

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                     |  |                                                                                                                                                                                                                                                  |                                                       |  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|--|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------|--|
| <b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                     |  | <b>LEAVE BLANK (NARA use only)</b>                                                                                                                                                                                                               |                                                       |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                     |  | JOB NUMBER <i>71-075-04-7</i>                                                                                                                                                                                                                    |                                                       |  |
| To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION<br>8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                     |  | Date Received<br><i>11-20-2003</i>                                                                                                                                                                                                               |                                                       |  |
| 1. FROM (Agency or establishment)<br><b>U.S. Department of the Interior</b>                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                     |  | <b>NOTIFICATION TO AGENCY</b><br><br>In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. |                                                       |  |
| 2. MAJOR SUB-DIVISION<br><b>Office of the Special Trustee for American Indians</b>                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                     |  |                                                                                                                                                                                                                                                  |                                                       |  |
| 3. MINOR SUB-DIVISION                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                     |  |                                                                                                                                                                                                                                                  |                                                       |  |
| 4. NAME OF PERSON WITH WHOM TO CONFER<br><b>Donna Erwin</b>                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | 5. TELEPHONE<br><b>505-816-1313</b> |  | DATE<br><i>12-17-03</i>                                                                                                                                                                                                                          | ARCHIVIST OF THE UNITED STATES<br><i>John W. Carl</i> |  |
| <b>6. AGENCY CERTIFICATION</b><br><br>I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached ___ page(s) are not needed now for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                     |  |                                                                                                                                                                                                                                                  |                                                       |  |
| <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                     |  |                                                                                                                                                                                                                                                  |                                                       |  |
| DATE<br><i>11/17/03</i>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | SIGNATURE OF AGENCY REPRESENTATIVE<br><i>Ethel J. Abeita</i><br><b>Ethel J. Abeita</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                     |  |                                                                                                                                                                                                                                                  | TITLE<br><b>Director, Office of Trust Records</b>     |  |
| 7. ITEM NO.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                     |  | 9. GRS OR SUPERSEDED JOB CITATION                                                                                                                                                                                                                | 10. ACTION TAKEN (NARA USE ONLY)                      |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | <b>Please See Attached.</b><br><br><b>This schedule covers the 4800 Series and the following sections of 2500 Series from the 16 BIAM:</b><br><br>2516-T3F - Statement of Transaction (SF-224) Files<br>2517-T3F - Nonexpenditure Transfer Authorization (SF-1151) Files<br>2520-T3F - Journal Voucher Files<br>2521-T3F - Voucher & Schedule of Payment Files<br>2522a-T3F - Cash Documents by Appropriation Files<br>2524-T3F - Schedule of Canceled Checks (SF-1098) Files<br>2538a-T3F - Printout Copies of Certificate of Deposit Files<br>2540-T3F - Advice of Collection Files<br>2542-T3F - Unappropriated Receipts Trial Balance Files<br>2543-T3F - Special Disbursing Agent Files<br>2544-T3F - Trial Balance Files<br>2545-T3F - Reconciliation Statement Files<br>2523-T3 - Daily Disbursement Report Files |                                     |  |                                                                                                                                                                                                                                                  |                                                       |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | <br>PRINCIPAL DEPUTY SPECIAL TRUSTEE<br>OFFICE OF THE SPECIAL TRUSTEE FOR AMERICAN INDIANS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                     |  | <i>11/17/03</i>                                                                                                                                                                                                                                  | DATE                                                  |  |

**2500 Series Conversion Table  
Office of the Special Trustee for American Indians**

| 16 BIAM (1989 Version)                                                            | Proposed Schedule (2003 Version) |                                                                            | Related Series                             |
|-----------------------------------------------------------------------------------|----------------------------------|----------------------------------------------------------------------------|--------------------------------------------|
| 2516-T3F - Statement of Transaction (SF-224) Files                                | 2516-P                           | Reporting Receipts and Disbursements to Treasury                           | 2522a-T3F, 2543-T3F, 2544-T3F and 4803-T3F |
| 2517-T3F - Nonexpenditure Transfer Authorization Files                            |                                  | Reserved (no longer used)                                                  |                                            |
| 2520-T3F - Journal Voucher Files                                                  | 2520-P                           | Transfer Files                                                             |                                            |
| 2521-T3F - Voucher and Schedule of Payment Files                                  | 2521-P                           | Disbursement Files                                                         |                                            |
| 2522 - Cash Documents By Appropriation Files<br>2522a-T3F<br>2522b-T0<br>2522c-T0 |                                  | Reserved (Combined with 2516)                                              |                                            |
| 2523-T3 - Daily Disbursement Report Files                                         | 2523-P                           | Daily Indian Services Special Disbursing Agent (ISSDA) Disbursement Report | 4803-T3F and 4804-T3F                      |
| 2524-T3F - Schedule of Cancelled Checks Files                                     |                                  | Reserved (Combined with 4851 and 4802)                                     |                                            |
| 2538 - Certificate of Deposit Files<br>2538a-T3F<br>2538b-T0                      | 2538-P                           | Cash Receipting Files                                                      |                                            |
| 2540-T3F - Advice of Collections Files                                            |                                  | Reserved (Combined with 2538)                                              |                                            |
| 2542-T3F - Unappropriated Receipts Trial Balance Files                            |                                  | Reserved (Combined with 4802)                                              |                                            |
| 2543-T3F - Special Disbursing Agent Files                                         |                                  | Reserved (Combined with 4851)                                              |                                            |

**2500 Series Conversion Table  
Office of the Special Trustee for American Indians**

| 16 BIAM (1989 Version)                    | Proposed Schedule (2003 Version) |                                                                                  | Related Series |
|-------------------------------------------|----------------------------------|----------------------------------------------------------------------------------|----------------|
| 2544-T3F - Trial Balance Files            | 2544-P                           | Reconciliation of Individual Indian Monies Financial Statement Interest Earnings | 4858a-T3F      |
| 2545-T3F - Reconciliation Statement Files |                                  | Reserved (no longer used)                                                        |                |

**4800 Series Conversion Table  
Office of the Special Trustee for American Indians**

| <b>16 BIAM (1989 Version)</b>                                            | <b>Proposed Schedule (2003 Version)</b> |                                                                             | <b>Related Series</b> |
|--------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------------------------------------|-----------------------|
| 4801-P3 - Security Account Files                                         | 4801-P                                  | Investment Files                                                            |                       |
| 4802-P10 - Tribal Trust Accounts General Ledger Files                    | 4802-P                                  | Tribal Case Files                                                           |                       |
| 4803-T3F - Indian Services Special Disbursing Agent (ISSDA) Report Files | 4803-P                                  | Weekly Indian Services Special Disbursing Agent (ISSDA) Disbursement Report | 4804-T3F              |
| 4804-T3F - Monthly Check Reconciliation Listing Files                    | 4804-P                                  | Monthly Check Inventory Reconciliation Report                               |                       |
| Unscheduled                                                              | 4805-P                                  | Agency Electronic Funds Transfer (EFT) Payment Report                       |                       |
| Unscheduled                                                              | 4806-P                                  | Quarterly Loss/Claims Report                                                |                       |
| Unscheduled                                                              | 4807-P                                  | Intra-Governmental Fiduciary Transactions Confirmation System Report (IFCS) |                       |
| Unscheduled                                                              | 4808-P                                  | Standard General Ledger (SGL) Edit Checks File                              |                       |
| Unscheduled                                                              | 4809-P                                  | Overnighter Reconciliation Report                                           |                       |
| Unscheduled                                                              | 4810-P                                  | Treasury Investment Reconciliation                                          |                       |
| Unscheduled                                                              | 4811-P                                  | Outside Treasury Investment Reconciliation                                  |                       |
| Unscheduled                                                              | 4812-P                                  | DOI Financial Statements Securities Market Value Footnote                   |                       |
| Unscheduled                                                              | 4813-P                                  | DOI Financial Statements Receipts Breakdown Footnote                        |                       |
| Unscheduled                                                              | 4814-P                                  | Individual Indian Monies (IIM) Interim Financial Statements                 |                       |
| Unscheduled                                                              | 4815-P                                  | Tribal and Other Interim Financial Statements                               |                       |

**4800 Series Conversion Table  
Office of the Special Trustee for American Indians**

| 16 BIAM (1989 Version) | Proposed Schedule (2003 Version) |                                                                                                     | Related Series                                       |
|------------------------|----------------------------------|-----------------------------------------------------------------------------------------------------|------------------------------------------------------|
| Unscheduled            | 4816-P                           | Reconciliation of Statement of Differences (TFS6652)                                                | 2516-T3F, 2517-T3F, 2522a-T3F, 2543-T3F and 4803-T3F |
| Unscheduled            | 4817-P                           | Individual Indian Monies Overdraft Report                                                           |                                                      |
| Unscheduled            | 4818-P                           | Summary of Overdraft Tribal Accounts Balances                                                       |                                                      |
| Unscheduled            | 4819-P                           | House Suspense Balances Report                                                                      |                                                      |
| Unscheduled            | 4820-P                           | Quarterly Wind River (WR) Check Reporting                                                           |                                                      |
| Unscheduled            | 4821-P                           | Current Overdraft Monitoring Report                                                                 |                                                      |
| Unscheduled            | 4822-P                           | Taxable Earnings Report                                                                             |                                                      |
| Unscheduled            | 4823-P                           | Tax Issue Reporting                                                                                 |                                                      |
| Unscheduled            | 4824-P                           | Interest Factor Reconciliation File                                                                 |                                                      |
| Unscheduled            | 4825-P                           | Daily Cash Reconciliation File                                                                      |                                                      |
| Unscheduled            | 4826-P                           | Daily Cash Statement File                                                                           |                                                      |
| Unscheduled            | 4827-P                           | Trust Fund Accounting System (TFAS) and Individual Indian Monies (IIM) Daily Reconciliation File    |                                                      |
| Unscheduled            | 4828-P                           | Daily Retroactive Investment Report File                                                            |                                                      |
| Unscheduled            | 4829-P                           | Control ID 462/463 Reconciliation Report File                                                       |                                                      |
| Unscheduled            | 4830-P                           | I2P (Individual Indian Monies (IIM) Subsidiary to Individual Indian Monies (IIM) Pool) Journalizing |                                                      |

**4800 Series Conversion Table  
Office of the Special Trustee for American Indians**

| 16 BIAM (1989 Version)   | Proposed Schedule (2003 Version) |                                                                        | Related Series         |
|--------------------------|----------------------------------|------------------------------------------------------------------------|------------------------|
| Unscheduled              | 4831-P                           | Minerals Management Service (MMS) Reconciliation Report File           |                        |
| Unscheduled              | 4832-P                           | SF 6653/6654 Reconciliation Reports and Analysis Worksheet File        | 2516-T3F and 2522a-T3F |
| Unscheduled              | 4833-P                           | Month End Unit Reconciliation                                          |                        |
| Unscheduled              | 4834-P                           | One Number Reconciliation                                              |                        |
| Unscheduled              | 4835-P                           | Daily Interest Reconciliation                                          |                        |
| Unscheduled              | 4836-P                           | Monthly Daily Disbursement Report (VT) Reconciliation File             |                        |
| Unscheduled              | 4837-P                           | Reconciliation List and Fax Confirmations                              |                        |
| Unscheduled              | 4838-P                           | Quarterly Internal Review Reports                                      |                        |
| Unscheduled              | 4839-P                           | Individual Indian Monies (IIM) Pool Earnings                           |                        |
| Unscheduled              | 4840-P                           | One Day Overnight Security Investment                                  |                        |
| Unscheduled              | 4841-P                           | Overnight Interest Factor                                              |                        |
| Unscheduled              | 4842-P                           | Standard General Ledger Compilation Report                             |                        |
| Unscheduled              | 4843-P                           | Standard General Ledger (SGL) Report to National Business Center (NBC) |                        |
| Unscheduled              | 4844-P                           | Daily Overdraft Report                                                 |                        |
| 4851-P5 - IIM Case Files | 4851-P                           | Individual Indian Monies (IIM) Case Files                              | 4853-P5 and 4857-T3F   |

**4800 Series Conversion Table  
Office of the Special Trustee for American Indians**

| 16 BIAM (1989 Version)                                           | Proposed Schedule (2003 Version) |                                           | Related Series                                              |
|------------------------------------------------------------------|----------------------------------|-------------------------------------------|-------------------------------------------------------------|
| 4852-IIM - Ledgers and Cards                                     |                                  | Reserved (combined with 4851)             |                                                             |
| 4853-P5 - IIM Posting and Control Records                        |                                  | Reserved (combined with 4851)             |                                                             |
| 4854-T3 - IIM Duplicate Posting and Control Records              |                                  | Reserved (combined with 4851)             |                                                             |
| 4855 - IIM Name File<br>4855a-T1<br>4855b-T0                     |                                  | Reserved (combined with 4871)             |                                                             |
| 4856-T3 - IIM Balance Forward Files<br>4856a-T3<br>4856b-T3      |                                  | Reserved (combined with 4851)             |                                                             |
| 4857-T3F - Cash Collection Files                                 |                                  | Reserved (combined with 2538)             |                                                             |
| 4858 - General Ledger Detailed Listings<br>4858a-T3F<br>4858b-T0 |                                  | Reserved (combined with 4871)             |                                                             |
| 4859-T3F - IIM Deposit Ticket Files                              |                                  | Reserved (combined with 2538)             |                                                             |
| Unscheduled                                                      | 4870                             | Electronic Records (SYSTEMS) - RESERVED - |                                                             |
| Unscheduled                                                      | 4871-P                           | Trust Fund Accounting System (TFAS)       | 4851-P5, 4852, 4853-P5, 4854-T3, 4855, 4856, 4858, 4859-T3F |
| Unscheduled                                                      | 4872-P                           | Daily Account Distribution System (DADS)  |                                                             |

*Office of the Special Trustee for American Indians – Record Schedules*

| Series              | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
|---------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 2516-P<br>Reporting | <p><b>Reporting Receipts and Disbursements to Treasury:</b></p> <p><b>Purpose:</b> To report monthly receipts and disbursements posted to the Trust Funds Accounting System (TFAS) to Treasury for Agency Location Code (ALC) 4844 and 1421-0651.</p> <p>NOTE:</p> <ol style="list-style-type: none"><li>1. Related Series: 2516-T3F, 2522a-T3F, 2543-T3F, 2544-T3F and 4803-T3F</li><li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) and Intra-governmental Payment and Collection (IPAC)</li></ol>                                                                                                                | Chronological       | <p><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |
|                     | <p>Records are subject to the Privacy Act 5 USC 552a.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                     |                                                                                                                                                                                                                                                                                                                                          |
|                     | <p><b>Content:</b></p> <ol style="list-style-type: none"><li>1. <u>SF-1219 Statement of Accountability and SF-1220 Statement of Transactions</u><ul style="list-style-type: none"><li>• Daily Receipt Transactions by Batch Report</li><li>• Daily Disbursement Transactions by Batch Report</li><li>• Daily Null Transactions by Batch Report</li><li>• Cash Receipts Deposited</li><li>• Indian Service Special Disbursing Agent (ISSDA Disbursements)</li><li>• Intra-governmental Payment and Collection (IPAC) Transactions</li><li>• Daily Cash Balance</li><li>• Proposed Adjustments to SF- 1219/1220 worksheet</li></ul></li></ol> |                     |                                                                                                                                                                                                                                                                                                                                          |

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**Content:**

2516-P  
con't.

2. SF-224 Statement of Transactions

- Daily Receipt Transactions by Batch Report
- Daily Disbursement Transactions by Batch Report
- Daily Null Transactions by Batch Report
- Cash Receipts
- Cash Disbursements
- Overnighter Activity
- Intra-governmental Payment and Collection (IPACs)
- BF-4285 Transfers Between Appropriations
- Custodians Activity and Adjustments Report
- Daily Cash Balance
- Manual 1081's Voucher and Schedule of Withdrawals and Credits
- Proposed Adjustments to SF-224 Statement of Transactions worksheet

Office of Trust Reporting and Reconciliation is identified as the office of record.

***Office of the Special Trustee for American Indians – Record Schedules***

| Series                                                                                                                                 | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Filing Instructions                                                                                                                                                             | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
|----------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>2520-P</b><br/>                     Receipting,<br/>                     Disbursing &amp;<br/>                     Transfers</p> | <p><b>Transfer Files:</b></p> <p><b>Purpose:</b> Office of the Special Trustee for American Indians to ensure the accurate processing of all financial transactions and to ensure compliance with established U.S. Treasury guidelines. Controls accounting activities that properly record all funds received, disbursed, invested, and held in trust for individual Indian and Indian tribes, providing centralized accounting services for all trust funds management.</p>                                   | <p>(1) Office of Field Operations – file daily in chronological order.</p> <p>(2) Office of Trust Services – file daily in chronological order by batch transaction number.</p> | <p><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |
|                                                                                                                                        | <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related series: 2520-T3F</li> <li>2. Related Electronic Systems: Customer Strata Station (CSS); Trust Funds Accounting System (TFAS); Integrated Records Management System (IRMS); other Bureau of Indian Affairs Real Property Management Systems; and Treasury Financial Management Systems: Intra-Government Payment and Collection (IPAC), Electronic Certification System (ECS) and Government Online Accounting Link System (GOALS II).</li> </ol> |                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                          |

Records are subject to the Privacy Act 5 USC 552a.

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**Content:**

2520-P  
con't.

- SF-1081 Voucher and Schedule of Withdrawals and Credits
- GAO 1017 Journal Voucher (JV encoding prefix)
- BIA Form 4285 Intra-Bureau Cash Transaction Authorization (BB encoding prefix)
- IPAC (Intergovernmental Payment and Collection)
- Work tickets
- Supporting documentation such as lease distribution/interest calculation, probate/lease contract and worksheets/vouchers.

The Office of Field Operations is identified as the office of record.

**Office of the Special Trustee for American Indians – Record Schedules**

| Series                                                    | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Filing Instructions                                                                                                                                                             | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
|-----------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>2521-P</b><br>Receipting,<br>Disbursing &<br>Transfers | <p><b>Disbursement Files:</b></p> <p><b>Purpose:</b> Office of the Special Trustee for American Indians to ensure the accurate processing of all financial transactions and to ensure compliance with established U.S. Treasury guidelines. Controls accounting activities that properly record all funds received, disbursed, invested, and held in trust for individual Indian and Indian tribes, providing centralized accounting services for all trust funds management.</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related series: 2521-T3F</li> <li>2. Related Electronic Systems: Customer Strata Station (CSS); Trust Funds Accounting System (TFAS); Integrated Records Management System (IRMS); other Bureau of Indian Affairs Real Property Management Systems; and Treasury Financial Management Systems: Intra-Government Payment and Collection (IPAC), Electronic Certification System (ECS) and Government Online Accounting Link System (GOALS II).</li> </ol> | <p>(1) Office of Field Operations – file daily in chronological order.</p> <p>(2) Office of Trust Services – file daily in chronological order by batch transaction number.</p> | <p><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

Records are subject to the Privacy Act 5 USC 552a.

**Content:**

- SF-1166 Voucher and Schedule of Payments (VS encoding prefix)
- Form 5-4250 Indian Service Special Disbursing Agent (ISSDA)
- Daily Disbursements Report (DDR) (VT encoding prefix)
- SF-1034 Public Voucher for Purchases and Services other than Personal
- SF-1147 Public Voucher for Refunds

The Office of Field Operations is identified as the office of record.

*Office of the Special Trustee for American Indians – Record Schedules*

| Series              | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                                               |
|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 2523-P<br>Reporting | <p data-bbox="306 300 1266 368"><b>Daily Indian Service Special Disbursing Agent (ISSDA) Disbursement Report:</b></p> <p data-bbox="306 411 1241 475"><b>Purpose:</b> To report and show all daily Individual Indian Monies' check disbursements.</p> <p data-bbox="306 518 401 542"><b>NOTE:</b></p> <ol data-bbox="306 555 1266 624" style="list-style-type: none"><li data-bbox="306 555 1010 579">1. Related Series: 2523-T3, 4803-T3F and 4804-T3F</li><li data-bbox="306 592 1266 624">2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)</li></ol> <p data-bbox="306 667 972 691">Records are subject to the Privacy Act 5 USC 552a.</p> <p data-bbox="306 738 426 762"><b>Content:</b></p> <ul data-bbox="327 778 821 882" style="list-style-type: none"><li data-bbox="327 778 821 802">• Daily Disbursement Reports (DDR)</li><li data-bbox="327 818 573 842">• Verification List</li><li data-bbox="327 858 558 882">• Check Register</li></ul> <p data-bbox="306 930 1251 989">Office of Trust Reporting and Reconciliation is identified as the office of record.</p> | Chronological       | <p data-bbox="1675 300 2009 802"><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

***Office of the Special Trustee for American Indians – Record Schedules***

| Series                                                                  | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Filing Instructions                                                                                                                                                             | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
|-------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>2538-P</b><br/>Receipting,<br/>Disbursing &amp;<br/>Transfers</p> | <p><b>Cash Receipting Files:</b></p> <p><b>Purpose:</b> Office of the Special Trustee for American Indians to ensure the accurate processing of all financial transactions and to ensure compliance with established U.S. Treasury guidelines. Controls accounting activities that properly record all funds received, disbursed, invested, and held in trust for individual Indian and Indian tribes, providing centralized accounting services for all trust funds management.</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related series: 2538a-T3F</li> <li>2. Related Electronic Systems: Customer Strata Station (CSS); Trust Funds Accounting System (TFAS); Integrated Records Management System (IRMS); other Bureau of Indian Affairs Real Property Management Systems; and Treasury Financial Management Systems: Intra-Government Payment and Collection (IPAC), Electronic Certification System (ECS) and Government Online Accounting Link System (GOALS II).</li> </ol> | <p>(1) Office of Field Operations – file daily in chronological order.</p> <p>(2) Office of Trust Services – file daily in chronological order by batch transaction number.</p> | <p><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |
| <p>Records are subject to the Privacy Act 5 USC 552a.</p>               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                          |

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**Content:**

2538-P  
con't.

- Mail Logs
- SF-215 – Deposit Tickets
- Form 5-777/5-4218 – Field Receipts
- DI-1040 – Bills for Collection
- Form 4284 – Schedules of Collections
- Completed bank deposit ticket
- Work tickets
- Copies of Remittances
- Supporting documentation such as lease distribution/interest calculation, probate/lease contract and worksheets/vouchers.

The Office of Field Operations is identified as the office of record.

*Office of the Special Trustee for American Indians – Record Schedules*

| Series              | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                                               |
|---------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 2544-P<br>Reporting | <p data-bbox="304 300 1297 368"><b>Reconciliation of Individual Indian Monies Financial Statement Interest Earnings:</b></p> <p data-bbox="304 411 1230 512"><b>Purpose:</b> To reconcile the income from assets reported in the financial statements with the interest earnings computed for the Individual Indian Monies pool.</p> <p data-bbox="304 555 401 582">NOTE:</p> <ol data-bbox="304 592 1268 660" style="list-style-type: none"> <li data-bbox="304 592 894 619">1. Related Series: 2544-T3F and 4858a-T3F</li> <li data-bbox="304 628 1268 660">2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)</li> </ol> <p data-bbox="304 703 972 730">Records are subject to the Privacy Act 5 USC 552a.</p> <p data-bbox="304 774 426 801"><b>Content:</b></p> <ul data-bbox="327 815 1215 884" style="list-style-type: none"> <li data-bbox="327 815 961 842">• Individual Indian Monies Financial Statements</li> <li data-bbox="327 852 1215 884">• Individual Indian Monies Account (IM6039716) Earnings Accrual</li> </ul> <p data-bbox="304 927 1247 989">Office of Trust Reporting and Reconciliation is identified as the office of record.</p> | Chronological       | <p data-bbox="1675 300 2009 801"><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Filing Instructions      | Disposition Instructions                                                                                                                                                                                                                                                                                                      |
|-----------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4801-P<br>Investments | <p><b>Investment Files:</b></p> <p><b>Purpose:</b> Invest tribal and individual Indian trust funds to make the trust accounts productive for the beneficial owners that are consistent with market conditions which exist at the time the investments are made. Division of Trust Funds Investments controls the buying, selling, and trading of investment instruments in accordance with applicable laws, regulations, and policies.</p> <p>Office of Trust Funds Management verifies income payable for the day and reconciles differences from the previous day. Prepares work tickets for projected income, which is verification and reconciliation for the incoming incomes from investments five (5) days prior to the maturity date. Prepare, verifies, and files work tickets for ‘in-house’ trades. Monitors called securities; retrieves and files the package for called securities.</p> <p>Monitors security buy, sells, calls, and maturities in Trust Funds Accounting System (TFAS) and verifies investment work tickets to information with custodian.</p> | Numerical by coupon rate | <b>PERMANENT:</b> Cut off files at end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States. |
|                       | <p>NOTE:</p> <ol style="list-style-type: none"><li>1. Related series: 4801</li><li>2. Related Electronic Systems: Money Max, Trust Funds Accounting System (TFAS), and Bloomberg.</li></ol>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                          |                                                                                                                                                                                                                                                                                                                               |
|                       | <p>Records are subject to the Privacy Act 5 USC 552a.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                          |                                                                                                                                                                                                                                                                                                                               |

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**Content:**

4801-P  
con't.

- Records of investments
- Statements of income producing security accounts
- Bonds
- Investments reports
- Trade ticket
- Money Max System reports
- Related correspondence.

Office of Trust Funds Management is identified as the office of record.

***Office of the Special Trustee for American Indians – Record Schedules***

| Series                                  | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Filing Instructions                                                                              | Disposition Instructions                                                                                                                                                                                                                                                                                                                                        |
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| <b>4802-P</b><br>Account<br>Maintenance | <p><b>Tribal Case Files:</b></p> <p><b>Purpose:</b> Tribal Accounts are established in accordance with 25 CFR § 115.702.</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related series: 4802-P10</li> <li>2. Related Electronic Systems: Trust Funds Accounting System (TFAS).</li> </ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"> <li>• Legal documentation such as tribal resolutions, Public Laws, use and distribution plans</li> <li>• Routine File Maintenance documentation</li> <li>• Financial Transaction documentation such as budget, per capita payouts, SF-1166 Schedule of Payments, Electronic Fund Transfers (EFT)</li> <li>• ACH disbursements, interest calculation worksheets</li> <li>• General Information and other related correspondence: letters to/from account holders, memos to the file, customer statements</li> <li>• SF-1034 Public Voucher for Purchases and Services other than Personal</li> <li>• BIA Form 4285 Transfer Between Appropriations</li> </ul> | Office of Field Operations files daily by Tribal name then in numerical order by account number. | <p><b>PERMANENT:</b> Cut off files at end of the fiscal year in which account is closed. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

The Office of Field Operations is identified as the office of record.

*Office of the Special Trustee for American Indians – Record Schedules*

| Series              | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                          |
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| 4803-P<br>Reporting | <b>Weekly Indian Services Special Disbursing Agent (ISSDA) Disbursement Report:</b><br><br><b>Purpose:</b> To report all Individual Indian Monies disbursement checks on a weekly basis to Treasury.<br><br>NOTE:<br>1. Related Series: 4803-T3F and 4804-T3F<br>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)<br><br>Records are subject to the Privacy Act 5 USC 552a.<br><br><b>Content:</b> <ul style="list-style-type: none"><li>• Weekly Check Report</li><li>• Indian Service Special Disbursing Agent (ISSDA) E-data File</li><li>• Daily Disbursement Report (DDR)</li></ul><br>Office of Trust Reporting and Reconciliation is identified as the office of record. | Chronological       | <b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States. |

*Office of the Special Trustee for American Indians – Record Schedules*

| Series              | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
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| 4804-P<br>Reporting | <p><b>Monthly Check Inventory Reconciliation Report:</b></p> <p><b>Purpose:</b> To reconcile and report on a monthly basis all 0000-4844 checks used to checks ordered from Treasury.</p> <p>NOTE:</p> <ol style="list-style-type: none"><li>1. Related Series: 4804-T3F</li><li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)</li></ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"><li>• Daily Disbursement Reports</li><li>• Monthly Check Inventory Report</li><li>• Check Order Listing</li></ul> | Chronological       | <p><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

Office of Trust Reporting and Reconciliation is identified as the office of record.

**Office of the Special Trustee for American Indians – Record Schedules**

| Series                                | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
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| <b>4805-P</b><br>New Series Reporting | <p><b>Agency Electronic Funds Transfer (EFT) Payment Report:</b></p> <p><b>Purpose:</b> This report lists the total number of Electronic Funds Transfer (EFT) payments sent to accountholders per month. The Electronic Funds Transfer (EFT) payments are compared to payments made by checks.</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related series: None</li> <li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) and the Electronic Certification System (ECS)</li> </ol>                                                                                                                                                                                                                                                                                                      | Chronological       | <p><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |
|                                       | <p>Records are subject to the Privacy Act 5 USC 552a.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                     |                                                                                                                                                                                                                                                                                                                                          |
|                                       | <p><b>Content:</b></p> <ul style="list-style-type: none"> <li>• Summary of Wind River Per Capita checks for current month</li> <li>• Custodian’s daily activity for current month</li> <li>• SF1166 Voucher and Schedule of Payments daily activity for current month</li> <li>• Daily Disbursement Report - VT daily activity for current month</li> <li>• Electronic Funds Transfer (EFT) Report – All Check Disbursement</li> <li>• Individual Indian Monies (IIM) Electronic Funds Transfer – Disbursement Code 55</li> <li>• Individual Indian Monies (IIM) Electronic Funds Transfer Disbursement 42, 43, 60, 61, and 85</li> <li>• Tribal – Checks using SF1166 Voucher and Schedule of Payments (VS prefix)</li> <li>• Tribal Electronic Funds Transfer</li> <li>• Comparison to prior period worksheet</li> </ul> |                     |                                                                                                                                                                                                                                                                                                                                          |

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**Content:**

4805-P  
con't

- EFT and check distribution data worksheet
- Summary of Mescal payment for month

Office of Trust Reporting and Reconciliation is identified as the office of record.

**Office of the Special Trustee for American Indians – Record Schedules**

| Series                                                                                     | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
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| <b>4806-P</b><br>New Series Reporting                                                      | <p><b>Quarterly Loss/Claims Report:</b></p> <p><b>Purpose:</b> To report Individual Indian Monies claims and summarize the potential and actual losses pending settlement and interest calculated.</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related Series: None</li> <li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)</li> </ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"> <li>• Tribal Treasury overnighter rates for the three month period</li> <li>• Individual Indian Monies (IIM) interest rate for the three month period</li> <li>• Historical spreadsheets for each loss and claim</li> </ul> | Chronological       | <p><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |
| <p>Office of Trust Reporting and Reconciliation is identified as the office of record.</p> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                     |                                                                                                                                                                                                                                                                                                                                          |

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                            | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                                               |
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| 4807-P<br>New Series<br>Reporting | <p data-bbox="306 306 1215 375"><b>Intra-Governmental Fiduciary Transactions Confirmation System Report (IFCS):</b></p> <p data-bbox="306 418 1299 487"><b>Purpose:</b> To reconcile the Treasury securities and earnings submitted online by the Bureau of Public Debt (BPD).</p> <p data-bbox="306 529 401 557">NOTE:</p> <ol data-bbox="306 566 1266 708" style="list-style-type: none"><li>1. Related Series: None</li><li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) and BPD - Intra-Governmental Fiduciary Transactions Confirmation System (IFCS)</li></ol> | Chronological       | <p data-bbox="1673 306 2003 816"><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |
|                                   | <p data-bbox="306 751 968 779">Records are subject to the Privacy Act 5 USC 552a.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                     |                                                                                                                                                                                                                                                                                                                                                                        |
|                                   | <p data-bbox="306 824 426 852"><b>Content:</b></p> <ul data-bbox="331 865 1226 1052" style="list-style-type: none"><li>• General Ledger Summary of 14X5265-ALL and 14X8030-ALL for Balances</li><li>• Overnighter Accounts Receivable and Assets Reconciliation</li><li>• Summary of General Ledger Summary Activity</li><li>• Interest Expense Calculation worksheet from BPD.</li></ul>                                                                                                                                                                                                    |                     |                                                                                                                                                                                                                                                                                                                                                                        |
|                                   | <p data-bbox="306 1094 1245 1159">Office of Trust Reporting and Reconciliation is identified as the office of record.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                     |                                                                                                                                                                                                                                                                                                                                                                        |

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                            | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
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| 4808-P<br>New Series<br>Reporting | <p><b>Standard General Ledger (SGL) Edit Checks File:</b></p> <p><b>Purpose:</b> Monthly reconciliation to ensure the transmission transactions reported to Treasury will pass the edits.</p> <p>NOTE:</p> <ol style="list-style-type: none"><li>1. Related Series: None</li><li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)</li></ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"><li>• Monthly Standard General Ledger (SGL) Trial Balance summary</li><li>• SF-1219 Statement of Accountability monthly worksheet</li><li>• SF-1220 Statement of Transactions monthly worksheet</li><li>• SF-224 Statement of Transactions (SF-224) monthly worksheet</li><li>• Overnighter Account Receivable Report</li><li>• SGL Balance Check</li></ul> | Chronological       | <p><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

Office of Trust Reporting and Reconciliation is identified as the office of record.

**Office of the Special Trustee for American Indians – Record Schedules**

| Series                                                                                     | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
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| <b>4809-P</b><br>New Series Reporting                                                      | <p><b>Overnighter Reconciliation Report:</b></p> <p><b>Purpose:</b> To report and reconcile the overnighter earnings reported on the Statement of Transactions (SF-224) with the Overnighter Earnings worksheet and to also determine the overnighter receivable amount that will be reported as an accrual in the Standard General Ledgers (SGL).</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related Series: None</li> <li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)</li> </ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"> <li>• All Trust Assets Report (Book Value Amounts) for overnighter balances</li> <li>• Daily Overnighter Activity spreadsheet</li> <li>• Interest Earnings month-to-date</li> <li>• Daily Null Transactions by Batch Report (Overnighter Only)</li> </ul> | Chronological       | <p><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |
| <p>Office of Trust Reporting and Reconciliation is identified as the office of record.</p> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                     |                                                                                                                                                                                                                                                                                                                                          |

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                            | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
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| 4810-P<br>New Series<br>Reporting | <p><b>Treasury Investment Reconciliation:</b></p> <p><b>Purpose:</b> To record the activity in Treasury securities; to determine the asset balances at the end of the month; to provide data to Treasury for reconciliation of current asset balances and to provide the balances to the Standard General Ledger (SGL) accounts, both on budget for the Chief Financial Officer (CFO) and in total.</p> <p>NOTE:</p> <ol style="list-style-type: none"><li>1. Related Series: None</li><li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS) and Intra-Governmental Payment and Collection (IPAC)</li></ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"><li>• Trust Assets Report TRIBAL ONLY by Asset Class</li><li>• Trust Assets Report Individual Indian Monies (IIM) ONLY by Asset Class</li><li>• Overnighter Reconciliation</li><li>• Custodians Activity and Adjustment Report</li><li>• Intra-Governmental Payment and Collection (IPAC) Daily Activity</li></ul> <p>Office of Trust Reporting and Reconciliation is identified as the office of record.</p> | Chronological       | <p><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                                                                                     | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Filing Instructions  | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
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| <p><b>4811-P</b><br/>New Series Reporting</p>                                              | <p><b>Outside Treasury Investment Reconciliation:</b></p> <p><b>Purpose:</b> To reconcile the beginning balance and activity during the month with the ending balance for all securities held at the custodian.</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related Series: None</li> <li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)</li> </ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"> <li>• Overnighter Reconciliation report</li> <li>• Trust Assets Report Individual Indian Monies (IIM) ONLY by Asset Class</li> <li>• Trust Assets Report TRIBAL ONLY by Treasury Account Symbol (TAS)</li> <li>• Trust Assets Report TRIBAL ONLY by Asset Class</li> <li>• Account Balance by Treasury Account Symbol (TAS) Book vs. Fed Cost Report</li> <li>• Treasury Investment Reconciliation</li> <li>• Custodians activity and adjustment report</li> </ul> | <p>Chronological</p> | <p><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |
| <p>Office of Trust Reporting and Reconciliation is identified as the office of record.</p> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                      |                                                                                                                                                                                                                                                                                                                                          |

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                            | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                                               |
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| 4812-P<br>New Series<br>Reporting | <p data-bbox="306 301 1142 328"><b>DOI Financial Statements Securities Market Value Footnote:</b></p> <p data-bbox="306 376 1283 440"><b>Purpose:</b> To provide the market values of non-Treasury securities included in the financial statements of the Department of the Interior.</p> <p data-bbox="306 488 401 515">NOTE:</p> <ol data-bbox="306 520 1268 587" style="list-style-type: none"><li data-bbox="306 520 632 547">1. Related Series: None</li><li data-bbox="306 557 1268 587">2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)</li></ol> <p data-bbox="306 632 968 659">Records are subject to the Privacy Act 5 USC 552a.</p> <p data-bbox="306 703 428 730"><b>Content:</b></p> <ul data-bbox="331 743 856 847" style="list-style-type: none"><li data-bbox="331 743 856 770">• 5265 assets report (MS Access format)</li><li data-bbox="331 780 856 807">• 8030 assets report (MS Access format)</li><li data-bbox="331 817 516 844">• JM437AUO</li></ul> <p data-bbox="306 890 1247 954">Office of Trust Reporting and Reconciliation is identified as the office of record.</p> | Chronological       | <p data-bbox="1675 301 2003 802"><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                            | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
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| 4813-P<br>New Series<br>Reporting | <p><b>DOI Financial Statements Receipts Breakdown Footnote:</b></p> <p><b>Purpose:</b> To provide the breakdown by receipt type to the National Business Center (NBC) for edit checks of the receipts included in the financial statements for the Department of the Interior.</p> <p>NOTE:</p> <ol style="list-style-type: none"><li>1. Related Series: None</li><li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)</li></ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"><li>• General Ledger Summaries for accounts under Treasury Account Symbol 14X5265 and 14X8030</li><li>• SF-6655 – Receipt Account Report balance amounts</li></ul> | Chronological       | <p><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

Office of Trust Reporting and Reconciliation is identified as the office of record.

***Office of the Special Trustee for American Indians – Record Schedules***

| Series                            | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                                                                                    |
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| 4814-P<br>New Series<br>Reporting | <p data-bbox="304 301 1157 328"><b>Individual Indian Monies (IIM) Interim Financial Statements:</b></p> <p data-bbox="304 376 1297 440"><b>Purpose:</b> To report the monthly financial balances and for use in the audited of the final reported Financial Statements.</p> <p data-bbox="304 488 401 515">NOTE:</p> <ol data-bbox="304 523 1266 587" style="list-style-type: none"><li>1. Related series: None</li><li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)</li></ol> <p data-bbox="304 635 968 662">Records are subject to the Privacy Act 5 USC 552a.</p> <p data-bbox="304 710 422 737"><b>Content:</b></p> <ul data-bbox="333 745 1297 1264" style="list-style-type: none"><li>• Account Balance by Treasury Account Symbol (TAS) Book vs. Fed Cost Report</li><li>• Trust Assets Report Individual Indian Monies (IIM) ONLY by Asset Class</li><li>• JM428ca2 Custom Audit Report (CAR)</li><li>• JM428ca4 Custom Audit Report (CAR)</li><li>• Minerals Management Service (MMS) Data Fax transmittal sheet for the first day of the following month for Individual Indian Monies Minerals Management Service (IIM MMS) Cash Accrual Schedule</li><li>• BB log from SF224 Daily Activity</li><li>• Overnighter Reconciliation</li><li>• Individual Indian Monies (IIM) Earnings Accrual and Amortization detail</li><li>• Individual Indian Monies (IIM) transfer summary</li></ul> | Chronological       | <p data-bbox="1675 301 2007 515"><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center.</p> <p data-bbox="1675 523 2007 802">Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**Content:**

4814-P  
con't

- Analysis of receipts and disbursements
- Individual Indian Monies (IIM) Trial Balance and Adjusting Journal Entries
- Research and Reclassification of Receipts file

Office of Trust Reporting and Reconciliation is identified as the office of record.

**Office of the Special Trustee for American Indians – Record Schedules**

| Series                                | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
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| <b>4815-P</b><br>New Series Reporting | <p><b>Tribal and Other Interim Financial Statements:</b></p> <p><b>Purpose:</b> To report the monthly financial balances and activity and for use in the audited of the final reported Financial Statements.</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related Series: None</li> <li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)</li> </ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"> <li>• Account Balance by Treasury Account Symbol (TAS) Book vs. Fed Cost Report</li> <li>• Trust Assets Report TRIBAL ONLY by Asset Class</li> <li>• Overnighter receipt confirmations for the first day of the next months for the following five Treasury Account Symbols (TAS): 14X5265, 14X6803, 14X8030, and 14X6140</li> <li>• JM428car, JM428ca1, and JM428ca3 - Custom Audit Report (CAR)</li> <li>• Minerals Management Service (MMS) Data Fax Transmittal Sheet for the first day of the following month for Tribal Cash Accrual Schedule</li> </ul> | Chronological       | <p><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**Content:**

4815-P  
con't.

- Tribal and Other Transfer Summary
- Tribal Trial Balance and Adjusting Journal Entries (other and combined)
- Research and Reclassification of Receipts file
- Overnight Accrual for other accounts file

Office of Trust Reporting and Reconciliation is identified as the office of record.

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                            | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                                                                                    |
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| 4816-P<br>New Series<br>Reporting | <p data-bbox="304 300 1045 328"><b>Reconciliation of Statement of Differences (TFS6652):</b></p> <p data-bbox="304 373 1188 475"><b>Purpose:</b> To reconcile Treasury’s balances reported by the banks to balances reported by Office of Trust Funds Management for Agency Location Code (ALC) 14210651 and 00004844.</p> <p data-bbox="304 520 401 544">NOTE:</p> <ol data-bbox="304 555 1272 657" style="list-style-type: none"><li data-bbox="304 555 1272 619">1. Related Series: 2516-T3F, 2517-T3F, 2522a-T3F, 2543-T3F and 4803-T3F</li><li data-bbox="304 630 1272 657">2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)</li></ol> <p data-bbox="304 702 968 730">Records are subject to the Privacy Act 5 USC 552a.</p> <p data-bbox="304 775 426 799"><b>Content:</b></p> <ul data-bbox="338 815 1062 1034" style="list-style-type: none"><li data-bbox="338 815 1062 842">• Statement of Differences-Deposits and Disbursements</li><li data-bbox="338 853 1062 917">• Proposed Adjustments to SF-1219/1220 Statement of Accountability/Transactions</li><li data-bbox="338 928 942 956">• SF-224 Statement of Transactions worksheet</li><li data-bbox="338 967 617 994">• SF-1219 worksheet</li><li data-bbox="338 1005 617 1032">• SF-1220 worksheet</li></ul> | Chronological       | <p data-bbox="1673 300 2003 512"><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center.</p> <p data-bbox="1673 523 2003 802">Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

**Office of the Special Trustee for American Indians – Record Schedules**

| Series                                | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
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| <b>4817-P</b><br>New Series Reporting | <p><b>Individual Indian Monies Overdraft Report:</b></p> <p><b>Purpose:</b> To report all monthly Individual Indian Monies' House and Individual overdraft accounts activity, including changes from June 1998 balances for historical accounting.</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related Series: None</li> <li>2. Related Electronic Systems: Trust Funds Accounting System (TFAS)</li> </ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"> <li>• End of Month Overdraft Report for House Accounts and Individual Indian Monies Accounts</li> <li>• Overdraft Individual Indian Monies (IIM) End of Month Report</li> <li>• Overdrafted Individual Indian Monies (IIM) Summary Report</li> <li>• SEI_OD_House Report (MS Access format)</li> <li>• SEI_OD_IIM Report (MS Access format)</li> </ul> | Chronological       | <p><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |
|                                       | <p>Office of Trust Reporting and Reconciliation is identifies as the office of record.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                     |                                                                                                                                                                                                                                                                                                                                          |

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                            | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                        |
|-----------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4818-P<br>New Series<br>Reporting | <p><b>Summary of Overdraft Tribal Accounts Balances:</b></p> <p><b>Purpose:</b> To report all monthly Tribal overdraft accounts activity.</p> <p>NOTE:</p> <ol style="list-style-type: none"><li>1. Related Series: None</li><li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)</li></ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"><li>• Tribal Overdraft Report</li><li>• Account Balance Report Fed Cost</li></ul> <p>Office of Trust Reporting and Reconciliation is identified as the office of record.</p> | Chronological       | <p><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center.</p> <p>Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

***Office of the Special Trustee for American Indians – Record Schedules***

| Series                                        | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Filing Instructions  | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
|-----------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>4819-P</b><br/>New Series Reporting</p> | <p><b>House Suspense Balances Report:</b></p> <p><b>Purpose:</b> To report a three-month balance history of all house suspense account balances divided between current and non-current accounts and to report the status of the account.</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related Series: None</li> <li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)</li> </ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"> <li>• House Account End of the Month (EOM) Report (MS Access Format)</li> </ul> <p>Office of Trust Reporting and Reconciliation is identified as the office of record.</p> | <p>Chronological</p> | <p><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                                            | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Filing Instructions  | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
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| <p><b>4820-P</b><br/>New Series<br/>Reporting</p> | <p><b>Quarterly Wind River (WR) Check Reporting:</b></p> <p><b>Purpose:</b> To report all the 0000-4844 checks issued for the Wind River Per Capita payment for a three month period.</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related Series: None</li> <li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)</li> </ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"> <li>• Daily Disbursement Reports for Wind River</li> </ul> <p>Office of Trust Reporting and Reconciliation is identified as the office of record.</p> | <p>Chronological</p> | <p><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                                        | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Filing Instructions  | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
|-----------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>4821-P</b><br/>New Series Reporting</p> | <p><b>Current Overdraft Monitoring Report:</b></p> <p><b>Purpose:</b> To monitor and report the number of days and amount the Individual Indian Monies accounts are in overdraft status.</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related series: None</li> <li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)</li> </ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"> <li>• Overdraft Individual Indian Monies (IIM) End of Month Report</li> <li>• Monthly Overdraft Report</li> </ul> <p>Office of Trust Reporting and Reconciliation is identified as the office of record.</p> | <p>Chronological</p> | <p><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

**Office of the Special Trustee for American Indians – Record Schedules**

| Series                                | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                                  |
|---------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>4822-P</b><br>New Series Reporting | <p><b>Taxable Earnings Report:</b></p> <p><b>Purpose:</b> To report taxable income to the Individual Indian Monies (IIM) account holders, to determine the applicability of New Mexico Gross Receipts Tax to Vendors and to report all taxable income to the Internal Revenue Services (IRS) as required by Internal Revenue Code 6049(a)(1), 6050N(a)(1), 6041(a) and other code sections.</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related Series: None</li> <li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)</li> </ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"> <li>• Returned IRS Form 1099-INT</li> <li>• Hard copy printouts from 1996 through 1999 that summarizes the interest for those IIM accounts that received a Form 1099-INT</li> <li>• Hard copy of duplicate forms provided to accountholders</li> <li>• Hard copy of all corrected Form 1099's and the corresponding Form 1096</li> <li>• Correspondence from IRS, accountholders and various officials</li> <li>• IRS Form 4804 - Transmittal for IRS reporting for magnetic media</li> <li>• 1998-2002, Internal Revenue Service penalty notice and settlement documents pertaining to Joseph Clark</li> <li>• Internal Revenue Service penalty notices and responses for 1998 – 2001</li> </ul> | Chronological       | <p><b>PERMANENT:</b> Cut off files at the end of the taxable calendar year. Maintain in office ten years after cut off and then retire to records center.</p> <p>Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

*Office of the Special Trustee for American Indians – Record Schedules*

| <b>Series</b>    | <b>Content:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4822-P<br>con't. | <ul style="list-style-type: none"><li>• Internal Revenue Service magnetic media to support penalty notices</li><li>• Hard copy of the annual IIM factor calculation used to compute 1099 interest amounts 1998-2002</li><li>• Osage Lake Funds summary records for life estates</li><li>• Osage Quarterly Reports for the Osage tribal mineral trust</li><li>• Mescal Settlement documents and research</li><li>• New Mexico gross receipts tax review binder with invoice copies from the period 4/25/99 through 4/7/03</li><li>• Tax test account data reports</li></ul> |

Office of Trust Reporting and Reconciliation is identified as the office of record.

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                            | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                   |
|-----------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4823-P<br>New Series<br>Reporting | <p><b>Tax Issue Reporting:</b></p> <p><b>Purpose:</b> To prepare, report and document tax related issues and research activities.</p> <p>NOTE:</p> <ol style="list-style-type: none"><li>1. Related Series: None</li><li>2. Related Electronic Systems: None</li></ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"><li>• Internal Revenue Codes</li><li>• United States Supreme Court cases</li><li>• Treaties and/or other agreements</li><li>• Land Claims Settlements</li><li>• Judgment Awards</li><li>• Beneficiary correspondence</li></ul> <p>Office of Trust Reporting and Reconciliation is identified as the office of record.</p> | Chronological       | <p><b>PERMANENT:</b> Cut off files at the end of the calendar year. Maintain in office ten years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                                        | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                          |
|-----------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>4824-P</b><br>New Series<br>Reconciliation | <b>Interest Factor Reconciliation File:</b><br><b>Purpose:</b> To reconcile the interest earned and interest distributed on a monthly basis and to ensure that all the monthly earnings and distributions were included in the interest factor.<br><br>NOTE:<br>1. Related Series: None<br>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Daily Accounts Distribution System (DADS), Integrated Records Management System (IRMS) and other Bureau of Indian Affairs Real Property Systems.<br><br>Records are subject to the Privacy Act 5 USC 552a.<br><br><b>Content:</b> <ul style="list-style-type: none"><li>• Monthly Interest Reconciliation report</li><li>• Interest Factor Adjustment report</li><li>• One Number Reconciliation report</li><li>• Prior month Individual Indian Monies (IIM) Interest Factor</li><li>• Monthly Overdraft</li></ul> | Chronological       | <b>PERMANENT.</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States. |

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**Content:**

4824-P  
con't.

- Close Accounts Processing System/ Partial Account Distribution System (CAPS/PADS) monthly interest distribution worksheet
- Lease monthly interest distribution worksheet
- Journal of Transactions – IM6039716
- Daily Individual Indian Monies (IIM) Subsidiary to Individual Indian Monies (IIM) Pool Reconciliation.

Office of Trust Reporting and Reconciliation is identified as the office of record.

**Office of the Special Trustee for American Indians – Record Schedules**

| Series                                        | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
|-----------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>4825-P</b><br>New Series<br>Reconciliation | <p><b>Daily Cash Reconciliation File:</b></p> <p><b>Purpose:</b> Identifies discrepancies and/or reconciled items to responsible offices for proper disposition. The report lists the deposit in transit, disbursement in transit, and any increases/decreases to the end of day balances on Trust Fund Accounting System (TFAS).</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related Series: None</li> <li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government Online Accounting Link System (GOALS II).</li> </ol> | Chronological       | <p><b>PERMANENT.</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |
|                                               | <p>Records are subject to the Privacy Act 5 USC 552a.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                     |                                                                                                                                                                                                                                                                                                                                          |
|                                               | <p><b>Content:</b></p> <ul style="list-style-type: none"> <li>• Daily transaction report</li> <li>• Batch Status Report</li> <li>• JM462en0.001 - End of Day report</li> <li>• Previous day Daily Cash Reconciliation Report</li> <li>• I2P Individual Indian Monies (IIM) Sub to Individual Indian Monies (IIM) Pool Reconciliation report</li> <li>• Classification of Daily Disbursement Report (CDD-TFAS)</li> </ul>                                                                                                                                                                                                         |                     |                                                                                                                                                                                                                                                                                                                                          |

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**Content:**

4825-P  
con't.

- Overnighter worksheet with detailed supporting information
- Daily Cash Reconciliation report

Office of Trust Reporting and Reconciliation is identified as the office of record.

**Office of the Special Trustee for American Indians – Record Schedules**

| Series                                        | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
|-----------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>4826-P</b><br>New Series<br>Reconciliation | <p><b>Daily Cash Statement File:</b></p> <p><b>Purpose:</b> To identify, list and report all daily treasury transactions processed through the Financial Management Services systems and the Trust Funds Accounting System (TFAS), as well as any hardcopy documentation.</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related Series: None</li> <li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government Online Accounting Link System (GOALS II).</li> </ol> | Chronological       | <p><b>PERMANENT.</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |
|                                               | <p>Records are subject to the Privacy Act 5 USC 552a.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                     |                                                                                                                                                                                                                                                                                                                                          |
|                                               | <p><b>Content:</b></p> <ul style="list-style-type: none"> <li>• Daily CASHLINK Report – Deposit Ticket (SF-215) and Debit Voucher (SF-5515)</li> <li>• Electronic Funds Transfer (EFT) Transfers</li> <li>• Minerals Revenue Management report</li> <li>• Treasury SF-1081 (Voucher and Schedule of Withdrawals and Credits)</li> <li>• SF-1166 (Voucher and Schedule of Payments) reports</li> <li>• SF-1098 (Scheduled of Canceled or Undelivered Checks)</li> </ul>                                                                                                   |                     |                                                                                                                                                                                                                                                                                                                                          |

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**Content:**

4826-P  
con't.

- Government On-Line Account Link System (GOALS II) Transaction Report per Agency Location Codes (ALC)
- Intra-Governmental Payment and Collection (IPAC) Transaction Reports per Agency Location Codes
- Preliminary and Final – Daily Indian Service Special Disbursing Agent (ISSDA) Disbursements Reports

Office of Trust Reporting and Reconciliation is identified as the office of record.

***Office of the Special Trustee for American Indians – Record Schedules***

| Series                                        | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
|-----------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>4827-P</b><br>New Series<br>Reconciliation | <p><b>Trust Fund Accounting System (TFAS) and Individual Indian Monies (IIM) Daily Reconciliation File:</b></p> <p><b>Purpose:</b> To reconcile the Daily Individual Indian Monies (IIM) Subsidiary to Individual Indian Monies (IIM) Pool to the Trust Fund Accounting System (TFAS) Journal of Transactions IM6039716.</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related Series: None</li> <li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS).</li> </ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> | Chronological       | <p><b>PERMANENT.</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**Content:**

4827-P  
con't.

This file consists of the follow two major reports and other records used and maintained to prepare these reports:

1. Daily Individual Indian Monies (IIM) Subsidiary to Individual Indian Monies (IIM) Pool Reconciliation report which balances the Individual Indian Monies (IIM) sub activity that is uploaded to the (Individual Indian Monies) IIM pool. It ensures the Individual Indian Monies (IIM) pool is properly reflected for overnight investment purposes and that discrepancies are noted for proper disposition.
  2. Trust Fund Accounting System (TFAS) Journal of Transactions IM6039716 is an internal journal compiled on a daily basis for the Individual Indian Monies (IIM) Pool (IM6039716) account. The journal is to assist in the Undisbursed Appropriations Account Ledger (TFS-6653) month-end reconciliation and the "One Number" compilation activity.
- Daily Individual Indian Monies (IIM) Subsidiary to Individual Indian Monies (IIM) Pool Reconciliation worksheet
  - JM428i2P.001 Individual Indian Monies (IIM) to Pool Fund
  - JM428i2P.002 Individual Indian Monies (IIM) to Pool Fund
  - JM460bli.001 Post set batch blotter
  - JM463mn0.001 Daily mini ledger (IM6039716)
  - JM463en0.001 End of Day
  - Batch Status Report

Office of Trust Reporting and Reconciliation is identified as the office of record.

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                                      | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
|---------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>4828-P</b><br>New Item<br>Reconciliation | <p><b>Daily Retroactive Investment Report File:</b></p> <p><b>Purpose:</b> To report receipts over \$50,000.00 posted to the Trust Funds Accounting Systems (TFAS) after the A.M. sweep for retroactive investment purposes.</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related Series: None</li> <li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government Online Accounting Link System (GOALS II).</li> </ol> | Chronological       | <p><b>PERMANENT.</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |
|                                             | <p>Records are subject to the Privacy Act 5 USC 552a.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                     |                                                                                                                                                                                                                                                                                                                                          |
|                                             | <p><b>Content:</b></p> <ul style="list-style-type: none"> <li>• Daily CASHLINK (Electronic Funds Transfers) Report</li> <li>• Cash Batch Control Log</li> <li>• Close Accounts Processing System and Partial Account Distribution System (Caps/Pads) Batch Control Log</li> <li>• Tribal and Individual Indian Monies (IIM) Pool Cash/Units Batch Control Log</li> <li>• Customer Stratus Station (CSS) Cash Batch Control Log</li> </ul>                                                                                   |                     |                                                                                                                                                                                                                                                                                                                                          |
|                                             | <p>Office of Trust Reporting and Reconciliation is identified as the office of record.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                  |                     |                                                                                                                                                                                                                                                                                                                                          |

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                               | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                          |
|--------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4829-P<br>New Item<br>Reconciliation | <b>Control ID 462/463 Reconciliation Report File:</b><br><b>Purpose:</b> The Control ID 462/463 reconciliation report identifies discrepancies as it relates to system generated blotter totals, to the total Control ID 460 and reconciles it to the totals of the batch control logs which are used for internal purposes.<br><br>NOTE:<br>1. Related Series: None<br>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)<br><br>Records are subject to the Privacy Act 5 USC 552a.<br><br><b>Content:</b> <ul style="list-style-type: none"><li>• Cash Reconciliation Ledger report</li><li>• JM428SM1 (jm428sm1.001)</li><li>• JM428SM2 (jm428sm2.001)</li><li>• JM428GNM (jm428gnm.002)</li><li>• JM428BSO (jm428bs0.001)</li><li>• JM428LEA, ID428</li><li>• JM460POO (jm460po0.001)</li><li>• JM462PYO (jm462py0.462)</li></ul> | Chronological       | <b>PERMANENT.</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States. |

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**Content:**

4829-P  
con't.

- JM428CCO (jm428cc0.001)
- JM428CCO (jm428cc0.003)
- JM428CCO (jm428cc0.004)
- JM428DEP (jm428dep.001)
- JM428CPT (jm428cpt.001)
- Monthly Interest Program (jm428int.000)
- Oil/Gas Interface Report (jm428oil.001)
- Range Interface Report (jm428rng.001)
- Lease Interface Report (jm428lea.001)
- Per Capita Interface Program (jm428cap.001)
- Osage Interface Report (JM428osg.003)
- Payouts - check requests & direct deposit requests for Individual Indian Monies (IIM) (jm463py0.463)
- JM428SM0 (jm428sm0.001)
- JM428I2P (jmi2p.002)
- End of Day Blotter (jm460en0.001)
- End of Day Blotter (jm462en0.001)
- End of Day Blotter (jm463en0.001)
- Batch Status Report
- Grand Total of ID462/ID463
- Reconciliation Report

Office of Trust Reporting and Reconciliation is identified as the office of record.

**Office of the Special Trustee for American Indians – Record Schedules**

| Series                                        | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                        |
|-----------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>4830-P</b><br>New Series<br>Reconciliation | <p><b>I2P (Individual Indian Monies (IIM) Subsidiary to Individual Indian Monies (IIM) Pool) Journalizing:</b></p> <p><b>Purpose:</b> This is an internal journal used to detail the daily I2P transactions which are uploaded nightly, to the Individual Indian Monies (IIM) Pool (IM6039716) account. The journal is to assist in the reconciliation of Undisbursed Appropriations Account Ledger (TFS-6653) month-end reclassification discrepancies, which may exist in Treasury Accounts.</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related Series: None</li> <li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS).</li> </ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"> <li>• Trust Fund Accounting System (TFAS) Transactions by document and batch</li> <li>• I2P JOURNAL (Individual Indian Monies (IIM) Subsidiary to Individual Indian Monies (IIM) Pool Reconciliation).</li> </ul> | Chronological       | <p><b>PERMANENT.</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center.</p> <p>Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

Office of Trust Reporting and Reconciliation is identified as the office of record.

***Office of the Special Trustee for American Indians – Record Schedules***

| Series                                      | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                          |
|---------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>4831-P</b><br>New Item<br>Reconciliation | <b>Minerals Management Service (MMS) Reconciliation Report File:</b><br><b>Purpose:</b> This is an internal journal used to detail the daily IMMS0712 account of transactions. This journal is to assist in the Undisbursed Appropriation Account Ledger (TFS-6653) month-end reclassification discrepancies, which may exist in Treasury Accounts by Symbol.<br><br>NOTE:<br>1. Related Series: None<br>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government Online Accounting Link System (GOALS II). | Chronological       | <b>PERMANENT.</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States. |
|                                             | Records are subject to the Privacy Act 5 USC 552a.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                     |                                                                                                                                                                                                                                                                                                                                   |
|                                             | <b>Content:</b> <ul style="list-style-type: none"> <li>• Minerals Management Service (MMS) Voucher and Schedule of Withdrawals and Credits (SF-1081) Log</li> <li>• Deputy Disbursing Agent (DDA) Statement – first day of month</li> <li>• Monthly DDA Statement – 14X6039, 14X6803</li> </ul>                                                                                                                                                                                                                                                                                                     |                     |                                                                                                                                                                                                                                                                                                                                   |
|                                             | Office of Trust Reporting and Reconciliation is identified as the office of record.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                     |                                                                                                                                                                                                                                                                                                                                   |

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                                 | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                                               |
|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4832-P<br>New Series<br>Reconciliation | <p data-bbox="304 306 1220 337"><b>SF 6653/6654 Reconciliation Reports and Analysis Worksheet File:</b></p> <p data-bbox="304 383 1270 524"><b>Purpose:</b> To reconcile month-end treasury account symbol balances with the Trust Funds Accounting System balances and to identify, verify and report timing or reconciling item discrepancies to responsible offices for proper disposition.</p> <p data-bbox="304 566 401 594">NOTE:</p> <ol data-bbox="304 602 1270 743" style="list-style-type: none"><li data-bbox="304 602 888 630">1. Related Series: 2516-T3F and 2522a-T3F</li><li data-bbox="304 638 1270 743">2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government Online Accounting Link System (GOALS II).</li></ol> <p data-bbox="304 789 968 820">Records are subject to the Privacy Act 5 USC 552a.</p> | Chronological       | <p data-bbox="1675 306 2007 820"><b>PERMANENT.</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**Content:**

4832-P  
con't.

- (1) Prior Months Macro File Worksheet
  - IM500 (IM6039716 Journal)
  - I2P Journal (Individual Indian Monies, IIM, Subsidiary to Individual Indian Monies (IIM) Pool Reconciliation)
  - Daily Cash Statement
  
- (2) SF6653/6654 Reconciliation (Undisbursed Appropriations Account Ledger/Trial Balance).
  - Previous month's SF-6653/6654 month end worksheet
  - Respective month's ending Daily Cash Reconciliation report
  - Monthly Cash Statement Compilation report
  - Minerals Management Service Reconciliation worksheet
  - Miscellaneous Treasury Receipts Clearing Account (OT3220) Reconciliation
  - SF-6653/6654 Analysis Report
  - SF-224 Statement of Transactions
  - SF-224 Detail Reports
  - SF-1219/1220 Statement of Disbursements
  - SF-1219/1220 Detail Reports
  - Respective month end Minerals Management Service Fax Report
  - Account Balance by Treasury Account Symbol (TAS) Book vs. Fed Cost Report

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**Content:**

4832-P  
con't.

- (3) SF6653 Analysis (Undisbursed Appropriations Account Ledger).
  - Daily Cash Statement report for the last day of the month
  - Daily Cash Reconciliation report for the last day of the month
  - Monthly Daily Cash Statement report
  - Miscellaneous Treasury Receipts Clearing Account (OT3220) Reconciliation
  - Previous month's SF-6653/6654 Analysis Report
  - Previous month's SF-6653/6654 (Undisbursed Appropriations Account Ledger/Trial Balance)
  - Minerals Management Service Fax by TAS report
  
- (4) Monthly Cash Statement Classification Comparison to the SF-224, SF-1219/1220 Activity
  - Daily Cash Statement reports
  - SF-224 Statement of Transactions
  - SF-224 Detail Reports
  - SF-1219/1220 Statement of Differences
  - SF-1219/1220 Detail Reports
  - SF-6653 Undisbursed Appropriations Account Ledger
  
- (5) Monthly Cash Statement Classification.
  - Prior Month's Cash Statement Activity

Office of Trust Reporting and Reconciliation is identified as the office of record.

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                                 | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                          |
|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4833-P<br>New Series<br>Reconciliation | <b>Month End Unit Reconciliation:</b><br><b>Purpose:</b> This report is a compilation of total units per the Custodian, Bureau of Public Debt (Securities held at Treasury and overnighter) and Performance Bond activity. The report identifies and notes discrepancies with regards to custodial units' balances as compared to Trust Fund Accounting System (TFAS) balances.<br><br>NOTE:<br>1. Related Series: None<br>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS).<br><br>Records are subject to the Privacy Act 5 USC 552a.<br><br><b>Content:</b> <ul style="list-style-type: none"><li>• All Trust Assets Report</li><li>• Reconciliation of Daily Balances</li><li>• Schedule of Treasury Securities held at Treasury</li><li>• Statement of Accounts</li><li>• Report of Custodian Positions Out of Balance</li><li>• Report of Position Not Held at Custodian</li><li>• Position Reconciliation worksheet</li></ul> | Chronological       | <b>PERMANENT.</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States. |

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**Series**

**Content:**

4833-P  
con't.

- Report of Custodian Positions in Balance
- Report of Custodian Positions Not Held on TFAS
- End of Day Bank Reconciliation
- Performance Bond-Cash Comparison
- Custodial Statement of Securities

Office of Trust Reporting and Reconciliation is identified as the office of record.

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                                                 | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Filing Instructions  | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
|--------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>4834-P</b><br/>New Series<br/>Reconciliation</p> | <p><b>One Number Reconciliation:</b><br/><b>Purpose:</b> Reconciles the activity in the Individual Indian Monies (IIM) control account and all tribal accounts with Treasury balances.</p> <p>NOTE:<br/>1. Related Series: None<br/>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government Online Accounting Link System (GOALS II).</p> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"> <li>• Individual Indian Monies (IIM) Systems Balance Analysis Reports</li> <li>• Tribal Systems Balance Analysis Reports</li> <li>• IM6039716</li> <li>• Earnings Accrual for the respective month ending</li> <li>• Schedule of Accounts Receivable</li> <li>• One Number worksheet from Monthly Interest Factor Adjustment Reconciliation</li> <li>• Interest Overdraft Balance and Change worksheet from Monthly Interest Factor Adjustment Reconciliation</li> </ul> | <p>Chronological</p> | <p><b>PERMANENT.</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**Content:**

4834-P  
con't.

- I2P Balancing (Individual Indian Monies (IIM) Sub to Individual Indian Monies, IIM, Pool Reconciliation)
- Journal of Transactions IM6039716
- Monthly SF-6653/6654 balances to TFAS Cash balances for the respective month
- Trust Asset Report IIM ONLY (Book Value Amounts) for the respective month
- Trust Asset Report TRIBAL ONLY by Treasury Account Symbol (TAS) for the respective month
- Account Balance by Treasury Account Symbol (TAS) Book vs. Fed Cost Report for the respective month

Office of Trust Reporting and Reconciliation is identified as the office of record.

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                                 | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4835-P<br>New Series<br>Reconciliation | <p><b>Daily Interest Reconciliation:</b></p> <p><b>Purpose:</b> This report records the daily activity of the Individual Indian Monies (IIM) interest suspense accounts and reconciles the interest distributed and funded. It is also used to report discrepancies to the Branch of Accounting Services for proper disposition.</p> <p>NOTE:</p> <ol style="list-style-type: none"><li>1. Related Series: None</li><li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government Online Accounting Link System (GOALS II).</li></ol> | Chronological       | <p><b>PERMANENT.</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |
|                                        | <p>Records are subject to the Privacy Act 5 USC 552a.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                     |                                                                                                                                                                                                                                                                                                                                          |
|                                        | <p><b>Content:</b></p> <ul style="list-style-type: none"><li>• Trust Fund Accounting System Transaction Register (TFAS – TR)</li><li>• IIMPOOLINT Daily Transaction Report.</li></ul>                                                                                                                                                                                                                                                                                                                                                                                                                                        |                     |                                                                                                                                                                                                                                                                                                                                          |
|                                        | <p>Office of Trust Reporting and Reconciliation is identified as the office of record.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                     |                                                                                                                                                                                                                                                                                                                                          |

**Office of the Special Trustee for American Indians – Record Schedules**

| Series                                        | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                          | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                          |
|-----------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>4836-P</b><br>New Series<br>Reconciliation | <b>Monthly Daily Disbursement Report (VT) Reconciliation File:</b><br><br><b>Purpose:</b> This report reconciles the interest earned and ensures interest factor includes all earnings and distributions.                                                                                                                                                                                 | Chronological       | <b>PERMANENT.</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States. |
|                                               | NOTE:<br>1. Related Series: None<br>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government Online Accounting Link System (GOALS II).                                                                                                                                                            |                     |                                                                                                                                                                                                                                                                                                                                   |
|                                               | Records are subject to the Privacy Act 5 USC 552a.                                                                                                                                                                                                                                                                                                                                        |                     |                                                                                                                                                                                                                                                                                                                                   |
|                                               | <b>Content:</b> <ul style="list-style-type: none"> <li>• Financial Management Service (FMS) 1219-Statement of Accountability</li> <li>• Daily Indian Service Special Disbursing Agent (ISSDA) Disbursement Report</li> <li>• VT (Check Register) reconciliation report with supporting worksheets</li> <li>• Monthly Cash Statement with VT information for the previous month</li> </ul> |                     |                                                                                                                                                                                                                                                                                                                                   |
|                                               | Office of Trust Reporting and Reconciliation is identified as the office of record.                                                                                                                                                                                                                                                                                                       |                     |                                                                                                                                                                                                                                                                                                                                   |

***Office of the Special Trustee for American Indians – Record Schedules***

| Series                                        | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
|-----------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>4837-P</b><br>New Series<br>Reconciliation | <p><b>Reconciliation List and Fax Confirmations:</b></p> <p><b>Purpose:</b> To report outstanding receipts and disbursements for the respective day. The outstanding items are printed out for the individual regions. These items are receipts and disbursements that still need to be posted to the Trust Fund Accounting System (TFAS) or they are in transit with Treasury.</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related Series: None</li> <li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS), Intra-Governmental Payment and Collection (IPAC), CASHLINK, and Government Online Accounting Link System (GOALS II).</li> </ol> | Chronological       | <p><b>PERMANENT.</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |
|                                               | <p>Records are subject to the Privacy Act 5 USC 552a.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                     |                                                                                                                                                                                                                                                                                                                                          |
|                                               | <p><b>Content:</b> The records used to prepare the report are hard copies of the confirmations received from the fax machine for each region.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                     |                                                                                                                                                                                                                                                                                                                                          |
|                                               | <p>Office of Trust Reporting and Reconciliation is identified as the office of record.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                     |                                                                                                                                                                                                                                                                                                                                          |

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                      | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                      |
|-----------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4838-P<br>New Series<br>OST | <p><b>Quarterly Internal Review Reports:</b></p> <p><b>Purpose:</b> Each office within the Office of the Special Trustee for American Indians monitors corrective actions for internal and external trust activities.</p> <p>NOTE:</p> <ol style="list-style-type: none"><li>1. Related series: None</li><li>2. Related Electronic Systems: Trust Funds Accounting System (TFAS)</li></ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"><li>• Quarterly In-House Summarized Management Control reports that summarize management control deficiencies as identified via Federal Manager’s Financial Integrity Act (FMFIA) evaluations</li><li>• Quarterly Annual Audit Reports that consist of compliance, audits and issues that have to do with operational processes</li></ul> | Chronological       | <b>PERMANENT:</b> Cut off files at end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States. |

Each office is identified as the office of record.

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                           | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Filing Instructions      | Disposition Instructions                                                                                                                                                                                                                                                                                                             |
|----------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4839-P<br>New Series<br>Interest | <p><b>Individual Indian Monies (IIM) Pool Earnings:</b></p> <p><b>Purpose:</b> The Office of Trust Funds Management distributes Individual Indian Monies (IIM) Pool earnings; calculate the adjustments to Individual Indian Monies (IIM) Pool Earnings and the average daily balance as well as calculating the Individual Indian Monies (IIM) monthly interest factor.</p> <p>Office of Trust Funds Management uses the factor to distribute the earnings to the IIM Accounts. The Branch of Accounting Services sends interest factor information to the Office of Information Technology Services which generates the interest factor interface file; and initiates a program to post to IIM accounts.</p> <p>NOTE:</p> <ol style="list-style-type: none"><li>1. Related series: None</li><li>2. Related Electronic Systems: Trust Funds Account System (TFAS) and Integrated Records Management System (IRMS).</li></ol> | Numerical by coupon rate | <p><b>PERMANENT:</b> Cut off files at end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**Content:**

4839-P  
con't.

- Individual Indian Monies (IIM) Schedule of Accounts Receivable: This is a continuous on-line 12 month schedule (Excel spreadsheet) that shows accounts receivable on an accrual basis on securities held at month end
- Earned Income: The report reflects interest earned for each security for the month
- Earned Amortization/Accretion: This report reflects calculated amortization and accretion for each security for the month
- Trust Funds Accounting System (TFAS) Journal of Transaction IM-6039-716: This is an on-line cash basis worksheet and shows all interest received, securities bought and sold and the related gains/losses. It is used to convert from cash basis to accrual, to determine the accrued gain/loss, to reconcile earnings, and to assure income is accurately calculated
- Transaction Printout of Pool Account IM-6039-716: Shows interest earnings on government overnighters
- Individual Indian Monies (IIM) Account (IM-6039-716) Earnings Accrual for the Month: Worksheet used to calculate the Individual Indian Monies (IIM) Pool Earnings to be distributed for the Month and in the Individual Indian Monies (IIM) Monthly Factor Worksheet
- Cash Flow: Verify if the calculated earnings are correct. The Change in Cash on this report must equal the calculated amount on Earnings to Distribute for the Month
- Sale Journal: This report reflects the securities sold for the month. The report is used to determine the gains/losses realized for the month. Gains/losses are not realized every month

## *Office of the Special Trustee for American Indians – Record Schedules*

### Series

### Content:

4839-P  
con't.

- Individual Indian Monies (IIM) Interest Factor Memorandum: Memorandum issued to the agencies stating the Individual Indian Monies (IIM) Monthly Interest Pool
- Individual Indian Monies (IIM) Monthly Interest Factor worksheet: Worksheet used to determine the Individual Indian Monies (IIM) Monthly Interest Factor
- Distribution of Interest worksheet: Worksheet used to determine what portion of the total Individual Indian Monies (IIM) Interest should be distributed to the various areas
- Accounts Daily Balance (ADB) – Final Totals Report: Verify the Average Daily Balance calculated manually
- Accounts with Negative Accounts Daily Balance (ADB) Report: The number of Individual Indian Monies (IIM) accounts with a negative Average Daily Balance or zero Average Daily Balance and used in calculating the Average Daily Balance
- Average Daily Balance (ADB) – After Manual/Before Final Report: Showing the Average Daily Balance amount with the Manual Adjustments taken into account but before the number of accounts with negative Average Daily Balance or zero Average Daily Balance
- Manual Adjustments Report: Verify the manual adjustments that were calculated manually
- Average Daily Balance (ADB) Adjustments Spreadsheet: Obtain the total manual adjustments
- Average Daily Balance (ABD) – After 815 Adjustments/Before Manual Adjustments Report: Showing the Average Daily Balance after the Daily Account Distribution System (DADS) (815) Adjustments have been included but prior to the Manual Adjustments
- Idle Cash – Pre 815 Adjustment Report: Showing the Average Daily Balance as calculated by Idle Cash, prior to any adjustments

## *Office of the Special Trustee for American Indians – Record Schedules*

### **Series**

### **Content:**

4839-P  
con't.

- Idle Cash Totals Spreadsheet: Verify Daily Account Distribution System (DADS) (815) Adjustments and Manual Adjustments
- Interest Factor Adjustment Memo: Memo from Branch of Reconciliation stating how much the Interest Factor should be adjusted, due to funding and rounding, and how it should be adjusted
- Balance Sheet Current Adjustments Report: Report used by the Branch of Reconciliation to determine the Interest Factor Adjustment
- Rounding Difference Report: Report from the Chief Information Officers Office containing the Rounding Difference amount
- Daily Account Distribution System (DADS) Log Tables: Totals from the Daily Account Distribution System (DADS) Log at the end of the month and maintains the daily and total to adjust the Earnings Accrual amount on the Individual Indian Monies (IIM) Monthly Interest Factor Worksheet
- Lease Interest Report: Maintains daily and total used to adjust the Earnings Accrual amount on the Individual Indian Monies (IIM) Monthly Interest Factor Worksheet
- Daily Account Distribution System (DADS) (815 Adjustment Report): Used during the month end process to verify that accounts have not been overdrawn
- 815 Adjustments Detail - Final Master Report: Lists each transaction for each Individual Indian Monies (IIM) account and used in calculating the Average Daily Balance
- 815 Adjustment Summary – Final Master Report: Lists each Individual Indian Monies (IIM) account and gives a total of the transaction amount in calculating the Average Daily Balance
- 815 Adjustment Summary – Deposit Master A17 Report
- 815 Adjustment Detail - Deposit Master A17 Report

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- 815 Adjustment Summary – Deposit Master: Shows the total amount of interest posted and is used in calculating the Average Daily Balance
- 815 Adjustment Detail – Deposit Master: This report lists the accounts that earned interest calculated automatically and posted to the Individual Indian Monies (IIM) account, which shows each interest posting transaction and is used in calculating the Average Daily Balance
- Manual Adjustment example of a dual account: Calculate the Average Daily Balance from Trust Funds Accounting System (TFAS) for Individual Indian Monies (IIM) account holder that had two Individual Indian Monies (IIM) accounts but one is now being closed
- Manual Adjustment example of an overdraft account: Calculate the Average Daily Balance from Trust Funds Accounting System (TFAS) when an Individual Indian Monies (IIM) account is overdrawn
- Manual Adjustment example of an account with a returned check: Calculate the Average Daily Balance from Trust Funds Accounting System (TFAS) when an Individual Indian Monies (IIM) account is closed and the ending balance is disbursed but the check is returned
- Daily Account Distribution System (DADS) Full With Close Log: Used in determining the Daily Account Distribution System (DADS) Log Totals
- Partial Account Distribution System (PADS) Log: Used in determining the Daily Account Distribution System (DADS) Log Totals as well as verifying the interest funded amount in the Daily Account Distribution System (DADS) Adjustment process
- Daily Account Distribution System (DADS) (FULL) Cash Blotter page: Used in the Daily Account Distribution System (DADS) Log process
- Daily Account Distribution System (DADS) (Partial) Cash Blotter page: Used in the DADS process

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### **Content:**

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- Journal Voucher: Office Trust Funds Management (OTFM) document used to transfer money from one Individual Indian Monies (IIM) account to another. This document is used as a source document to support a Daily Account Distribution System (DADS) (Full) and Partial Account Distribution System (PADS) transaction during the Daily Account Distribution System (DADS) Log, and to calculate manual interest from Management Accounting and Distribution System (MADDS) for the Lease Log processes
- Trust Funds Accounting System (TFAS) Transaction report supporting the Daily Account Distribution System (DADS) transaction: Showing money posted through a Daily Account Distribution System (DADS) transaction and is used during the Daily Account Distribution System (DADS) Log process
- Fax Cover Sheet for DADS transaction: Obtained during the DADS Log process
- Fax Cover Sheet for DADS to Close Account transaction: Obtained during the DADS Log process
- Work tickets: Used as a source document during the DADS Log and DADS Adjustment process.
- D-3 Check or Direct Deposit Request: Used as a source document during the DADS Log process
- PADS Log Spreadsheet: Used during the DADS Log process to verify that an account has not been overdrawn due to a PADS transaction
- Bin Log: Log that is used during the DADS Log process to document other types of partial distributions
- Balance Sheet Current Adjustments for prior month: Used by the Branch of Reconciliation in determining the Cumulative Adjustment amount

## *Office of the Special Trustee for American Indians – Record Schedules*

### Series

### Content:

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con't.

- One Number Balance Sheet: Used by the Branch of Reconciliation in verifying the Cumulative Adjustment amount
- A17 Duplicates Report: Report that shows where distribution transactions occurred more than once from an account.
- Deposit Master Table: Table is used daily in the DADS Adjustments process and to assist in determining the month end totals
- Bureau Indian Affairs (BIA) Form 4285 – Intra-Bureau Cash Transaction Authorization (BB encoding prefix) Transfer: Created during the Lease Interest process to transfer funds and verified during DADS Adjustment process
- Deposit Master Worksheet: Verify that all of the Partial Account Distribution System (PADS) to Close, Partial Account Distribution System (PADS), and Closed transactions add up to the amount being transferred in the “BB”
- Add Transactions to the Deposit Master Worksheet Spreadsheet: Used during the DADS Adjustment process to maintain a monthly log of all manual interest calculation postings are added to the DADS (815) Adjustment Report
- Lease Interest Log: Keep a daily account of the Lease Interest posted to Individual Indian Monies (IIM) accounts
- Lease Interest Worksheet: Verify deposit amounts, deposit dates and to verify account balances
- Lease Interest Distribution Voucher: A system generated report used as a source document during the Lease Interest Adjustment process. Amounts from this report are entered into the Lease Interest Log
- Lease Reversals Report: Summarizing transactions that were reversed on the Lease Log

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**Content:**

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con't.

- Lease Report Partial Account Distribution System (PAD) CONCAT: Report generated from IRMS containing the lease interest posted
- One Number Balance Sheet Check Worksheet: Used by the Bureau of Reconciliation to check against the One Number Balance Sheet
- Deposit Master A-17 Access Table: Lease Interest posted in Trust Funds Accounting System (TFAS)

The Office of Trust Funds Management is identified as the office of record.

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                           | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Filing Instructions                         | Disposition Instructions                                                                                                                                                                                                                                                                                                      |
|----------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4840-P<br>New Series<br>Interest | <p><b>One Day Overnight Security Investment:</b></p> <p><b>Purpose:</b> Individual Indian Money (IIM) and Tribal funds are consolidated and “swept” twice daily by a program that takes all available un-invested cash and invests it in a Treasury “overnighter”, which results in a one day investment.</p> <p>There are two daily sweeps of invested cash. The amounts available are faxed to Treasury for investment. Treasury provides a daily overnight interest rate that is entered in Trust Funds Accounting System (TFAS) to calculate and distribute daily earnings. Office of the Special Trustee for American Indians performs a manual verification of the interest and distribution.</p> <p>Treasury transfers principal and interest back to Office of the Special Trustee for American Indians via Form SF-1081 stating how much money was transferred. Trust Funds Accounting System (TFAS) automatically calculates interest per participating account and accrues for invested funds.</p> | File chronological by fiscal year and month | <b>PERMANENT:</b> Cut off files at end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States. |
|                                  | <p>NOTE:</p> <ol style="list-style-type: none"><li>1. Related series: None</li><li>2. Related Electronic Systems: Trust Funds Accounting System (TFAS), Polaris, and Bloomberg.</li></ol>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                             |                                                                                                                                                                                                                                                                                                                               |
|                                  | <p>Records are subject to the Privacy Act 5 USC 552a.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                             |                                                                                                                                                                                                                                                                                                                               |

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**Content:**

4840-P  
con't.

- Cover Letter
- Investment Confirmation Letter
- Overnight Amount Calculation Worksheet
- Computer Controlled Cash Management Reports
- Current Day's Control Log
- Summary of Interest Report
- Interest Earnings month to date worksheet
- Overnight Rate Calculation worksheet
- Batch Status Report
- Daily Reconciliation AM worksheet
- Today's Settlement Report from SMAC
- Report of Income Posted
- Individual Indian Monies (IIM) Transaction Recap Report
- Previous Day's PM Control Long
- Report of all scheduled payments
- Uninvested Cash Report
- Full Call Posting Journal, if applicable
- GNMA Live Report, if applicable
- FHLMC Live Report, if applicable
- FNMA Live Report, if applicable

The Office of Trust Funds Management is identified as the office of record.

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                           | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                      |
|----------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4841-P<br>New Series<br>Interest | <p data-bbox="308 304 674 331"><b>Overnight Interest Factor:</b></p> <p data-bbox="308 376 1262 480"><b>Purpose:</b> The total overnight investment amount and adjustment amount are used to calculate the overnight rate and entered in the Treasury Rates Table (TRATES).</p> <p data-bbox="308 523 401 547">NOTE:</p> <ol data-bbox="308 560 1255 627" style="list-style-type: none"><li data-bbox="308 560 625 584">1. Related series: None</li><li data-bbox="308 596 1255 627">2. Related Electronic Systems: Trust Funds Accounting System (TFAS)</li></ol> <p data-bbox="308 668 968 699">Records are, subject to the Privacy Act 5 USC 552a.</p> <p data-bbox="308 743 428 767"><b>Content:</b></p> <ul data-bbox="331 818 1297 1331" style="list-style-type: none"><li data-bbox="331 818 1297 922">• <u>Overnight Amount Calculation</u>: Prepared daily to calculate the amount to be called in to the Treasury and the amount called into Treasury are also used on the Overnight Rate Calculation Worksheet.</li><li data-bbox="331 930 1297 1106">• <u>Overnight Rate Calculation Worksheet</u>: Included in the same file as the Overnight Amount Calculation, under a different worksheet tab. It is used to calculate the rate to be copied into the Treasury Rate Table (TRATES) used to calculate other interest factors within Office of the Special Trustee for American Indians.</li><li data-bbox="331 1114 1297 1177">• <u>As of Investments for EFTs and Collections</u>: Filled out when a Deposit Ticket is received to document the transaction.</li><li data-bbox="331 1185 1297 1249">• <u>Deposit Ticket</u>: Documents that a Manual Buy or Sell happened that was not recorded by the Un-invested Cash Report.</li><li data-bbox="331 1257 1297 1331">• <u>Computer Controlled Cash Management Report</u>: Lists all the Overnighter activity, there is an A.M. and a P.M. report.</li></ul> | Chronologically     | <b>PERMANENT:</b> Cut off files at end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States. |

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**Content:**

4841-P  
con't.

- Asset Balances Before/After Posting: This report is usually the second page of the Computer Controlled Cash Management Report that lists the total amount invested for each Government Overnighter.
- Tribal and Individual Indian Monies (IIM) Pool Cash/Units Batch Control Log: Used to calculate the amount to be put to the Overnight Amount Calculation Worksheet.
- Interest Earnings Month to Date
- P.M. and A.M. Un-invested Cash Report: A report that lists the Un-invested Cash for all Tribal Accounts in ID0437.

The Office of Trust Funds Management is identified as the office of record.

**Office of the Special Trustee for American Indians – Record Schedules**

| Series                                | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
|---------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>4842-P</b><br>New Series Reporting | <p><b>Standard General Ledger Compilation Report:</b></p> <p><b>Purpose:</b> To report and record all activity in accounts to a general ledger formation on a monthly and quarterly basis.</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related Series: None</li> <li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)</li> </ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"> <li>• TFAS transactions report for current month</li> <li>• Overnighter Accounts Receivable report</li> <li>• Trust Assets Report TRIBAL ONLY by Asset Class</li> <li>• Monthly Accounts Receivable report</li> <li>• Monthly Amortization Summary report</li> </ul> | Chronological       | <p><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |
|                                       | <p>Office of Trust Reporting and Reconciliation is identified as the office of record.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                     |                                                                                                                                                                                                                                                                                                                                          |

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                            | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                 |
|-----------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4843-P<br>New Series<br>Reporting | <p><b>Standard General Ledger (SGL) Report to National Business Center (NBC):</b></p> <p><b>Purpose:</b> To report quarterly the amounts by standard general ledger accounts to the National Business Center (NBC) for all on-budget accounts activity.</p> <p>NOTE:</p> <ol style="list-style-type: none"><li>1. Related Series: None</li><li>2. Related Electronic Systems: Trust Funds Accounting Systems (TFAS)</li></ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <ul style="list-style-type: none"><li>• General Ledger Summaries for 14X5265-ALL</li><li>• 14X5265 – Financial Statements</li><li>• 14X8030 – ALL</li><li>• 14X8030 – Financial Statements</li></ul> | Chronological       | <p><b>PERMANENT:</b> Cut off files at the end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

*Office of the Special Trustee for American Indians – Record Schedules*

| Series                            | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Filing Instructions | Disposition Instructions                                                                                                                                                                                                                                                                                                                                           |
|-----------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4844-P<br>New Series<br>Reporting | <p data-bbox="308 310 632 337"><b>Daily Overdraft Report</b></p> <p data-bbox="308 386 1293 521"><b>Purpose:</b> To determine new overdrafts that occurred as a result of the previous day's business. The identified overdrafts are resolved the same day if the overdrafts are not related to payment over cancellation, debit vouchers or oil and gas recoupments.</p> <p data-bbox="308 570 401 594">NOTE:</p> <ol data-bbox="308 607 1276 670" style="list-style-type: none"><li data-bbox="308 607 646 631">1. Related series: None</li><li data-bbox="308 644 1276 670">2. Related Electronic Systems: Trust Funds Accounting System (TFAS)</li></ol> <p data-bbox="308 719 968 743">Records are subject to the Privacy Act 5 USC 552a.</p> <p data-bbox="308 792 428 816"><b>Content:</b></p> <ul data-bbox="359 829 1213 935" style="list-style-type: none"><li data-bbox="359 829 1213 893">• E-mail Notifications (to Issues Team, Accountants, Branch and Division Chiefs)</li><li data-bbox="359 906 814 935">• Copy of Daily Overdraft Report</li></ul> | Chronological       | <p data-bbox="1675 310 2003 816"><b>PERMANENT:</b> Cut off files at end of the fiscal year. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.</p> |

**Office of the Special Trustee for American Indians – Record Schedules**

| Series                           | Title and Description of Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Filing Instructions                                            | Disposition Instructions                                                                                                                                                                                                                                                                                                                                 |
|----------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4851-P<br>Account<br>Maintenance | <p><b>Individual Indian Monies (IIM) Case Files:</b></p> <p><b>Purpose:</b> Accounts are established for individuals who have an interest in income producing trust assets and/or are recipients of judgment and other per capita distributions.</p> <p>NOTE:</p> <ol style="list-style-type: none"> <li>1. Related series: 4851-P5, 4853-P5 and 4857-T3F</li> <li>2. Related Electronic Systems: Trust Funds Accounting System (TFAS)</li> </ol> <p>Records are subject to the Privacy Act 5 USC 552a.</p> <p><b>Content:</b></p> <p>IIM Case Files contain records under the account establishment, maintenance and closure criteria and consist of:</p> <ol style="list-style-type: none"> <li>1. Legal documentation such as individual identification information, e.g. copy of drivers license; social security card; certificate of Indian blood; non-Indian declaration; birth, marriage and death certificates; Internal Revenue Service (IRS) Forms W-9, 1099-Interest, and 1099-MISC; heirship data, such as probate and estate orders;</li> <li>2. Account Maintenance documentation such as documentation showing account classification change orders, like returned remittances, changes of address and permanent disbursement authorizations (Form 4249);</li> </ol> | Office of Field Operations files daily in chronological order. | <b>PERMANENT:</b> Cut off files at end of the fiscal year in which account is closed. Maintain in office two years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States. |

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**Content:**

4851-P  
con't.

3. Financial Transaction documentation request for withdrawal of individual funds, copies of applications, one-time authorities for disbursement, SF-1047 (public vouchers for refunds), royalty and production statements, ACH disbursements, special deposits, interest calculation worksheets, copies of 1099 interest earnings;
4. General Information and other related correspondence: mail logs, letters to/from account holders, memos to the file, customer statements, stop payment (SF-1184) information.

The Office of Field Operations is identified as the Office of record.

## *Office of the Special Trustee for American Indians – Record Schedules*

**Series**            **System Title:** Trust Funds Accounting System (TFAS)

**4871-P**            **System Description:**

New Series  
Systems

The Trust Funds Accounting System (TFAS), with complete implementation beginning in March 2000, is used to manage investments of the individual and tribal accounts. It is used to manage the trust accounting requirements of approximately 252,000 individual Indian and 1,300 tribal accounts (number of accounts as of date February 2002). The system stores the information necessary for the Office of the Special Trustee for American Indians to fulfill its trust fiduciary responsibilities to the beneficiaries. This information includes beneficiary name and address, transaction history, investments, receipts and disbursements. TFAS receives periodic data from the Integrated Records Management System (IRMS) and other Bureau of Indian Affairs Real Property Systems, Royalty Distribution and Reporting System (RDRS), and People legacy systems to conduct the disbursement of trust monies for leases, judgment awards, and related disbursement activities.

The Trust Reform Act of 1994 further supported the management of trust assets:

The American Indian Trust Fund Management Reform Act of 1994 (Reform Act), Public Law 103-412, Oct 25, 1994, 108 Stat.4239, Section 5.i. states “Maintain a verifiable system of records that is capable, at a minimum, of identifying: (1) the location, the beneficial owners, any legal encumbrances (i.e., leases, permits, etc.), the user of the resource, the rents and monies paid, if any, and the value of trust or restricted lands and resources; (2) dates of collections, deposits, transfers, disbursements third party obligations (i.e., court ordered child support, judgments, etc.), amount of earnings, investment instruments, and closing of all trust fund accounts; (3) documents pertaining to actions taken to prevent or compensate for any diminishment of the Indian trust assets; and (4) documents that evidence the Secretary’s actions regarding the management and disposition of Indian Trust assets;”

The current system is a commercial off-the-shelf trust funds accounting system with the most recent 16 ½ months of data stored at one time. The Open Data Replication (ODR) database (a SQL Server/Microsoft product) serves as an adhoc reporting tool for selected data elements as of the previous day’s processing cycle.

## *Office of the Special Trustee for American Indians – Record Schedules*

### Series

#### a. Inputs:

4871-P  
con't.

The inputs to Trust Funds Accounting System (TFAS) include investments, schedules of collections, earnings accrual statements, overnight distributions, escrow funds, judgment awards, daily batch files, journal vouchers, routine/maintenance files, financial document transaction files, IIM posting and control records file, voucher and standard of withdrawals and credits file, public voucher for refunds, and related information.

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

#### b. Master Data Files:

The Master data files contains information on individuals including cash and account summaries which are: account number, name, and balances; date of last transactions; area trust accountant or IIM technician; management codes; date account opened in TFAS; calculated 18<sup>th</sup> birthday, if a minor; and transactions including: cash receipts, disbursements, asset income, buys, sales/maturities, capital changes, fees, ticker/CUSIP, minor asset type and check register. This data is captured in a SQL database format. It is proposed that the copy of the data for transfer can be extracted from this SQL database into a flat file for transfer to NARA.

##### b.1. History File

**Disposition: PERMANENT.** Create duplicate copy of data off-line and transfer to the National Archives upon approval of this schedule in accordance with NARA regulations currently cited in 36 CFR 1228.270, and related NARA instructions and guidance. Data restricted in accordance with Privacy Act Notice: Indian Individual Monies Trust Funds-OS-02 (previously Individual Indian Monies – Interior, BIA – 3); Indian Land Records – Interior, BIA – 4; Indian Land Leases – Interior, BIA – 5; Integrated Records Management System Interior, BIA – 25.

##### b.2. Current Data File

**Disposition: PERMANENT.** Create duplicate copy of data off-line and transfer to the National Archives at the end of each fiscal year in accordance with NARA regulations, such as those currently cited in 36 CFR 1228.270, and related NARA instructions and guidance. Data restricted in accordance with Privacy Act Notice: Indian Individual Monies Trust Funds-OS-02 (previously Individual Indian Monies – Interior, BIA – 3); Indian Land Records – Interior, BIA – 4; Indian Land Leases – Interior, BIA – 5; Integrated Records Management System Interior, BIA – 25.

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

4871-P  
con't.

**c. Outputs:**

c.1. Case file specific queries, sorts, reports, tables and related records that are created for case files, studies, inquiries, inspections, and related program files.

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

c.2. Data compilation reports (e.g., StrataVision (a Computer Output to Laser Disk (C.O.L.D.)) reports) that are not case file specific but are created daily, weekly, bi-weekly, monthly, quarterly, and annually as a result of program reporting requirements.

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

**d. Documentation:**

d.1. Documentation to be sent with History File (item b.1)

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

**Disposition: PERMANENT.** Transfer to the National Archives with system data as identified in item b.1 above.

d.2. Documentation to be sent with Current Data File (item b.2)

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

**Disposition: PERMANENT.** Transfer to the National Archives with system data as identified in item b.2 above.

***Office of the Special Trustee for American Indians – Record Schedules***

**Series** Additional Information for: **Trust Funds Accounting System (TFAS)**

4871-P  
con't.

**Users:** **Department of Interior**  
Office of the Special Trustee for American Indians  
Bureau of Indian Affairs  
Office of Hearing and Appeals  
Office of Historical Trust Accounting  
Minerals Management Service  
**Tribes**  
**Various other Federal Agencies**

**Program:** **Office of the Special Trustee for American Indians**

**Function:** **Accounting Management**

**Related Scheduled Series/Systems:**

- 4851 IIM Case Files**
- 4852 IIM Ledgers and Cards**
- 4853 IIM Posting and Control Records**
- 4854 IIM Duplicate Posting and Control Records**
- 4855 IIM Name File**
- 4856 IIM Balance Forward Files**
- 4859 IIM Deposit Ticket Files**

**Tribal Series**

**NARA Job No.:** **N1-75-89-1 for textual records**

**Related Unscheduled Series/Systems:** **IRMS, ODR and CSS**

**Location:** **Oaks, Pennsylvania - location of the mainframe/system managers**

**Points of contact:** **Chief Information Officer, Office of the Special Trustee for American Indians**

## *Office of the Special Trustee for American Indians – Record Schedules*

**Series**            **System Title: Daily Account Distribution System (DADS)**

**4872-P**            **System Description:**

New Series  
Systems

The system is an in-house developed system, implemented August 1998, and is used to electronically process distribution of funds between accounts within the Trust Funds Management System (TFAS). Information on the disbursing account is used to adjust the account's average daily balance for interest calculation purposes. The data spans from August 1998 to the present. The system resides only in Albuquerque, NM and is used only by Trust Funds Management, Albuquerque, NM.

The system stores the information in MS Access format and is necessary for the Office of the Special Trustee (OST) to fulfill its trust fiduciary responsibilities to the beneficiaries. The system stores current month information on the disbursing account. After each month the disbursing information is stored in a separate table in the MS Access database. The data is sorted by post date and account ID – up to 12 characters and could be the Individual Indian Monies account number.

The Trust Reform Act of 1994 further supported the management of trust assets:

The American Indian Trust Fund Management Reform Act of 1994 (Reform Act), Public Law 103-412, Oct 25, 1994, 108 Stat.4239, Section 5.i. states "Maintain a verifiable system of records that is capable, at a minimum, of identifying: (1) the location, the beneficial owners, any legal encumbrances (i.e., leases, permits, etc.), the user of the resource, the rents and monies paid, if any, and the value of trust or restricted lands and resources; (2) dates of collections, deposits, transfers, disbursements third party obligations (i.e., court ordered child support, judgments, etc.), amount of earnings, investment instruments, and closing of all trust fund accounts; (3) documents pertaining to actions taken to prevent or compensate for any diminishment of the Indian trust assets; and (4) documents that evidence the Secretary's actions regarding the management and disposition of Indian Trust assets;"

**a. Inputs:**

The inputs to the system include receipts with deposit date and dollar amount.

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

*Office of the Special Trustee for American Indians – Record Schedules*

**Series**

**b. Master Data Files:**

4872-P  
con't.

The master data file contains name, account, pad date, deposit date, deposit amount, old interest, new interest, batch id, batch sequence number and user id.

b.1. History File – Copy of all data currently residing on the system.

**Disposition: PERMANENT.** Create duplicate copy of data off-line and transfer to the National Archives upon approval of this schedule in accordance with NARA regulations currently cited in 36 CFR 1228.270, and related NARA instructions and guidance. Restrictions include: FOIA exemptions: (4) Trade Secrets & Commercial or Financial Information – financial information received in connection with contracts and bids. (6) Personal Information Affecting an Individual's Privacy – personal information such as SSN, home address, performance appraisals, identities and qualifications of unsuccessful job applicants.

b.2. Current Data File

**Disposition: PERMANENT.** Create duplicate copy of data off-line and transfer to the National Archives at the end of each calendar year in accordance with NARA regulations, such as those currently cited in 36 CFR 1228.270, and related NARA instructions and guidance. Data restricted in accordance with Privacy Act Notice: Indian Individual Monies Trust Funds-OS-02 (previously Individual Indian Monies—Interior, BIA—3). Restrictions include: FOIA exemptions: (4) Trade Secrets & Commercial or Financial Information – financial information received in connection with contracts and bids. (6) Personal Information Affecting an Individual's Privacy – personal information such as SSN, home address, performance appraisals, identities and qualifications of unsuccessful job applicants.

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**c. Outputs:**

c.1. Case file specific queries, sorts, reports, tables and related records that are created for case files, studies, inquiries, inspections, and related program files.

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

c.2 Data compilation reports (e.g., management reports and plans) that are not case file specific but are created bi-weekly, monthly, quarterly, and annually as a result of program reporting requirements.

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

**d. Documentation:**

d.1. Documentation to be sent with History File (item b.1)

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

**Disposition: PERMANENT.** Transfer to the National Archives with system data as identified in item b.1 above.

d.2. Documentation to be sent with Current Data File (item b.2)

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

**Disposition: PERMANENT.** Transfer to the National Archives with system data as identified in item b.2 above.

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Additional Information for: **Daily Account Distribution System (DADS)**

4872-P  
con't.

Users: **Department of Interior  
Office of the Special Trustee for American Indians**

Program: **Office of the Special Trustee for American Indians**

Function: **Accounting Management**

Related Series/Systems: **NONE**

NARA Job No.: **N1-75-89-1 for textual records**

Related Unscheduled Series/Systems: **TFAS  
ODR  
PADSCAPS  
SEI Security**

Location: **Albuquerque, New Mexico**

Points of contact: **Chief Information Officer, Office of the Special Trustee for American Indians**