISTANCE GRANT RECORDS.</u> Unit ledger sheets and control registers documenting allotments, commitments, and disbursements of funds granted to Indians who are provided direct employment service and adult vocational training. Maintained by Employment Assistance Office. Arranged chronologically by ledger or control register number. Record copy retained in office of origin.	FEAO Agency Area	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff.
1202-05	<u>SPECIAL REPORTS ON EMPLOYMENT ASSISTANCE.</u> Special program inspection or other survey reports relating to employment assistance program. Record copy maintained by office of origin. Arranged chronologically, theremunder by location.	C.O. Area	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1202-06	<u>EMPLOYMENT ASSISTANCE OPERATIONS REPORT FILES.</u> Monthly computer printout showing description of action, current year programmed and to date obligations, and programmed and to date costs by activity. Description of action includes such items as: transportation of persons, maintenance at destination, health benefits, tuition, related costs, emergency assistance, and subsistence enroute. Used to reflect status of funds. Maintained by destination offices at Agency Area and/or Field Employment Assistance Offices.		<p>C.O.</p> <p>a. Administrative Service Center fiscal copy.</p> <p>b. Other offices.</p> <p>Diff</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 164

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
SECTION 3. TRANSPORTATION AND ROADS FILES			
1203-01*	<u>ROAD PROGRAM PROJECT FILES.</u> Estimates of proposed road construction program projects and related materials. Copies are at Federal Highway Administration. Record copy maintained by C.O. Arranged by Area and time period.	C.O.	Cut off at close of fiscal year of program completion. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff. Destroy duplicate copies when no longer needed for reference.
1203-02	<u>ROADS CONSTRUCTION AND MAINTENANCE REPORTS.</u> reports and related correspondence on road construction and maintenance activities, containing such information as work program status; annual summary of road construction completed during the year, with unit cost; annual road inventory giving classification of the roads system and miles under maintenance; proposed projects; record of work program; and projects and obligations. Maintained by Area Division level and Branch Roads operating offices. Arranged chronologically, then by report type or location. Record copy retained by requesting Central Office.	Area Agency C.O.	Cut off every 3 years at close of fiscal year. Hold 1 year or until volume warrants and retire to FARC. Destroy 20 years after cutoff. Destroy duplicate copies when no longer needed for reference.
1203-03	<u>ROAD CONSTRUCTION PROJECT FILES.</u> Project case files relating to the construction and maintenance of roads and bridges including proposals, operating schedules, estimates of proposed road construction, plans, cost estimates, progress reports, final statements or summaries of project costs, correspondence, and other related material. These files may include a copy of right-of-way documentation.	Area Agency	Permanent. Cut off at close of fiscal year of project completion. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 165

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	Maintained by Roads operating office. Arranged numerically by project, thereunder by project type and time period. Record copy is to be retained by office of origin.		longer needed for reference.
1203-04	<u>SURVEY BOOKS AND FIELD NOTES.</u> Original notebook or log containing the initial observations, survey, etc., by engineer or other specialist. Maintained by Roads operating office. Arranged by survey type, thereunder by location and time period. Record copy is to be retained by office of origin.	Area Agency	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1203-05	<u>ROAD PROJECT MAP FILES.</u> Such material as tracings, blueprints, and profiles of road and bridge construction projects, reservation road system maps, Government and commercially printed maps showing roads and highways on Indian lands, and related descriptions of routes. Arranged numerically if associated with specific project. Arranged by record type if not associated with project. Record copy is to be retained by office of origin.	C.O. Area Agency	Permanent. Cut off at close of fiscal year that project is completed. Hold 5 years then offer to NARS. Destroy duplicate copies when no longer needed for reference.
1203-06	<u>CONSTRUCTION PROJECT STATUS REPORTS.</u> Periodic reports to Central Office for each Agency. Maintained by C.O., Area and Agency operating offices. Record copy retained by requesting office. Arranged chronologically, then by location and project.	C.O. Area Agency	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 166

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1203-07	CIVILIAN CONSERVATION CORPS PROJECT FILES. Case files on CCC projects such as construction of roads and dams, and drilling of wells, tree planting, flood control, landscaping, development and improvement of recreational areas, etc. They are used to obtain information on easements and permits. Arranged numerically by case. Record copy retained by operating office.	Area Agency	Permanent. Cut off at close of fiscal year or project completion. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1203-08	ROAD EASEMENT AND DEED FILES. Original documents for right-of-way easements and deeds on roads. Arranged by project number if associated with a specific project, otherwise alphabetically by location. Record copy to be retained by Title Plant.	TIP1	Permanent. Cut off at close of fiscal year of project completion. Hold 5 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 167

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	PART 13. INDIAN SERVICES RECORDS <p>These records include documentation on the development and management of Bureau programs to promote the welfare and development of Indians and Indian communities. These programs include social services, housing, law enforcement, tribal government and tribal planning.</p> <p>SECTION 1. HUMAN NEEDS FILES</p> <p>This Section contains records on health services provided to Indians, other than those in current welfare activity files. Although health services have been provided by the Public Health Service of the Department of Health, Education and Welfare since 1955, these items are included for reference and because such records may still be found at some Field Offices.</p>		Cut off at close of fiscal year of contract expiration. Hold 3 years or until volume warrants and retire to FARC. Destroy 30 years after cutoff. Destroy duplicate copies when no longer needed for reference.
1301-01	<p>MEDICAL CONTRACT FILES. Copies of contracts for health services to Indians under various Acts of Congress, with individual doctors and with private, local, and State hospitals for general hospital care; also related correspondence. Original contract formerly maintained in Area Office Fiscal files. Maintained by Social Services Office. Arranged by contract number, indexed by doctor or hospital. Record copy retained by office of origin.</p>	Area Agency C.O.	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff.
1301-02	<p>INDIVIDUAL MEDICAL RECORDS. Included are such records as: in-patient case files and related data, indexes, registers, and journals; out-patient records; pupils' health case files; dental examination card</p>	Area Agency	

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 168

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	files; field nurse case files and related records; X-ray files; serological and immunization files; dispensary or ward narcotic files. Maintained by Social Services Office. Arranged alphabetically by surname.	Area Agency	Destroy duplicate copies when no longer needed for reference.
1301-03	<u>SPECIAL SOCIAL SERVICE PROGRAM RECORDS.</u> Records consisting of correspondence and special reports on special programs such as VISTA, Community Action Programs, etc., on reservations. Maintained by Social Services Office. Arranged numerically by program, thererunder by location and time period. Record copy to be retained by office of origin.	Area Agency	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1301-04	<u>SPECIAL HEALTH SURVEYS.</u> Special surveys of medical, dental, nursing and other health activities provided to Indians. Maintained by Social Services Office. Arranged numerically by survey, then by location. Record copy retained by office of origin.	Area Agency	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1301-05	<u>SPECIAL HEALTH AND NON-PERIODIC REPORTS.</u> Maintained by Office of Social Services. Arranged chronologically thererunder by report type and location. Record copy retained in office of origin.	C.O. Area	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after retirement. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 169

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1301-06	<u>STUDENT (CADET) NURSE TRAINING CASE FILES.</u> Case files which contain applications, certificates, and records of student nurses during training. Maintained by Social Services Office. Arranged alphabetically by surname or numerically.	Agency	Permanent. Cut off at close of fiscal year of training completion. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement.
1301-07	<u>ANNUAL HEALTH REPORTS.</u> Medical, dental, nursing and health reports and surveys submitted to fulfill an on-going reporting requirement. Maintained by Social Services Office. Arranged chronologically, thereunder by report type and location.	Area Agency C.O.	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1301-08	<u>OTHER PERIODIC HEALTH REPORTS.</u> Monthly, quarterly or semi-annual reports and related correspondence that provide input into annual reports. Maintained by Social Services Office. Arranged chronologically, thereunder by report type and location.	Area Agency	Cut off at close of fiscal year. Destroy 5 years after cutoff.
1301-09	<u>HEALTH INSPECTION REPORTS.</u> Recurring reports on sanitary conditions of medical facilities. Maintained by Social Services Office. Arranged chronologically, then by report type and location.	Area Agency	Cut off at close of fiscal year. Destroy 3 years after cutoff.

SECTION 2. HOUSING SERVICES FILES

This Section describes records documenting accomplishments of the BIA program to improve housing facilities for Indians on the reservations. The BIA program includes construction of individual homes on a self-

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 170

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	help basis, low-rent housing projects, urban renewal, and construction of nursing homes and housing for the elderly. Included are documents required by Housing and Urban Development, such as copies of tribal ordinances establishing a tribal housing authority and tribal programs for community development; accounting records concerning the self-help program; status and other reports; and related correspondence.	Area Agency	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1302-01	<u>HOUSING DEVELOPMENT PROGRAM FILES.</u> Correspondence, reports, and records relating to the accomplishments of the BIA housing programs. They include programs carried out in collaboration with other Government agencies, to provide and/or improve housing for Indians on the reservations. Maintained by Division and Branches of Housing. Arranged by program number, thereunder by location and time period.	Area Agency	Permanent. Cut off at close of fiscal year of contract completion. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1302-02	<u>INDIVIDUAL HOUSING CONTRACT FILES.</u> Copies of tribal contracts and agreements entered into by Indian Housing Authorities or Committees. They contain correspondence, applications, bids, copies of contracts and specifications, IIM account applications, compliance inspection reports, maps and related plans, and other related material. Maintained by Housing Branch Office. Arranged by contract number, thereunder by individual and time period.	Area Agency	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1302-03	<u>HOUSING PROJECT REPORTS.</u> Narrative and statistical annual and periodic reports on the broad housing program or individual housing projects. The original of consolidated reports resulting from Area and Agency feeder reports should be treated as a record copy. Maintained by Area, Agency or Central Office Housing Branch Offices. Arranged by location,	C.O. Area Agency	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 171

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	thereunder by report type and chronologically. Record copy of consolidated report is to be retained by requesting office. Record copy of feeder report is to be retained by office of origin.		when no longer needed for reference.
1303-01	<p>SECTION 3. LAW ENFORCEMENT SERVICES FILES</p> <p>LAW ENFORCEMENT CASE FILES AND RELATED INDEXES. Case reports prepared by law enforcement officers involving all types of police cases such as murder, suicide, and liquor violations. They include full information on cases such as statements of witnesses, statutes involved, place and nature of offense, evidence seized, photographs, and final disposition report. Other record copies are in U. S. Attorney's Office, and in some instances in the Central Office. Proceedings of any cases brought to court for trial are in relevant court records. Maintained by Law Enforcement Office and Central Office. Arranged and filed by case number, indexed as appropriate. Record copy is retained in law enforcement office having jurisdiction and responsibility for investigation.</p>	<p>Area Agency C.O.</p>	<p><u>Permanent.</u> Cut off at close of fiscal year of case closing. Hold 5 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.</p>
1303-02	<p>TRIBAL LAW AND ORDER RECORDS. Records of Tribal Law and Order codes, ordinances, and resolutions requiring approval and/or review by Department of Bureau. Maintained by Law Enforcement Area Office. Arranged numerically, then by tribe and location. Record copy to be retained by office of origin.</p>	<p>Area</p>	<p><u>Permanent.</u> Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 172

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1303-03	<u>TRADERS LICENSE FILES.</u> Case files on individual traders including such material as applications, bond forms, copies of licenses, and related correspondence. Record copies of case files are to be retained by the office of origin and no longer forwarded to the Central Office. Maintained by Area or Agency Law Enforcement Office. Arranged by case number, thereunder by individual trader.	Area Agency	Permanent. Cut off at close of fiscal year of case closing. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1303-04	<u>LAW AND ORDER REPORTS.</u> Periodic reports of the Law and order officers in the field, including police and special officers; and periodic statistical and other reports by Area Offices to Central Office containing such information, by Agency or Installation, as number of Indian court civil and criminal cases; number and type of offenses, number arrested, convicted or otherwise disposed of, and penalties imposed. Maintained by Law Enforcement Office. Arranged as appropriate. Record copy is to be retained by office of origin.	Area Agency C.O.	Permanent. Cut off at close of fiscal year. Hold 5 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1303-05	<u>INDIAN COURT RECORDS.</u> Records of courts of Indian offenses, under 25 CFR 11. (Records of tribal courts belong to the tribe and are not covered by this schedule.) Maintained by Law Enforcement Office. Arranged numerically by court case. Indexed alphabetically by surname. Record copy retained by Law Enforcement Office.	Area Agency	Permanent. Cut off at close of fiscal year of case closing. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 173

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1304-01	SECTION 4. TRIBAL PLANNING SERVICES FILES <p><u>DESIGN AND CONSTRUCTION TECHNICAL ASSISTANCE FILES.</u> Case files relating to assistance provided to tribes on designing and construction of new buildings and utilities. They include plans, drawings, specifications, maps, and project-related correspondence. Maintained by Indian Services, Division of Tribal Planning. Arranged numerically. Record copy to be retained by office of origin.</p>	Area Agency	Cut off at close of fiscal year of project completion. Hold 3 years or until volume warrants and retire to FARC. Destroy 30 years after cutoff. Destroy duplicate copies when no longer needed for reference.
1304-02	<p><u>TRIBAL BUDGET AND ALLOTMENTS FILES.</u> Annual estimates of income and budgets prepared by the tribes and approved by the Area Director, covering expenditure of tribal funds for purposes of operating tribal government and annual tribal projects; and allotments from tribal treasury funds. Maintained by Division level Finance Office. Arranged alphabetically by tribe or location, thereunder chronologically. Record copy maintained in Area Office.</p>	Area Agency	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1305-01	SECTION 5. SOCIAL SERVICES FILES <p><u>WELFARE CASE FILES.</u> Case files and related card files giving history of social services and direct assistance to individual Indians. Case files include such material as family histories, a report on each contact, and correspondence regarding eligibility and assistance given. Separate card files include a card for each individual giving such information as name, address, and type of service and assistance given. Maintained by Area or Agency operating offices where case workers are directly attached. Arranged by case number; indexed by individual and location.</p>	Area Agency	Cut off at close of fiscal year when case closes. Hold 5 years and retire to FARC. Destroy 30 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 174

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1305-02	<u>WORK RELIEF TIME SHEETS.</u> Time sheets on work performed in return for assistance received. Information is posted in case files. Maintained by operating offices. Arranged alphabetically, thereunder chronologically by period.	Area Agency C.O.	Cut off at close of fiscal year. Destroy 1 year after cutoff.
1305-03	<u>SPECIAL WELFARE REPORTS.</u> Special reports as necessary on various aspects of welfare activity giving highlights of field work, in narrative and statistical form. They also contain general information on status of Indians, their relationship with the States, what services are available to them, and the growth of the program. The reports are of value in showing the problems, what has been done for Indians from a welfare standpoint, and what remains to be done. They are also used to justify budget requests, and are of value in drawing up future programs.	Area Agency C.O.	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
	Maintained by Social Services Office. Arranged chronologically by year, thereunder by location and report type.	C.O. Area	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement.
1305-04	<u>PERIODIC WELFARE REPORTS.</u> Periodic reports on welfare activities on annual, quarterly and monthly basis. Maintained by Social Services Offices. Arranged chronologically by time period, then by report type.	Area	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement.
1305-05	<u>INSPECTION REPORTS.</u> Reports by Area staff officers on welfare activities at field installations, including such information as purpose of visit, problems encountered, assistance rendered, and recommendations. Maintained by Area Social Services Office. Arranged		

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 175

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1305-06	chronologically by time period, then by installation. <u>INSPECTION REPORTS (ALL OTHERS).</u> All Social Services reports not otherwise covered by this schedule. Maintained by Social Services Office. Arranged chronologically by period, then by report type.	Diff	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff.
1306-01	SECTION 6. TRIBAL GOVERNMENT SERVICES FILES This Section describes records which result from an Act of Congress authorizing tribes to adopt constitutions for their self-government and ratifying charters of incorporation governing their economic affairs. See Schedules 1201-06 through 1201-13 for Tribal Financial Assistance records.	Area Agency Operations Offices	Permanent. Cut off at close of fiscal year of treaty signing. Hold 10 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1306-02	TRIBAL CHARTERS, CONSTITUTIONS AND BY-LAW FILES. Included is the official record copy of the tribal charters, constitutions, and by-laws, including amendments; related correspondence concerning election procedures for adoption or rejection of these; voting results; petition for incorporation; and Solicitor's opinions. Maintained by Area and	Area Agency	Permanent. Cut off at close of fiscal year. Hold 5 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 176

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1306-03	Agency Tribal Operations Offices. Arranged chronologically, then by tribe. Record copy is to be retained by office of origin.	Area Agency C.O.	<u>Permanent.</u> Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1306-04	<u>SPECIAL TRIBAL RECORDS.</u> Files of personal correspondence and other records of Indian Chiefs, special or other representatives, and attorneys for tribes. Maintained by C.O. Division Offices and Area and Agency Tribal Operations Offices.	Area Agency	<u>Permanent.</u> Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1306-05	<u>BIA-TRIBAL AGREEMENTS.</u> Included is the official record copy of all 25 USC, 48 BIA-Tribal type agreements with related correspondence, studies, and reports. Maintained by Area and Agency Tribal Operations Offices. Arranged numerically by agreement type, or location.	Area Agency	<u>Permanent.</u> Cut off at close of fiscal year of contract expiration. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1306-06	<u>TRIBAL CENSUS POLLS, CARD AND BOOK.</u> List of every	C.O. Agency	<u>Permanent.</u> Cut off at close

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 177

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	Indian by tribe, showing name, reservation, agency, sex, degree of blood, residence, wardship status, and allotment status. They include such material as enrollment and tribal citizenship, tribal census records, petitions, citizenship record books, general dockets for tribal citizenship courts, and related indexes and other material. These records establish tribal membership insofar as eligibility for Federal Government land allotments to tribes and individuals concerned. Maintained by C.O. Division or Agency Tribal Operations Offices. Arranged alphabetically by surname.	Area Agency	of FY of event. Hold 10 years or until volume warrants and retire to FARC Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1306-07	<u>BIRTH, MARRIAGE, AND DEATH RECORDS.</u> Official record copy of birth, marriage, and death certificates, reports, and registers of vital statistics if provided or maintained by the BIA. Copies are also at hospitals and county courthouses. Maintained by Area and Agency Tribal Operations Office. Arranged alphabetically by surname.	Area Agency	Permanent. Cut off at close of fiscal year of event. Hold 10 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1306-08	<u>TRIBE-ATTORNEY CONTRACTS.</u> Contracts between attorneys and Indian tribes for general counsel and claims purposes (originals of contracts approved prior to 1962 are in Central Office; later originals are in Area Offices); also related correspondence including that regarding fees and expenses. Maintained by Tribal Operations Office. Arranged numerically by contract, then by attorney and tribe.	C.O.	Permanent. Cut off at close of fiscal year of contract expiration. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 178

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1306-09*	TRIBAL FUND LEDGERS. Records which show status of tribal funds in the U. S. Treasury, giving descriptions of the transactions, reference to source documents, listing of debits and credits, and current balances. Maintained by Finance Office in Area and Agency. Arranged numerically by ledger number; chronologically, then by location. Record copy retained by Area Finance Office.	Area Agency	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 30 years after retirement. Destroy duplicate copies when no longer needed for reference.
1306-10	TRIBAL GROUP MEETING FILES. Official record copy of tribal council minutes, resolutions, and ordinances of tribal councils, and similar tribal groups; tribal council election files, including lists of members comprising council and correspondence re-elections. Maintained by Tribal Operations operating offices. Arranged chronologically.	Area Agency	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1306-11	TRIBAL CUSTOMS AND HISTORY FILES. Files of studies and reports concerning tribal customs and history. These may be either originals of projects originating in the Central Office or copies of projects conducted in the field. Maintained by policy planning staff. Arranged first by tribe, thereunder by date and subject.	Area C.O.	Permanent. Cut off at project completion. Hold 5 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1306-12	BIA-TRIBAL MEETINGS. Official record copy of meetings held by BIA representative with tribal delegations including subjects discussed and conclusions reached. Maintained by Area and operating offices. Arranged chronologically, thereunder by date or meeting type.	Area Agency	Permanent. Cut off at close of fiscal year that meeting ends. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 179

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
SECTION 7. AGRICULTURE EXTENSION SERVICES FILES			
1307-01*	<u>EXTENSION CASE FILES.</u> Included are official record copies on extension projects with related correspondence and papers used in the preparation of individual livestock, agricultural, or home extension programs. The records give information on program accomplishments, and are used for historical reference and in documenting BIA functions concerning agricultural pursuits among Indians. Arranged by case number. Record copy is to be retained by office of origin.	Area Agency	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff. Destroy duplicate copies when no longer needed for reference.
1307-02	<u>EXTENSION WORK PAPERS.</u> Drafts of reports and papers used in their preparation, such as Agencies' individual livestock records not forwarded with the reports. Arranged similar to official records.	Area Agency	Cut off at close of fiscal year of extension case files. Destroy 1 year after cutoff.
1307-03	<u>ANNUAL EXTENSION REPORTS.</u> Annual programs of work and narrative reports by BIA and State agents for 1961 and later are retained at Area Offices. Prior to that they were forwarded to Central Office. Arranged chronologically by period, thereunder by location and type. Record copy maintained at office of origin.	C.O. Area Agency	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1307-04*	<u>AREA OFFICE ANNUAL EXTENSION REPORTS.</u> Reports such as: a. Extension activity portion of the annual Branch of Land Operations Report, summarizing activities and accomplishments, and incorporating data from the BIA and State Extension Agent's annual reports; and	Area Agency	Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 180

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
*	<p>b. Annual consolidation of statistical data from these Agents' monthly and periodic reports, prepared at the end of the calendar year and forwarded to the Central Office.</p> <p>c. Duplicate copies.</p>	<p>C.O. Area Agency</p> <p>Diff</p>	<p>Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff.</p> <p>Destroy when no longer needed for reference.</p>
1307-05*	<p><u>MONTHLY EXTENSION REPORTS BY OTHER PARTIES.</u> All monthly reports except those prepared by BIA and State Extension Agents. Maintained by Central, Area and Agency Extension Offices. Record copy retained by requesting office. Arranged chronologically by report period, thereunder by type and location.</p>	<p>C.O. Area Agency</p>	<p>Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff. Destroy duplicate copies when no longer needed for reference.</p>
1307-06	<p><u>EXTENSION REPORTS (OTHERS).</u> Periodic reports other than annual or monthly, and all special reports and surveys of Extension activities. Arranged chronologically, then by location and report type. Record copy retained by requesting office.</p>	<p>C.O. Area Agency</p>	<p>Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.</p>



United States Department of the Interior

BUREAU OF INDIAN AFFAIRS

WASHINGTON, D.C. 20245

IN REPLY REFER TO:

15 BIAM Supplement 3, Release 4

February 4, 1987

RECEIVED

APR 20 1987

Memorandum

BUREAU OF INDIAN AFFAIRS
TRUST FUNDS MGMT.

To: Holders of 15 BIAM

From: Deputy to the Assistant Secretary - Indian Affairs (Operations)

Subject: BIA Files Operations and Records Disposition Handbook

This release provides instructions for pen-and-ink changes to Schedule Numbers 1308-01 and 1308-02.

Paul L. Esquerre
Deputy to the Assistant Secretary -
Indian Affairs (Operations)

Filing Instructions:

(a) Remove superseded material:

Schedule Number 1308-01 and 1308-02, remove by lining through paragraphs under the column headed "Disposal Instructions."

(b) Insert new material transmitted:

None

(c) Pen-and-ink changes:

Under the Disposal Instructions column for Schedule Number 1308-01, insert the following paragraph:

Permanent, Cut off at the close of fiscal year in which grant expires or is cancelled. Hold three years or until volume warrants and retire to Federal Records Center. Offer to NARS 20 years after cut-off of files.

Under the Disposal Instructions column for Schedule Number 1308-02, insert the following paragraph:

Permanent, Cut off at the close of the fiscal year in which the project is completed. Hold three years or until volume warrants and retire to FRC. Offer to NARS 20 years after cut-off of files.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3

Appendix 2

Page 181

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	SECTION 8. INDIAN SELF-DETERMINATION SERVICES FILES		<p>Note: This program was not fully implemented at the time this handbook was prepared. Records regarding development of general program policy, systems, and procedures should be filed in the general correspondence (subject) files found in Part 1, Section 2 of this handbook. Record keepers should utilize the following schedule numbers and series descriptions for specific case files until which time the program is fully operational and the records can be properly evaluated and scheduled.</p>
1308-01	<u>SELF-DETERMINATION GRANT FILES.</u> Case files which will document individual grants made to Indian tribes under P.L. 93-638 for the purpose of strengthening the capacity of tribal governments to contract for self-determination programs. Grants are made available to tribes for use in planning, training tribal staff, improving tribal government, preparing contract proposals, and basic studies and analyses. Case papers include grant applications; grant awards; special conditions; fiscal and program review checklists and memoranda; grant adjustment notices; financial, narrative progress, and monitoring reports; related papers and correspondence. Arranged by grant number.	Area C.O.	<p>Disposal not authorized until a later evaluation of actual records is made. Cut off at the close of fiscal year in which grant expires or is cancelled.</p> <p><i>Permanent, cut off at close of fiscal year in which grant expires or is cancelled. Held 3 years or until volume warrants + retire to FRC, warrants + retire to NARS 20 years after to date of close</i></p>
1308-02	<u>TRAINING AND TECHNICAL ASSISTANCE PROJECT FILES.</u> Files relating to training and technical assistance projects provided for the Indian tribes (and in some cases Bureau staff) to enable implementation of P.L. 93-638. Arranged by project title or number.	Area C.O.	<p>Disposal not authorized until a later evaluation of actual records is made. Cut off at the close of fiscal year in which project is completed.</p> <p><i>Permanent, cut off at close of fiscal year in which project is completed, held 3 years or until volume warrants + retire to FRC, offer to NARS 20 years after cut off of files.</i></p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 182

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	PART 14. INDIAN EDUCATION RECORDS These records include documentation on Bureau programs which will provide educational opportunities to Indian youth and adults in Bureau, public or private schools. This function provides technical and supportive assistance to field offices responsible for educational programs.		Maintain one record copy as a permanent record in accordance with schedule 303-01. Destroy other copies when no longer needed for reference.
1401-01	SECTION 1. EDUCATION GENERAL FILES <u>EDUCATION PROGRAM PUBLICATION FILES.</u> Consists of publications, bulletins, newspapers, pamphlets, and similar printed materials regarding the education program in the Bureau. Includes the following specific types of publications:	C.O. School	Permanent. Cut off at the close of fiscal year in which decision is made not to publish. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement.
1401-02	<u>UNPUBLISHED MANUSCRIPT FILES.</u> Unpublished manuscripts regarding the Indian education program.	School Area	

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 183

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1401-03	EDUCATION PROGRAM - AUDIOVISUAL MATERIAL. Selected material including photographs, slides, motion pictures, and other audio-visual aids used for Indian education purposes. Arranged as appropriate. Record copy maintained by office of origin.	Diff	Permanent. Cut off at close of fiscal year in which material becomes superseded or obsolete. Offer to NARS 5 years after cutoff in accordance with instructions for specific medium in Part 3, Section 4. Destroy duplicate copies when no longer needed for reference.
1401-04	<u>SCHOOL PROGRAM NARRATIVE AND STATISTICAL REPORTS.</u> Annual and periodic narrative and statistical reports showing the accomplishments of BIA educational programs and schools. Arranged chronologically. Record copy retained by Central Office.	C.O.	Permanent. Cut off at close of fiscal year, or at report completion. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after cutoff.

SECTION 2. SCHOOL OPERATIONS FILES

1402-01

STUDENT ENROLLMENT CODING SHEET FILES. Consist of BLA-SES Form 1-A, Code Sheet, on each student enrolled in a Federal school. The form shows student name and address, school code, grades, type of school, prior school information, parent or guardian information, tribal information, census roll number, family number, and any other unique identifier. Code Sheets are sent from schools to the Division of ADP Services through Indian Education Resources Center. Printout resulting from the input on the Code Sheet is the Student Enrollment Form which is returned to the schools after verification of data at IERC. Information in the system is used for statistical

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 184

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1402-02	<p>Purposes and as a source for budgetary information. Arranged alphabetically.</p> <ul style="list-style-type: none"> a. School copy. b. IERC copy. <p>STUDENT ENROLLMENT FORM FILES. Consist of a computer-generated form for each student in a Federal school. The form shows student name and address, school information, parent or guardian information, tribal information, census roll number, family number, and any other unique identifier. Maintained at the schools as a separate series in alphabetic sequence. Information in the Student Enrollment System is used for statistical purposes and as a source for budgetary information. Arranged alphabetically.</p>	<p>School Area</p>	<p>Cut off at close of fiscal year. Destroy 1 year after cutoff.</p> <p>Cut off after data is encoded. Destroy 1 month after printout is verified.</p> <p>Cut off at close of fiscal year when student terminates or graduates. Hold 3 years and destroy.</p>
1402-03	<p>SCHOOL HISTORY CARD FOLDERS. Includes school name, location, climate conditions, size of school reservation, date and authority school reservation established, drainage and irrigation features in vicinity, date school established, present status, number of employees, narrative history of school, listing of buildings, legal description and ownership of land, and related correspondence concerning school's history. Arranged alphabetically. Record copy retained at Central Office.</p>	<p>C.O. Area</p>	<p><u>Permanent.</u> Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 25 years after cutoff. Destroy duplicate copies when no longer needed for reference.</p>

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3

Appendix 2

Page 185

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1402-04	<u>AREA OFFICE STUDENT APPLICATION FILE.</u> Contains applications for enrollment at schools, notice of approval of application, copies of scholastic reports, and related correspondence regarding initial enrollment. Student's record is at school. Arranged alphabetically.	Area Agency	Cut off at close of fiscal year. Destroy 2 years after cutoff.
1402-05	<u>STUDENT CASE FILES.</u> Case files of student records including such material and forms as applications for and notifications of admission, grades, medical certificate, enrollment and attendance record, applicant's program for expenditure of tribal benefit funds, permanent school census card, classification test, vocational information, and related correspondence. Arranged alphabetically. Record copy retained at operating office. NOTE: If permanent school census cards are maintained in a separate group, rather than in student folders, the same retention instructions apply.	I.S.	Permanent. Cut off at close of fiscal year that student graduates or leaves school. Hold 5 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement.
1402-06	<u>STUDENT FAMILY CASE FILES.</u> These are individual family folders used to assist the school staff in such problems as relating students' problems to home conditions. Arranged alphabetically. Record copy retained at operating office.	School I.S. Area Agency	Permanent. Cut off at close of fiscal year that last student graduates or leaves school. Hold 5 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 186

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1402-07	b. All others.	School Area	Destroy after no children of the family attend school or are eligible to attend.
1402-08*	<u>MATERIAL DUPLICATING STUDENT CASE FILES.</u> These are separate files including such material as duplicate school census card file and enrollment and attendance records, which are duplicated in students' case files. Arranged alphabetically.	School	Cut off at close of fiscal year in which student graduates or leaves school. Destroy 2 years after cutoff.
1402-09	<u>STUDENT ACTIVITY ACCOUNT FILES.</u> These are fiscal files of student organization and activities and include invoices, canceled checks, bank statements, and copies of deposit slips. Arranged as appropriate.	School	Cut off at close of fiscal year. Destroy 2 years after audit or after 3 years, whichever is earlier.
1402-10	<u>SCHOOL CENSUS WORKING CARD FILE.</u> Card file used to compile data that is summarized in periodic school census reports to Area and Central Offices. These cards are <u>not</u> the permanent school census cards. Arranged alphabetically.	School	Cut off at close of fiscal year that census is completed. Destroy after superseded by new census.
1402-11	<u>DAILY AND MONTHLY ATTENDANCE RECORDS.</u> These do not include attendance records and reports in students' case files. Arranged chronologically, thereunder alphabetically.	I.S.	Destroy 1 school year after end of current school year.
	<u>ANNUAL SCHOOL CENSUS AND ATTENDANCE SUMMARY REPORTS.</u>		Attendance reports (Form 5-246 or equivalent) show school, location, type of enrollment, attendance, and age and grade breakdowns. Annual school census (Form 5-255 or equivalent) from each Agency shows number of children by age and sex enrolled in the various types of schools. Arranged chronologically, thereunder alphabetically.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 187

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	a. C.O. copies accumulated from all schools.	C.O.	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARCS. Offer to NARS 20 years after retirement.
	b. Copies maintained by Areas, Agencies or schools.		Cut off at close of fiscal year in which census is completed. Destroy after 5 years.
1402-12*	PERIODIC FIELD EDUCATIONAL REPORTS. These are: (a) Day and Boarding school reports and related correspondence, including weekly and quarterly activity reports, teachers' summaries of health record, monthly progress reports, monthly school census reports, and annual school reports summarizing information in reports not going beyond the Agency or other Field Office level; and (b) Area Office reports to the Central Office, and other reports containing such information as type of school, location, and number of enrollees. Arranged chronologically, thereunder by type.	C.O. Area School	Cut off at close of fiscal year. Destroy 5 years after cutoff.
	SECTION 3. EDUCATION ASSISTANCE FILES		
1403-01	ESEA TITLE I PROJECT FILES. Consist of application and approval documents for projects funded under Title I of the Elementary and Secondary Education Act. Application document outlines total cost summary, estimate of number of children eligible, name of school, summary of student academic deficiencies, statement of assurances, Parent Council Certifications, Parent Council information, description of school,	C.O.	Cut off at close of fiscal year in which project terminates. Hold 2 years and retire to FARCS if volume warrants. Destroy 6 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 188

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1403-02	assessment of deficiencies and supportive services needs, staffing requirements, qualification requirements, functional statements and position descriptions, facilities and equipment justification statements, staff development inservice training to be provided, dissemination effort, and administrative and contract costs (budget). File also includes Project Review Checklist showing review by IERC staff. File is used in IERC for approving projects. Arranged by project number or name.	C.O.	Cut off at close of fiscal year in which complaint is resolved. Hold 2 years and retire to FARC if volume warrants. Destroy 7 years after cutoff.
1403-03	ESEA TITLE I COMPLAINT CASE FILES. Consist of papers accumulated in the IERC as a result of a complaint about expenditures of funds. Included are the complaint correspondence and other papers resulting from background studies of the project, investigations, findings, and related correspondence. Complaints are potential court cases. Arranged by case number or name.		ESEA TITLE I ANNUAL REPORT EVALUATION FILES. Consists of a preprinted format for showing a comparison of original and final costs for the project. Outlines type, number, and costs for employees; cost of in-service training; total expenses; cost of contracted services; name of contractor and services provided; evaluation of contracting; comparison of objectives in learning improvement with actual improvement; analysis of each component; and

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 188 - a

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	<p>summary of gains of participating students. Documents are prepared by Area Offices and used in the TERC for summarizing reports to the Office of Education. Arranged chronologically.</p> <p>a. Record copy of summary report maintained in C.O.</p>	C.O.	<p><u>Permanent.</u> Cut off at close of fiscal year in which report is completed. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement.</p>
	<p>b. Feeder reports maintained in Area Offices.</p>	Area	<p>Cut off at close of fiscal year. Destroy 2 years after cutoff.</p>
	<p><u>MONITORING FOLLOW-UP FILES.</u> Consist of Area Office Monitoring Reports and correspondence from the TERC confirming receipt of the report and reviewing the findings. Also includes correspondence from Areas confirming that corrective actions have been taken. Used to assure the effectiveness of Area monitoring. Arranged chronologically.</p>	C.O. Area	<p>Cut off at close of fiscal year. Destroy 2 years after cutoff.</p>

1403-04

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 189

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1403-05	JOHNSON-O'MALLEY ACT STATE PLANS FILES. Consists of states' plans for administering Johnson-O'Malley Act funds received through contracts with the BIA. Identifies method and extent of JOM payments, eligibility criteria for school districts and students, general fund support, lunch and milk assistance, special services, records and reports, budget and contract procedures, costs, and special conditions. The State Plan File includes plans from each school district with estimates of JOM funds required. Arranged alphabetically by state.	C.O.	Cut off at close of fiscal year. Hold 2 years and retire to FARC if volume warrants. Destroy 6 years after cutoff.
1403-06	JOHNSON-O'MALLEY ACT STATE ANNUAL REPORT FILES. Reports are prepared by state education agencies and contain statements of receipt and expenditure of JOM funds. Expenditures are shown by county for each type of service. Student attendance comparisons between all students and JOM students are shown for each county. Tax rates and assessed valuations are shown for each county. JOM enrollments are shown by grade and by age. These files are used by the IERC to obtain statistical information for reports to the Office of Education. Arranged alphabetically by location.	C.O.	Cut off at close of fiscal year. Destroy 5 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 190

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1403-07	<u>ESEA TITLE III STATE PLANS FILES.</u> Consist of plans submitted to the Office of Education for supplementary educational centers and services pursuant to provisions of Section 304 of Title III of the Elementary and Secondary Education Act. Plan outline administration, program administration including a listing of Advisory Council members and their qualifications, functions of the Advisory Council, organization and qualifications of the State Educational Agency (BIA Division of Education), assessment of educational needs, criteria for approving projects, provisions for educational accountability, listing of funded projects, provisions for educational accountability, listing of funded projects, program objectives for guidance, counseling and testing, staff duties and qualifications, and procedures for fiscal accountability. Plans are used by the BIA to obtain funding from the Office of Education.	C.O.	Cut off at close of fiscal year of plan completion. Hold 5 years or until volume warrants and retire to FARC. Destroy 30 years after completion.
1403-08	<u>ESEA TITLE III PROJECT FILES.</u> Consist of documents outlining the proposed project. Covers such items as general project information, fund data, school membership data, staff data, estimated costs for major programs, proposed budget, and statement of assurances. Also contains a narrative description of the project showing general objectives, activities and procedures, description of the community served, statement of need, specific objectives and procedures, emphasis areas, summary of expenditures, dissemination, qualifications and responsibilities of project personnel, identification of facilities, equipment, and material needs. Project files are used for review by the Advisory Council for approval. IERC uses files to request funds from the Office of Education. Arranged by project number and name.	C.O.	Cut off at close of fiscal year in which project is terminated. Hold 2 years and retire to FARC if volume warrants. Destroy 6 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 191

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1403-09	<u>ESEA TITLE III MONITORING REPORTS.</u> Consist of reports of monitoring projects funded under Title III of the Elementary and Secondary Education Act. Reports are used to determine effectiveness of project operations. Standard format is used relating project and staff identification, objectives, nature of services, budget information, rating of project and significance of project with rationale for rating. Recommendations are included in the narrative report. Monitors are members of Title III Advisory Council. Arranged by project name or number.	C.O.	Cut off at close of fiscal year. Destroy 3 years after cutoff.
1403-10	<u>ADVISORY COUNCIL ADMINISTRATIVE FILES.</u> Consist of copies of documents maintained at the IERC for information purposes. Included are such items as copies of contracts to monitor projects and copies of travel documents. Record copies of these documents are retained in other offices.	C.O.	Cut off at close of fiscal year when contract terminates. Destroy at close of fiscal year.
1403-11	<u>NDEA TITLE III APPLICATION FILES.</u> These files consist of proposals for funding under the National Defense Education Act. Project information includes background about educational achievement, cultural composition, economic conditions, criteria for admission, planning and analysis, general goals, justification for proposal, description of the proposal and specific objectives in behavioral terms, evaluation, and budget data showing funded amounts. These files are used to secure funding from the Office of Education. Arranged numerically.	C.O.	Cut off at close of fiscal year in which the project is terminated. Destroy 6 years after cutoff. Destroy duplicate copies when no longer needed for reference.
1403-12	<u>EDUCATION CONTRACT FILES.</u> These files consist of education copies of Johnson O'Malley contracts with States concerning the education of Indians in public schools, and related material. CAO copies are		

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 192

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	maintained in Area Finance Offices. Arranged numerically.	C.O.	<u>Permanent.</u> Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARCS. Offer to NARS 20 years after retirement.
	a. Central Office files		
	b. Area Office files.	Area	Cut off at close of fiscal year. Destroy 5 years after cutoff.
	SECTION 4. CONTINUING EDUCATION FILES		
1404-01	<u>REQUEST FOR FINANCIAL EDUCATION ASSISTANCE FILES.</u> These files consist of letters from Indian students requesting financial assistance needed to further their education. Replies to the requests are referrals to appropriate scholarship sources within the BIA or other organizations. Arranged alphabetically.	C.O.	Cut off at close of fiscal year. Destroy 3 years after cutoff.
1404-02	<u>SCHOLARSHIP INFORMATION FILES.</u> These files consist of correspondence and printed data about scholarships available for Indian students. Scholarships are available from Tribes, Nations, Pueblos, Foundations, etc. Files outline the amounts, procedures, restrictions, and application instructions. These documents are used to provide information on a daily basis and periodically to update the publication, Career Development Opportunities for Native Americans. Arranged by organization name.	C.O.	Destroy when superseded, obsolete, or no longer needed for reference.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 193

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1404-03	<u>EDUCATION LOAN CASE FILES.</u> These are loan case files for scholarship aid including such material as application for loan, copy of loan agreement, loan recommendation, borrower's scholastic progress, receipts of payment, and related card records and correspondence. Arranged numerically. Record copy maintained by loaning office.	Area Agency	Cut off at close of fiscal year in which loan is repaid or cancelled. Destroy 5 years after cutoff.
1404-04	<u>EDUCATION LOAN RECORD FILE.</u> These are records of delinquent education loans. Arranged alphabetically.	Area	Cut off at close of fiscal year. Destroy after clearance of delinquency.
1404-05	<u>EDUCATION GRANT CASE FILES.</u> These case files document grants to Indian students for scholarship aid. Includes papers regarding application and award, progress reports and related correspondence. Arranged by grant number.	Area	Cut off at close of fiscal year in which case is closed. Destroy 5 years after cutoff.
1404-06	<u>ADULT EDUCATION PROGRAM FILES.</u> These records pertain to the BIA program of vocational education for adult Indians on the reservation, and include such material as monthly and annual reports, records on individual students and group projects, and related correspondence. Arranged by program name or number. Record copy retained by office of origin.	C.O.	Permanent. Cut off at close of fiscal year. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after retirement. Destroy duplicate copies when no longer needed for reference.
1405-01*	<u>SCHOOL FACILITIES FILES</u>	C.O.	Cut off at close of fiscal year when construction is completed. Hold 3 years or until volume warrants and retire to FARC. Destroy 10 years after cutoff.
<u>FACILITIES PLANNING PROJECT FILES.</u> These files are accumulated during the planning and advising stage of school construction projects. Documents reflect basic decisions on the design of the facility. Papers in the file include such items as correspondence from school boards or community leaders attesting to the			

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 194

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1405-02	need for and recommending a particular facility. Files also include census surveys by grade of school population, computer-generated teaching station requirements, and analyses of requirements with comments and adjustments. Maintained by Division of School facilities. Arranged numerically by project.	C.O.	Cut off at close of fiscal year when printed copy is distributed. Hold 10 years or until volume warrants and retire to FARC. Destroy 25 years after cutoff.
1405-03*	<u>SCHOOL FACILITIES FUNCTIONAL REQUIREMENTS FILES.</u> These files consist of originals of documents issued in printed form to Areas; Agencies; architects; school board members; and others concerned with the planning, design, and construction of new school facilities. Functional requirements outline such things as the purpose of the program, community characteristics, educational philosophy, facility implications, the proposed construction program, physically-handicapped requirements, general considerations, outline of facilities for each center, summary of space requirements, and engineering requirements. Arranged by program name, thereunder chronologically.	C.O.	Cut off at close of fiscal year when final decision is reached. Hold 3 years or until volume warrants and retire to the FARC. Destroy 10 years after cutoff.
	<u>FACILITIES EQUIPMENT PLANNING PROJECT FILES.</u> These files are accumulated during the planning and advising stages of determining equipment needs for school construction or renovation projects. Correspondence in the file reflects basic decisions on the provision of equipment. Included are equipment requirements and justifications, analyses of and comments on equipment layouts, and determinations as to final decisions on equipment needs. Arranged numerically or alphabetically.	C.O.	Cut off at close of fiscal year when final decision is reached. Hold 3 years or until volume warrants and retire to the FARC. Destroy 10 years after cutoff.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 195

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
1405-04*	SCHOOL FACILITIES CONSTRUCTION BUDGET FILES. These files consist of descriptions for each project for the year with cost data included, estimates of man-days of work, and a priority ranking of projects. Also includes any associated legislation and copies of hearings or committee reports. Arranged numerically by project.	C.O.	Cut off at close of Fiscal year. Destroy 4 years after cutoff.
1406-01*	SECTION 6. EVALUATION, RESEARCH AND DEVELOPMENT FILES	SCHOOL EVALUATION REPORT FILES.	Consist of evaluation reports of Indian schools conducted as requested by school boards, tribes, and Area or Agency offices. Evaluations are performed by contract evaluators or IERC staff. Evaluation involves ascertaining the decision areas of concern, selecting appropriate information, and collecting and analyzing the information in order to report summary data useful to decision makers in selecting among alternatives. Report covers such items as history of school, general impressions, philosophy and goals, curriculum, administration, internal evaluation, student data, staffing, community relations, and recommendations. Reports are used by IERC for monitoring schools and by local school boards as a guide for operations. Printed copies are distributed to Areas, Agencies, tribes, and school boards. Files may also contain correspondence related to planning the evaluation, background data such as school manuals, questionnaires, etc. Evaluations are conducted annually. Arranged chronologically.

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS
RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
Appendix 2
Page 196

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	a. Record copy maintained by C.O.	C.O.	Cut off at close of fiscal year in which evaluation is completed. Hold 3 years or until volume warrants and retire to FARC. Destroy 20 years after cutoff.
	b. Printed copies maintained by other offices.	Diff	Destroy when superseded, obsolete or no longer needed for reference.
1406-02	<u>EDUCATIONAL RESEARCH ADDRESS FILE.</u> Consists of names and addresses of teachers, administrators, and parents of students at Federal schools. These files are used for opinion sampling for such issues as student rights and responsibilities, school curriculum, administration, etc. Addresses are supplied by Areas and Agencies. These files are updated every 2 years. Arranged alphabetically.	C.O.	Destroy when superseded, obsolete, or no longer needed for reference.
1406-03*	<u>REPORT OF AUDIT FILES.</u> Copies of Reports of Audits prepared by Department of Interior Audit Office covering BIA education projects. Maintained in the IERC for information purposes. Arranged as appropriate.	C.O.	Cut off at close of fiscal year in which all findings are resolved. Destroy on site 5 years after cutoff.
1406-04	<u>SPECIAL EDUCATIONAL FIELD SURVEY FILES.</u> Consist of reports, special surveys, and statistical studies regarding education field surveys of Indian children in BIA and/or non-BIA schools.		

UNITED STATES DEPARTMENT OF THE INTERIOR
 BUREAU OF INDIAN AFFAIRS
 RECORDS CONTROL SCHEDULE

15 BIAM SUPPLEMENT NO. 3
 Appendix 2
 Page 197

SCHEDULE NUMBER	DESCRIPTION OF RECORDS	FILE LOCATION	DISPOSAL INSTRUCTIONS
	<ul style="list-style-type: none"> a. Summary reports maintained in C.O. 	C.O.	<p>Permanent. Cut off at close of fiscal year in which survey is completed. Hold 3 years or until volume warrants and retire to FARC. Offer to NARS 20 years after cutoff.</p>
	<ul style="list-style-type: none"> b. Feeder information and work papers developed in field during survey. 	Area I.S.	<p>Cut off at close of fiscal year in which survey is completed. Destroy after 5 years.</p>

A

Access Files, Classified Material.....	306-08
Accounting	
Land Lease Accounting Files.....	1105-14
Accounting Master File.....	904-01
Accounting Officer Designee.....	701-02
Accounts Payable and Undelivered Orders Files.....	703-15
Acquired Sub-Marginal Land Books.....	1105-07
Activity Account Files, Student.....	1402-08
Address File	
Educational Research.....	1506-02
Employee.....	905-07
Fedstrip Supplementary.....	907-04
Financial Institution.....	905-09
Timekeeper/Union/CFC.....	905-08
Administrative Files, Advisory Council.....	1403-10
Administrative Mission Correspondence Files.....	102-01b
ADP Program Abstract Reporting File.....	902-02
Adult Education Program Files.....	1404-06
Advice of Allotment Files.....	705-09
Advice of Collections Files.....	705-04
Advisory Council Administrative Files.....	1403-10
Agency	
Allocation Status Reports.....	702-05
Annual Forestry Report.....	1107-18
Fire Control Plans.....	1107-15
Agreement Case Files, Interagency.....	801-06
Alaska Native Enrollment Files.....	908-03
Allotment Files, Advice of.....	705-09
Allotment Status Reports, Area.....	702-08
Analysis of Obligations Reports.....	1107-16
Announcement Files, Vacancy.....	402-08
Annual	
Extension Reports.....	1307-03
Financial and Operating Statements for Indian Sawmills.....	1107-12
Forestry Report.....	1107-19
Health Reports.....	1301-07
Industrial Development Report Files.....	1201-02
Range Operations Reports.....	1108-09
Report Evaluation Files, ESEA Title I.....	1403-03
School Census and Attendance Summary Reports.....	1402-11
Summary of Audit Findings.....	1001-01
Appeals and Grievances Files, Adverse Personnel Actions.....	405-01
Appeals, Classification.....	405-04
Appeal Files, Performance Rating.....	403-04

15 BIAM Supplement No. 3
Appendix 3
Page 2

Application Files, NEDA Title II.....	1403-11
Applications for Employment	
Active.....	402-02
Inactive.....	402-03
Appointment and Reapportionment Schedule Files.....	705-08
Appointment Files.....	402-01
Appraisal Gross Data Report Files, Land.....	1105-21
Appraisal Reference Files, Real Estate.....	1105-19
Appropriation Files, Cash Documents by.....	703-11
Appropriation Warrant Files.....	705-03
Area	
Area Allotment Status Report Files.....	702-08
Area Committee Management Files.....	201-03
Area Directors Reports to Central Office.....	202-08
Area Office Annual Extension Reports.....	1307-04
Area Office History Files.....	202-11
Art Illustration Files.....	304-01
Arts and Crafts Board Project Files.....	1201-01
Assistance Files, Tuition.....	406-04
Attendance Records, Student Daily and Monthly.....	1402-10
Attendance and Time Reports.....	704-01
Attorney Contracts, Tribal.....	1306-08
Audiovisual Material, Education Program.....	1401-03
Audiovisual Material, Finding Aids and Production Documentation.	304-04
Audiovisual Material, Other.....	304-03
Audit	
Case Files, BIA Internal.....	1002-01
Case Files, Nontribal Contract.....	1003-02
Control Registers.....	1003-05
Reports on Credit Operations.....	1201-14
Awards, Incentive.....	403-01

B

BIA	
Historical Reports.....	202-10
Internal Audit Case Files.....	1002-01
Tribal Agreements.....	1306-04
Tribal Contracts.....	1306-05
Tribal Meetings.....	1306-12
Bidder Records.....	801-03
Bid Files.....	801-04
Bills of Lading Register Files.....	308-03

Binding Job Files.....	303-05
Biographical Files (BIA Officials).....	501-01
Birth, Marriage, and Death Records.....	1306-07
Board of Survey and Loss or Theft Files.....	307-12
Board Project Files, Arts and Crafts.....	1201-01
Books and Related Indexes, Land Tract.....	1105-05
Bond Master File.....	905-04
Bonds	
Oil and Gas Lease.....	1105-16
Surety Employee.....	701-03
Bridge Inventory Files.....	911-02
Budget	
Administrative Files.....	702-01
Allotments Files, Tribal.....	1304-02
Estimates.....	702-02
Status Report.....	702-06
Working Papers.....	702-03
Building	
Utilities Evaluation Survey Files.....	309-01
Utilities Plans, Drawings and Specifications.....	309-02
Utilities Reports.....	309-05
Maintenance Work Requests.....	307-15
Passes.....	306-12
Bureau Committee Files	
Management.....	201-01
Operations.....	201-02
Bureau Issuances Master Set.....	203-02
Bureau Issuances Reference Set.....	101-10
Business Development Special Financial Assistance Files....	1201-07
By-laws, Tribal.....	1306-02

C

Cancelled Checks Files.....	703-12
Card Files, Check.....	706-11
Career Development Files.....	406-05
Case History Files, Forms.....	203-05
Case History Files, Directives.....	203-03
Cash	
Documents by Appropriation Files.....	703-11
Remittances.....	701-01
Census	
Attendance Summary Reports, Annual.....	1402-11
Polls, Card and Book, Tribal.....	1306-06
Certificates	
Deposit Files.....	706-02
Eligibles.....	402-05
Performance Rating.....	403-03
Settlement.....	703-06

15 BIAM Supplement No. 3
Appendix 3
Page 4

Certified Mail Receipt.....	305-01
Check	
Card Files.....	706-10
Remittances.....	701-01
Chronological Files.....	101-02
Chain of Title Files, Land Index.....	912-02
Charters, Tribal.....	1306-02
Civilian Conservation Corps Project Files.....	1203-07
Claims Case Files.....	600-01
Classification Appeal Files.....	404-04
Classified Documents	
Container Security Files.....	306-09
Destruction Certificates.....	306-05
Inventory Files.....	306-06
Receipt Files.....	306-04
Classified Material Access Files.....	306-04
Clearance, Security	
Case Files.....	306-01
Status Files.....	306-02
Code	
Federal Regulations.....	101-11
Sheet Files.....	703-17
Coding Tables, Financial Structure and Description Tapes.....	904-07
Collection Files, Schedules of Credit Loan.....	1201-11
Combinations, Padlock and Safe.....	306-09
Commissioner Biographical Files.....	501-01
Commissioner Chronological Files.....	201-04
Committee Management	
Area Office Files.....	201-03
Bureau Files.....	201-01
Field Office Files.....	201-03
Committee Operations Files, Bureau.....	201-02
Complaint	
Case Files, ESEA Title I.....	1403-02
Discrimination.....	405-04
Computer Utilization and Operational Control Files.....	902-03
Congressional	
Correspondence Files.....	502-02
Investigation Files.....	502-01
Conservation Reports, Soil and Moisture.....	1104-07
Constitutions, Tribal.....	1306-02
Coordination Files, GAO Audit.....	1003-04
"Contact" Files, Individual Indian.....	1109-06

Contract	
Attorney-Tribal.....	1306-08
BIA-Tribal.....	1306-05
Medical Files.....	1301-01
Monitoring Case Files.....	802-01
Nontribal Audit Files.....	1003-02
Purchase Transaction Files.....	801-02
Timber Sales Files.....	1007-02
Control Files	
Magnetic Tape Library.....	902-11
Routine.....	101-05
Control, Turst, and Tribal Accounts.....	705-01
Construction Reports and Files	
Budget Files, School Facilities.....	1405-04
Contract Convenience Files.....	309-03
Maintenance Reports, Roads.....	1203-02
Progress Status Report Printouts.....	703-13
Project Case Files.....	309-04
Project Status Reports.....	1203-06
Correspondence Files	
Mission.....	102-01
Non-Mission.....	102-02
White House.....	502-02
Cost File, Payroll Detail Tapes	905-02
Court Records, Indian.....	1303-05
Credentials Applications.....	306-12
Credit	
Financing Reports Working Papers.....	1201-13
Loan History Card Files.....	1201-10
Operations, Audit Reports on.....	1201-14
Operations Report Files.....	1201-12
Pre-Employment Report Files.....	402-04
Cropping Plans, Summary of Long-Term.....	1104-03
Cumulative Forestry Comparative Statements.....	1107-20
Curriculum File	
Individual School ADP File.....	910-05
Master ADP File.....	910-04
Customer Power Billings.....	1103-12
Customs and History Files, Tribal.....	1306-11
Cutting Permits, Special Allotment.....	1107-07
D	
Daily and Monthly Attendance Records, School.....	1402-10

15 BIAM Supplement No. 3
Appendix 3
Page 6

Daily Files

Disbursement Report.....	706-09
Input Audit Trail.....	703-19
Input Register Files.....	703-16
Damage Files, Property.....	307-12
Death Records, Birth, Marriage.....	1306-07
Deposit Files, Certificates of.....	706-02
Deputy Commissioner Biographical Files.....	501-01
Description File, Master Land.....	912-01
Design and Construction Technical Assistance Files.....	1304-01
Designation Files, Irrigation Project Land.....	1103-10
Designation of Accounting Officer.....	701-02
Design File, General ADP System.....	901-02
Designation, Paperwork Management Liaison Officer.....	203-01
Destruction Certificates, Classified Documents.....	306-05
Detail Cost Report Files, Payroll.....	704-02

Development

Plans and Program Records	202-04
Report Files, Annual Industrial.....	1201-02
Diagram Files, Input/Output Run.....	901-08
Direct, Guaranteed or Insured Loan Case Files.....	1201-09

Directives

Master Set, Bureau.....	203-02
Reference Copies	101-10
Stock Record Card Files.....	303-07
Disability Retirement Examination	405-07
Disbursing Agent Files, Special.....	706-06
Discrimination Complaint (EEO) Case Files.....	405-04
Dispensaries, Logs of Visits to	405-05

Disposition of Records

Authorization Files.....	203-07
Plans, Files Maintenance and Disposition.....	101-01

Distribution Job Files, Printing.....	303-05
---------------------------------------	--------

Documentation File, ADP

Operations.....	901-06
Program.....	901-05
Subsystem Module.....	901-03
Master.....	904-02
User.....	901-07

"Dump" Files, ADP System.....	902-07
-------------------------------	--------

Duplicate Student Case Files.....	1402-07
-----------------------------------	---------

Duplicating

Requisitions Registers.....	303-04
Job Files	303-05

E

Educational Files	
Adult Program.....	1404-06
Contract Files.....	1403-12
Facilities Inventory Master.....	910-06
Field Survey, Special.....	1406-04
Grant Case Files.....	1404-05
Loan Case Files.....	1404-04
Program - Audiovisual Material.....	1401-03
Program Files, Adult.....	1404-06
Program Publications Files.....	1401-01
Reports, Periodic.....	1402-12
Research Address.....	1406-02
EEO Discrimination Complaint Case Files.....	405-04
Eligibles, Certificates of.....	402-04
Emergency	
Firefighter Payroll History.....	905-06
Operating Plans	301-01
Planning Case Files.....	301-01
Test and Exercise Files.....	301-02
Employee	
Address File	905-07
Examination Records	402-10
Financial Statement Files.....	405-02
Interview Files.....	405-03
Locator Files.....	401-05
Personal Injury Case Files.....	405-08
Property Issue Files	307-03
Record Cards	401-06
Service Record Cards.....	401-03
Training Files	406-01
Travel Files	101-08
Employment Applications	
Active.....	402-02
Inactive	402-03
Employment Assistance	
Case Files.....	1202-01
Inactive Inquiry and Application Files.....	1201-03
Operations Report Files.....	1202-06
Reports.....	1202-02
Enrollment Files	
Coding Sheet Files, Student.....	1402-01
Files, Alaska Native.....	908-03
Form Files, Student.....	1402-02

15 BIAM Supplement No. 3
 Appendix 3
 Page 8

Environmental Files

Control.....	1102-02
Impact Statements.....	1102-01

Equipment

Planning Project Files, Facilities.....	1405-03
School Facilities.....	910-01
Technical Manuals and Operating Instructions.....	307-01

ESEA Title I Files and Reports

Annual Report Evaluation.....	1403-03
Complaint Case Files.....	1403-02
Project Files.....	1403-01

ESEA Title III Files and Reports

Monitoring Reports.....	1403-09
Project Files.....	1403-08
State Plans Files.....	1403-07

Evaluation Files

Project.....	202-05
Program Planning Master Tapes.....	903-01
School Report Files.....	1506-01

Exceptions, GAO Notices of.....

703-05

Excess Personal Property Files.....

307-13

Extension Files, Agriculture

Case Files	1307-01
Reports, Annual.....	1307-03
Reports (Others).....	1307-06
Work Papers.....	1307-02

F

Facilities Files, School.....

Equipment Planning Project.....	1405-03
Functional Requirements Files, School.....	1405-02
Planning Project Files.....	1405-01

Farm Plans Records, Agriculture Conservation.....

1104-01

Feasibility Study Files

ADP System.....	901-01
Land Use.....	1105-22

Federal

Personnel Surety Bond Files.....	701-03
Registers.....	101-11

Regulations.....	101-11
------------------	--------

Fedstrip Supplementary Address File.....

907-04

Field Notes, Land Survey.....

1105-09

Field Office Files

Committee Management.....	201-03
History Files.....	202-11

Files Maintenance and Disposition Plans.....	101-01
Final Time and Attendance Tape File.....	905-03
Financial	
Education Financial Assistance Requests.....	1404-01
Employment Assistance Financial Grants.....	1202-04
Institution Address ADP File.....	905-09
Statements of Lumber Companies.....	1107-13
Structure, Description, and Coding Table Tapes.....	904-07
Fire	
Agency Control Plans.....	1107-15
Individual Fire Report Files.....	1107-17
First Aid Rooms, Logs of Visits to.....	405-05
Fitness for duty examination.....	405-07
Floor Plans, Building.....	307-14
Forestry	
Check Scale Report.....	1107-10
Manuscript or Annotated Maps.....	1107-14
Working Papers.....	1107-11
Forms	
Functional Files	203-04
Liaison Representative Designation.....	203-01
Numerical Files.....	203-05
Registers	203-06
Stock Record Card Files.....	303-07
Freedom of Information Reports and Statistics.....	501-09
Freight Records	703-03
Fund Ledgers, Tribal.....	1306-09

G

GAO Audit Coordination Files.....	1003-04
GAO Notices of Exceptions.....	703-05
General Ledger Detail Listing Files.....	703-07
General System Design File, ADP.....	901-02
Government Losses in Shipment Act Files.....	308-04
Grant	
Application Files, Industrial Development.....	1201-05
Education Case Files.....	1404-05
Financial Assistance.....	1202-04
Grazing Privileges Authority.....	1108-08
Self-Determination Case.....	1308-01
Graphic Services	
Illustration Files.....	304-01
Job Control Files.....	304-01

15 BIAM Supplement No. 3
Appendix 3
Page 10

Grazing Permit

Bid Files.....	1108-07
Case Files.....	1108-06
Grievances and Appeals.....	405-01

H

Health

Inspection Reports.....	1301-09
Insurance Files.....	704-03
Non-Periodic Reports, Social Services.....	1301-05
Qualification and Placement Records, Individual.....	405-07
Statistical Summaries and Reports.....	405-06
Units, Logs of Visits to.....	405-05

Heirship Files

Magnetic Tape Inventory.....	912-04
Original Documents.....	1106-01
Historical Reports, BIA.....	202-10
History Card Folders, School.....	1402-03

History Files

Area and Field Office.....	202-11
Personnel Action ADP Files.....	906-02
Transaction ADP Files.....	904-03
History Recycle Input Tape Files.....	904-04
Housing Files and Reports	

Development Program Files.....	1302-01
Individual Contract Files.....	1302-02
Project Reports	1302-03

I

Identification Files, Individual.....	306-12
Illustration Files, Art	304-01
Inactive Applications for Employment.....	402-03
Incentive Awards	
Case Files	403-01
Reports	403-02
Indian Business Development Grant Application Files.....	1201-05
Indian Business Development Grant Case Files.....	1201-06
Indian Court Records.....	1303-05
Indian Information ADP System Files.....	912-06
Indian Services Special Disbursing Agent (ISSDA) Report.....	706-08
Individual Fire Report.....	1107-17
Individual Housing Contract Files.....	1302-02
Individual Indian "Contact" Files.....	1109-06

Individual Indian Money Case Files.....	1109-01
Individual Indian Money Chronological Files.....	1109-11
Individual Indian Money Duplicate Ledger and Cards.....	1109-03
Individual Indian Money Ledgers and Cards.....	1109-02
Individual Indian Money Name ADP Files.....	904-06
Individual Indian Money Posting and Control Records.....	1109-04
Individual Indian Monies Balance Forward ADP Files.....	904-05
Individual Indian Probate Case Files and Related Indexes...	1106-01
Individual Medical Records.....	1301-02
Individual School Curriculum ADP File.....	910-05
Industrial Prospect Files.....	1201-08
Information Files, Scholarship.....	1404-02
Information ADP System Files, Indian.....	912-06
Injuries, Personal (Employee).....	405-08
Input/Output Run Diagram ADP Files.....	901-08
Inquiry and Application ADP Files, Employment Assistance...	1202-03
Inspection Case Files, Safety and Security.....	306-10
Inspection Reports, Welfare.....	1305-05
Inspection Reports, Health.....	1301-09
Installation Code Lists ADP Files.....	905-10
Insurance Files, Health.....	704-03
Insurance Policies, Real Property.....	1105-17
Insured Mail Receipt Files.....	305-01
Interagency Agreement Case Files.....	801-06
Internal Promotion Plan Files.....	402-07
Interviews, Employee.....	405-03
Inventory	
Bridge Files.....	911-02
Educational Facilities Master ADP File.....	910-06
Plant Management Program ADP File.....	909-04
Property Control Files.....	307-11
Property Listings.....	307-10
Roads Files.....	911-01
Investigation Files, Employees and Contractors.....	1004-01
Investigation Files, Congressional.....	502-01
Investigation Studies Files, River Basin.....	1103-01
Investigative Files, Employment Background.....	401-08
Irrigation	
Irrigation and Power Construction Project Files.....	1103-09
Irrigation and Power Meter Books.....	1103-04
Irrigation Assessment Order Modifications.....	1103-05
Irrigation Engineering Data Files.....	1103-03
Irrigation Forecast Files.....	1103-08
Irrigation Ledger Account Books and Schedules.....	1103-16
Irrigation Maps and Drawings.....	1103-06
Irrigation Project Land Designation Files.....	1103-10
Irrigation Project Planning Case Files.....	1103-02

15 BIAM Supplement No. 3
Appendix 3
Page 12

Issuance

Case History Files.....	203-03
Management Officer Designation.....	203-01
Master Set, Bureau.....	203-02
Reference Set.....	101-10

J

Job Control Files, Graphic Services.....	304-01
Job, Printing and Publications	
Job Control Registers.....	303-04
Job History Card.....	303-07
Job or Project Files.....	303-05
Johnson-O'Malley Act State Annual Report Files.....	1403-06
Johnson-O'Malley Act State Plans Files	1403-05
Journal Voucher Files.....	706-03
Judgment Distribution Plans.....	202-04
Judgment Roll System Files.....	908-02
Juneau Consolidated Procurement Catalog Master File.....	907-03

K

Key Control Files	306-14
-------------------------	--------

L

Land Files

Aborted Land Transaction Files	1105-04
Acquisition Maps Books	1105-12
Allotment Case Files and Assignment Records	1105-01
Index (Chain of Title) ADP Files	912-02
Lease Accounting Files and Related Indexes	1105-14
Lease Case Files and Related Indexes	1105-13
Maps, Plans and Related Indexes	1105-10
Plat Books	1105-02
Range ADP File	912-05
Removal of Restrictions Files	1105-08
Right-of-Way Files	1105-11
Survey Field Notes	1105-09
Title Files - Deeds	1105-06
Tract Books and Related Indexes	1105-05
Transaction Files	1105-03
Use and Development Plan Files, Reservation	1105-23
Use Feasibility and Marketability Study Files.....	1105-24
Law and Order Reports	1303-04
Law Enforcement Case Files and Related Indexes	1303-01
Lease Distribution ADP System Files	912-08

Ledger

Cards, Individual Indian.....	1109-02
Detail Listings, General.....	703-07
Subsidiary.....	703-04
Legal Activity Reports to Central Office.....	600-03
Legislation Case Files and Indexes	600-04
Letters of Reference.....	402-04
Letters of Transmittal.....	101-04
Library	
Catalog Files.....	303-03
Materials.....	101-13
License Files, Traders.....	1303-03
Litigation Case Files.....	600-02
Loan Case Files	
Direct, Guaranteed or Insured.....	1201-09
Education.....	1404-03
Location Directory, LRIP Geographic ADP File.....	912-11
Location File, Plant Management ADP File.....	909-07
Locator Files, Employee	401-05
Log Scale Sheets.....	1107-09
Logs of Visits to Dispensaries, First Aid Rooms, and Health Units	405-05
Long-Range Development Plans.....	202-04
Long-Term Cropping Plans.....	1104-02
Loss and Damage Files, Property.....	307-12
Lost and Found Files.....	306-15
LRIP Geographic Location Directory.....	912-11
LRIP Reservation Directory	912-12
Lumber Companies, Financial Statements of	1107-13

M

Machine Utilization Record Files.....	901-09
Magnetic Program Tape Files	902-06
Magnetic Tape Library Control Files.....	902-11
Mail Control Files.....	305-02
Mailing Lists.....	305-04
Maintenance and Disposition Plan, Files.....	101-01
Maintenance Instructions, Equipment.....	307-01
Major Alterations and Improvement Log, Plant Management....	909-08
Management	
Objectives Files	202-01
Plans, Range.....	1108-01
Plans, Timber.....	1107-01
Special or Nonrecurring Reports.....	202-09
Survey Background Files.....	202-07
Survey Case Files.....	202-06

15 BIAM Supplement No. 3
Appendix 3
Page 14

Manuscript Files

Publication.....	303-02
Unpublished Manuscripts regarding Education.....	1401-02
Maps, Drawings, and Standards, Power Operative.....	1103-17
Maps, Forestry Manuscript.....	1107-14
Maps, Plans and Related Indexes, Land.....	1105-10
Market Data Card Files, Real Estate.....	1105-20
Marriage, Birth and Death Records.....	1306-07

Master Files (ADP)

Accounting File.....	904-01
Curriculum File.....	910-04
Document.....	904-02
Equipment File, School Facilities.....	910-01
Land Description Files	912-01
Personal Property.....	907-01
Real Property.....	907-02
Room Type Files, School Facilities.....	910-02
Master Set, Bureau Issuances (Directives).....	203-02
Material Duplicating Student Case Files.....	1402-07
Medical Contract Files.....	1301-01
Medical Records, Individual.....	1301-02
Meetings, BIA-Tribal.....	1306-12
Membership Files, Navajo, ADP	908-04
Message Files, Original (Teletype).....	302-02
Membership Master ADP Files, Per Capita.....	908-01
Messenger Service Files.....	305-03
Microdex ADP Files.....	909-10
Mineral Resource Inventory Agreement Files.....	1105-17

Mission Correspondence Files

Program.....	102-01a
Administrative	102-01b
Money Case Files, Individual Indian.....	1109-01
Money Chronological Files, Individual Indian.....	1109-11
Money Duplicate Ledger and Cards, Individual Indian.....	1109-03
Money Name File, Individual Indian.....	904-06
Money Posting and Control Records, Individual Indian.....	1109-04
Monies Balance Forward Files, Individual Indian.....	904-05
Monitoring Case Files, Contract.....	802-01
Monitoring Follow-up Files, Education Program.....	1403-04
Monitoring Reports, ESEA Title III.....	1403-09

Monthly Files and Reports

Check Reconciliation Listing Files.....	706-04
Extension Reports by Other Parties.....	1307-05
Journal of Transaction Files.....	703-09
Narrative Industrial Development Reports.....	1201-04
Report of Timber Cut.....	1107-06

Motion Picture Files.....	304-04
Motor Vehicle	
Operator Files.....	308-05
Release Files.....	308-07
Report Files.....	308-06

N

Narrative and Statistical Reports, School Program.....	1401-04
Nation-wide Oil and Gas Lease Bond Files.....	1105-16
Navajo-Hopi Joint Use Project Land ADP File.....	912-10
Navajo-Hopi Joint Use Project People ADP File.....	912-09
Navajo Membership ADP Files.....	908-04
NDEA Title III Application Files.....	1403-11
Negative Printing Plate Files.....	303-06
News Releases.....	501-03
Non-employee Property Loan Files.....	307-04
Nonexpenditure Transfer Authorization Files.....	705-07
Non-Government Publications.....	101-12
Non-Mission Correspondence Files.....	102-02
Nonrecurring or Special Management Program Reports.....	202-09
Nontribal Contract Audit Case Files.....	1003-02
Notice of GAO Exception Files.....	703-05
Notification of Personnel Action Files.....	402-06
Nurse Training Case, Student (Cadet).....	1301-06

O

Objectives Files, Management.....	202-01
Obligations Report, Analysis of.....	1107-16
Office Files (Non-record)	
Individual Personnel Files.....	101-09
Organization Reference Files.....	101-06
Official Folders	
Personnel Folder.....	401-01
Personnel Folder, Temporary Material.....	401-02
Oil Well Records.....	1105-15
Operating Budget Report.....	702-04
Operating Instructions, Equipment.....	307-01
Operational Control and Computer Utilization Files.....	902-03
Operations ADP Documentation File.....	901-06
Operations Reports	
Annual Range.....	1108-09
Credit Files.....	1201-12
Employment Assistance.....	1202-06

Organization Files

Planning Files.....	202-02
Planning Working Files	202-03
Reference Files, Office.....	101-06
Original Message (Teletype) Files.....	302-02
Other Periodic Health Reports.....	1301-08

P

Padlock Combinations.....	306-09
Paid Voucher Files.....	703-18
Paperwork Management Liaison Officer Designations.....	203-01
Parts Lists, Equipment.....	307-01
Transportation Records	
Passenger (carrier).....	703-02
Passenger (individual).....	703-01
Passes	
Building and Visitor.....	306-12
Property.....	306-13
Passport Files.....	308-01
Pay, Year-to-Date ADP History File.....	905-01
Payment Files, Voucher and Schedule.....	703-10
Payment Records, Per Capita.....	1109-07
Payroll Files	
Detail Cost ADP File	905-02
Detail Cost Report Files.....	704-02
History ADP File, Emergency Firefighter.....	905-06
Master ADP File, Personnel.....	906-01
Student Trainee ADP File.....	905-05
People Index (Chain of Title) Files.....	912-03
Per Capita Membership Master ADP Files.....	908-01
Per Capita Payment Records.....	1109-07
Performance, Employee	
Performance Rating Appeal Files.....	403-04
Performance Rating, Certificates of.....	403-03
Periodic Reports	
Field Educational Reports.....	1402-12
Soil and Moisture Conservation.....	1104-08
Welfare Reports.....	1305-04
Permit, Grazing.....	1108-06
Permits, Town Lot Use.....	1105-16
Personal Injury Case Files	405-08
Personal Property Files, Excess.....	307-13
Personal Property Master ADP File.....	907-01

Personnel Management	
Action ADP History File.....	906-02
Investigative Files.....	401-08
Notification of Personnel Action.....	402-06
Official Personnel Folders.....	401-01
Payroll Master ADP File.....	906-01
Statistical Reports.....	401-04
Temporary Material in Official Personnel Folders....	401-02
Unofficial Personnel Files.....	101-09
Personnel Security	
Clearance Case Files.....	306-01
Clearance Status Files.....	306-02
Photograph Files.....	304-03
Photographic Negatives for Reproduction of Publications....	303-06
Physical Examination, Pre-Employment.....	405-07
Planning	
Development Plans and Program Records.....	202-04
Organization Planning Files.....	202-03
Project Files, Facilities	1405-01
Plant Management	
Buildings ADP File.....	909-03
Location ADP File.....	909-07
Major Alterations and Improvement ADP Log.....	909-08
Plant Operations Master ADP File.....	909-06
Program Inventory ADP File.....	909-04
Repair and Maintenance ADP Log.....	909-09
Repair and Maintenance Master ADP File.....	909-05
Schedule of Services ADP File	909-02
Utility ADP Files.....	909-01
Policy Reference Files.....	101-07
Position Classification Surveys.....	404-02
Position Description Files.....	404-01
Position ADP File, Vacant.....	906-03
Position Identification Strip Files.....	401-07
Postal Records.....	305-01
Power	
Power and Irrigation Work Orders.....	1103-18
Power Customer Account Files.....	1103-13
Power Customer Account Ledger Sheets and Schedules..	1103-11
Power Operative Maps, Drawings, and Standards.....	1103-17
Power Reports.....	1103-14
Precedent Reference Files.....	101-07
Pre-Employment Credit Report Files.....	402-04
Pre-Employment Physical Exam.....	405-07
Press Releases.....	501-03

Printing and Publications	
Printing Job Files.....	303-05
Printing Job History Card Files.....	303-07
Printing Plate Files, Negative.....	303-06
Printing Requisitions Registers.....	303-04
Print Tape ADP Files	902-08
Privacy Act	
Privacy Act Disclosure Files.....	501-05
Privacy Act Dispute Files.....	501-06
Privacy Act Records Systems.....	501-04
Privacy Act Statistical Files.....	501-07
Privileges Authority, Grazing Grant.....	1108-08
Probate Case Files and Related Indexes, Individual Indian...	1106-01
Procurement Catalog Master ADP File, Juneau Consolidated...	907-03
Procurement Registers.....	801-01
Program	
Program Documentation ADP File.....	901-05
Program Evaluation Project Files.....	202-05
Program Mission Correspondence Files.....	102-01a
Program Planning and Evaluation Master ADP Files.....	903-01
Program Records, Development Plans.....	202-04
Progress Reporting ADP Files, Project.....	902-01
Program Specifications File, ADP.....	901-04
Project Files and Reports	
Civilian Conservation Corps Project Files.....	1203-07
ESEA Title I Project Files.....	1403-01
ESEA Title III Project Files.....	1403-08
Housing Project Reports	1302-03
Irrigation and Power Construction Project Files.....	1103-09
Navajo-Hopi Joint Land Use ADP Files.....	912-10
Navajo-Hopi Joint People Use ADP Files.....	912-09
Progress Reporting ADP Files.....	902-01
Road Construction Project Files.....	1203-03
School Facilities Project ADP File.....	910-03
Trust Administration Case Files.....	1101-01
Promotion Plan Files.....	402-07
Property Accountability Transaction Files.....	307-09
Property Files	
Employee Property Issue Files.....	307-03
Excess Personal Property Files.....	307-13
Non-Employee Property Loan Files.....	307-04
Property Inventory Listings.....	307-10
Property Invoice File.....	307-09
Property Loss or Theft Files.....	307-12
Property Pass Files	306-13
Property Records Receipt Files.....	307-07
Property Release Files.....	307-05
Property Transaction Source Document File.....	307-09

Publications	
Education Program Files.....	1401-01
Manuscript Files.....	303-02
Master Files.....	303-01
Non-Government.....	101-12
Other Government Agencies.....	101-11
Reference Copies.....	101-10
Requests for Publications.....	101-04
Stock Record Card Files.....	303-07
Purchase Files, Stock.....	1201-15

Q

Quarters Assignment Files.....	309-07
Quarters Evaluation Files.....	309-06

R

Reading Files.....	101-02
Real Estate Files	
Appraisal Reference Files.....	1105-21
Appraisal Report Files.....	1105-20
Market Data Card Files.....	1105-22
Real Property	
Insurance Policies	1105-19
Master ADP File.....	907-02
Reports	1105-26
Reapportionment Schedule Files, Appointment and.....	705-08
Receipts Files, Statement of.....	705-05
Receipt for Registered and Certified Mail/Insured/	
Special Delivery.....	305-01
Reconciliation Files	
Monthly Listing Check.....	706-05
Statement Files.....	706-07
Records Disposition Authorizations Files.....	203-07
Records Liaison Officer Designation.....	203-01
Records of Cash and Check Remittances.....	701-01
Record Set of Publications	303-01
Records Transmittals.....	101-01
Recruitment ADP File, Teacher.....	906-04
Reduction-in-Force Files.....	402-09
Reference Files	
Agency Directives and Publications.....	101-10
Letters of Reference.....	402-04

15 BIAM Supplement No. 3
Appendix 3
Page 20

Reference Files (Continued)

Office Organization.....	101-06
Policy and Precedent.....	101-07
Vendor Reference Materials.....	307-02
Registered Mail Receipt.....	305-01
Registers	
Daily Input.....	703-16
Procurement.....	801-01
Reporting Requirements.....	203-10
Visits to Dispensaries, First Aid Rooms and Health Units.....	405-05
Remittances, Records of.....	701-01
Removal of Restrictions Files.....	1105-08
Reorganization Proposals Files.....	404-03
Repair and Maintenance ADP Log, Plant Management.....	909-09
Repair and Maintenance ADP Master, Plant Management.....	909-05
Report Files	
Area Directors to Central Office.....	202-08
Audit Files.....	1406-03
Budget Status Files.....	702-06
Daily Disbursement.....	706-10
Employment Assistance.....	1202-02
Obligations Files.....	702-07
Operating Budget Files.....	702-04
Tribal Audit.....	1003-01
Unavailable Receipts Files.....	705-06
Reports Control	
Case Files.....	203-08
Record Cards.....	203-09
Reproduction Job Files.....	303-05
Reproduction Job History Card Files.....	303-07
Requests	
Authority to Dispose of Records.....	203-07
Financial Education Assistance Files.....	1404-01
Information or Publications.....	101-04
Requisitions	
Completed Files.....	307-06
Printing.....	303-05
Printing and Duplicating.....	303-04
Research Address File, Educational.....	1506-02
Reservation Land Use and Development Plan Files.....	1105-25
Restrictions Files, Removal of.....	1105-08
Retention Registers.....	402-09
Range Files	
Land ADP File.....	912-05
Management Plans.....	1108-01
People (Heir) ADP File.....	912-04
Permittee Payment ADP System.....	912-07
Right-of-Way.....	1105-11
Soil Survey.....	1108-05

Unit Case Files.....	1108-02
Wildlife and Range Maps.....	1108-03
River Basin Investigation Studies Files.....	1103-01
Road Files	
Construction and Maintenance Reports.....	1203-02
Construction Project Files.....	1203-03
Easement and Deed Files.....	1203-08
Inventory ADP Files.....	911-01
Program Project Files.....	1203-01
Project Map Files.....	1203-05
Routine Control Files.....	101-05

S

Safety Inspection Case Files.....	306-10
Safe Combinations.....	306-09
Sale Data Files, Timber.....	1107-03
Sales Ledgers, Timber.....	1107-04
Scale Check Report, Forestry.....	1107-10
Scale Reports, Forestry.....	1107-05
Schedule of Cancelled Checks Files.....	703-12
Schedule of Services, ADP File, Plant Management.....	909-02
Schedules of Credit Loan Collection Files.....	1201-11
Scholarship Information Files	1404-02
School	
Census Working Card File.....	1402-09
Evaluation Report Files.....	1406-01
Facilities Construction Budget Files.....	1405-04
Facilities Functional Requirements Files.....	1405-02
Facilities Master Equipment ADP File.....	910-01
Facilities Master Room Type ADP Files.....	910-02
Facilities Project ADP File.....	910-03
History Card Folders.....	1402-03
Program Narrative and Statistical Reports.....	1401-04
Scratch Tape ADP Files.....	902-04
Security	
Account Files.....	1109-08
Backup Tape ADP File.....	902-09
Classified Document Container.....	306-09
Clearance Case Files, Employee.....	306-01
Clearance Status Files, Employee.....	306-02
Inspection Case Files.....	306-10
Violations Files.....	306-03
Self-Determination Grant Files.....	1308-01
Semi-Annual Industrial Development Employment Report.....	1201-03
Service Record Card Files	401-03
Settlement Certificates	703-06

15 BIAM Supplement No. 3
 Appendix 3
 Page 22

Social Service Program Records.....	1301-03
Soil and Moisture Reports, Files and Surveys.....	
(All Other Reports).....	1104-09
Conservation Maps.....	1104-05
Conservation Periodic Reports.....	1104-08
History Case Files.....	1104-06
Range Surveys.....	1104-04
Soil Survey.....	1108-05
 Space	
Allocation and Utilization.....	307-14
Reporting Files.....	307-16
Special Allotment Cutting Permits.....	1107-07
Special Delivery Receipts.....	305-01
Special Disbursing Agent Files.....	706-05
Special Disbursing Agent (ISSDA) Report Files, Indian Services.....	706-09
Special Educational Field Survey Files.....	1506-04
Special Financial Assistance Project Files,	
Business Development.....	1201-07
Special Health and non-Periodic Report.....	1301-05
Special Health Surveys.....	1301-04
Special Management Reports.....	202-09
Special Reports on Employment Assistance.....	1202-05
Special Report ADP Tape Files.....	902-10
Special Social Service Program Records.....	1301-03
Special Tribal Records	1306-03
Special Welfare Reports.....	1305-03
Specifications File, ADP Program.....	901-04
Speech Files.....	501-02
State Annual Report Files, Johnson-O'Malley Act.....	1403-06
Statement Files, Reconciliation.....	706-08
Statement of Receipts Files.....	705-05
Still Picture Photographic Files.....	304-02
Stock Purchase Files.....	1201-15
Stock Record Card Files, Publications.....	303-07
 Student	
Activity Account Files.....	1402-08
Application File, Area Office.....	1402-04
Case Files.....	1402-05
Case Files, Material Duplicating.....	1402-07
Enrollment Coding Sheet Files.....	1402-01
Enrollment Form Files.....	1402-02
Enrollment Records Systems ADP Files.....	910-07
Family Case Files.....	1402-06
Nurse Training Case Files.....	1301-06
Trainee Payroll ADP Files.....	905-05

Subsidiary Ledger Files	703-04
Subsystem Module Documentation ADP File.....	901-03
Suggestion Awards	403-01
Summary of Long-Term Cropping Plans	1104-03
Superior Performance Awards	403-01
Supply Activity Reports	307-08
Surety Bond Files	701-03
Survey Books and Field Notes	1203-04
Suspense Files	101-03
System "Dump" ADP Files	902-07
System Feasibility ADP Study Files	901-01
System ADP Files, Judgment Roll.....	908-02

T

Tapes, Magnetic (See Part 9)	
Tax Assistance Files	1109-09
Tax Return Files.....	1109-10
Teacher Recruitment ADP File.....	906-04
Technical Assistance Files, Design and Construction.....	1304-01
Technical Assistance Project Files, Training.....	1308-02
Telephone Directory Files.....	302-01
Technical Manuals, Equipment.....	307-01
Technical Reference Material.....	101-14
Teletype Files, Original.....	302-02
Temporary Materials in Official Personnel Folders.....	401-02
Test Records, Employee.....	402-10
Theft Files, Property.....	307-12
Tickler Files.....	101-03
Timber and Fire Trespass Case Files.....	1107-21
Timber	
Cutting Permits.....	1107-08
Management Plans.....	1107-01
Sale Contract Files.....	1107-02
Sale Data Files.....	1107-03
Sales Ledgers.....	1107-04
Timber Cut, Monthly Report.....	1107-06
Time and Attendance Reports.....	704-01
Timekeeper/Union/CFC Address ADP File.....	905-08
Time Sheets, Work Relief.....	1305-02
Title Files - Deeds, Land.....	1105-06
Top Secret Document Accounting and Control Files.....	306-07
Town Lot Use Permits.....	1105-18

MAR 23 1978

15 BAIM Supplement No. 3
Appendix 3
Page 24

Training	
Individual Employee Files.....	406-01
Program Administrative Files.....	406-06
Report Card Files, Employee.....	406-02
Report Files.....	406-03
Tribal Assistance (Technical) Project Files.....	1308-02
Transaction	
Aborted Land.....	1105-04
History ADP File.....	904-03
Land.....	1105-03
Monthly Journal.....	703-09
Purchase.....	801-02
Statement.....	705-02
Transitory Files.....	101-04
Transmittal	
Audit Reports.....	1003-03
Letters of Transmittal.....	101-04
Transportation	
Passenger Records, Carrier	703-02
Passenger Records, Individual.....	703-01
Transportation Request Accountability Records.....	308-02
Travel Files, Employee.....	101-08
Treaty Files.....	1306-01
Trial Balance Files.....	706-06
Trial Balance Files, Unappropriated Receipts.....	705-10
Tribal	
701 Plans.....	202-04
Agreements.....	1306-04
Audit Report Files.....	1003-01
Budget and Allotments Files.....	1304-02
Census Polls, Card and Book.....	1306-06
Charters, Constitutions and By-Law Files.....	1306-02
Contracts.....	1306-05
Customs and History Files.....	1306-11
Fund Ledgers.....	1306-09
Group Meeting Files.....	1306-10
Law and Other Records.....	1302-02
Meetings.....	1306-12
Records, Special.....	1306-03
Trust and Tribal Accounts General Ledger Files, Control....	705-01
Trust Withdrawal Program Files.....	1101-02
Tuition Assistance	
Employee.....	406-04
Indian Tuition Grants.....	1404-05
Indian Tuition Loans.....	1404-03
Twenty-Day Case Files.....	1106-03

U

Unappropriated Receipts Trial Balance Files.....	705-10
Unavailable Receipts Files, Report of.....	705-06
Unit Case Files, Range.....	1108-02
Unpublished Manuscript Files.....	1401-02
Unsolicited Proposal Files.....	801-05
User Documentation File.....	901-07
Utilities Evaluation Survey Files	309-01
Utilities Reports.....	309-05
Utility ADP Files, Plant Management.....	909-01
Utilization Record Files, ADP Machine.....	901-09

V

Vacancy Announcement Files.....	402-08
Vacant Position ADP File.....	906-0
Vendor Reference Materials Files.....	307-02
Videotape Files.....	304-04
Violations Files, Security.....	306-03
Visitor Control Files.....	306-11
Visitor Passes	306-12
Visits to Dispensaries, First Aid Rooms, and Health Units...	405-05
Voucher and Schedule of Payment Files.....	703-10
Voucher Files.....	706-01

W

Warrant Files, Appropriation	705-03
Water Rights Legal Case Files, Irrigation and.....	1103-04
Welfare Case Files.....	1305-01
Welfare Reports	
Periodic.....	1305-04
Special.....	1305-03
Well, Oil Records.....	1105-15
White House Correspondence Files.....	502-02
Whitten Amendment Review Papers	404-02
Wildlife Maps (All Others), and Range	1108-04
Wildlife Maps Files and Range.....	1108-03
Work or Scratch Tape ADP Files.....	902-04
Work Papers, Extension.....	1307-02
Work Relief Time Sheets.....	1305-02
Work Requests for Building Maintenance	307-15

Y

Year-to-Date Pay History ADP File	905-01
---	--------



United States Department of the Interior

OFFICE OF THE SECRETARY
WASHINGTON, D.C. 20240

15 BIAM Supp. 3 Release 3

JUN 16 1983

Memorandum

To: Holders of 15 BIAM Supplement 3
From: Assistant Secretary - Indian Affairs (Operations)
Subject: Manual Changes to 15 BIAM Supp. 3 to Reflect Lifting of General Services Administration Freeze on Certain BIA Records

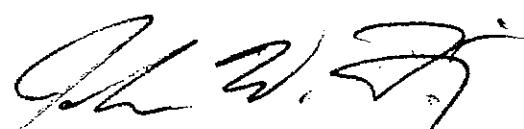
Effective immediately, this release lifts the General Services Administration (GSA) freeze on the following series of Bureau of Indian Affairs records:

102-01A2	307-09	404-01	705-06	1107-16	1402-12
102-01B1	307-10	502-01	706-09	1109-03	1405-01
102-01B2	307-12A	600-01	1003-04	1201-02	1405-03
201-02A	307-12E	600-03	1103-01	1201-04	1405-04
201-03	307-13	702-03	1103-08	1201-12	1406-01
202-01A	308-04	702-04B1	1103-12	1203-01	1406-03
202-02	308-07	702-04B2	1105-04	1301-01	GRS 3-3
202-04	309-01	702-07	1105-06	1301-09	
202-05	309-04	703-03	1105-13B	1307-05	
202-06A	309-05	703-04	1105-15	1402-03	
203-07	309-06	703-16	1107-03	1402-08	
307-04	401-01	703-19			

Disposition on accessions retired under the above authorities can now be carried out where appropriate.

All other series originally frozen by GSA on (September 27, 1977) will remain frozen until further notice. In addition, the GSA freeze is now imposed, effective immediately, on the following series:

1105-08b
1107-21d
1201-06a
1201-11



Deputy Assistant Secretary - Indian Affairs
(Operations)

Filing Instructions:

- (a) Remove superseded material:

None

- (b) Insert new material transmitted:

None

- (c) Pen-and-ink changes:

Remove the asterisks following the Disposition Codes listed above in
15 BIAM, Supplement 3, Appendix 2. (dated 2/11/77)