

Mashantucket Pequot Tribal Nation by TCR032807-05 - Adopt the MPTN Standards for Tribal Organization Management Systems for submission to the BIA to meet the requirements under 25 CFR, chapter V, Part 900, Subpart F. The standards are:

Sections: A. Standards for Financial Management System
B. Standards for Procurement Management System
C. Standards for Property Management System

A. Standards for Financial Management System

The Mashantucket Pequot Tribal Nation (MPTN) shall expend and account for contract funds in accordance with all applicable tribal laws, regulations, and procedures in carrying out a self-determination contract.

The MPTN fiscal control and accounting procedures are sufficient to:

- a) Permit preparation of reports required by a self-determination contract and the Act; and
- b) Permit the tracing of contract funds to a level of expenditure adequate to establish that they have not been used in violation of any restrictions or prohibitions contained in any statute that applies to the self-determination contract.

MPTN Requirements to meet the required Financial Management System Standards are as follows:

- a) MPTN's Department of Finance will provide the Secretary a completed Financial Status Report, SF 269, as negotiated and agreed to in the self-determination contract.
- b) MPTN's Department of Finance shall maintain financial records sufficiently detailed to identify the source and application of self-determination contract funds received. The accounting records included the following information:
 - a. Identify contract awards
 - b. Record obligations and unobligated balances
 - c. List assets purchased with the funds
 - d. Record liabilities
 - e. Record expenditures and income
- c) MPTN's Department of Finance shall maintain effective control and accountability for all self-determination contract funds received and for all Federal real property, personal property, and other assets furnished for use by MPTN under the self-determination contract.
- d) MPTN's Department of Finance shall permit the comparison of actual expenditures with amounts budgeted by the tribe for each self-determination contract.
- e) MPTN's Grant Operating Departments, Department of Finance, and the Office of the Tribal Manager shall determine reasonableness, allowability, and allocability of self-determination contract costs based upon the terms of the self-determination contract and the tribe's applicable OMB cost principles

- f) MPTN's Department of Finance shall contain accounting records that are supported by documentation and other primary records that support self-determination contract fund expenditures
 - a. Canceled checks, paid bills, payroll records, time and attendance records, contract award documents, purchase orders

B. Standards for Procurement Management System

MPTN Standards to meet the required Procurement Management System Standards are as follows:

- a) MPTN's Procurement Department shall ensure that its vendors and/or subcontractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders.
- b) MPTN's Procurement Department maintains written standards of conduct governing the performance of its employees who award and administer contract. See attached REGS.49
- c) MPTN's Procurement Department shall conduct all major procurement transactions by providing full and open competition, to the extent necessary to assure efficient expenditure of contract funds.
 - a. Indian Preference and Tribal Preference shall be applied in any procurement award.
- d) MPTN's Procurement Department will compare leasing and purchasing alternatives to determine which is more economical.
- e) MPTN's Procurement Department shall make procurement awards only to responsible entities that have the ability to perform successfully under the terms and conditions of the proposed procurement.
- f) MPTN's Procurement Department shall maintain records on the significant history of all major procurement transactions.
- g) MPTN's Procurement Department will be responsible for processing and settling all contractual and administrative issues arising out of procurement.
 - a. Settlement of any protests, disputes or claims
- h) Each subcontract entered into under the Indian Self-Determination and Education Assistance Act shall at a minimum:
 - a. Be in Writing
 - b. Identify the interested parties, their authorities, and the purposes of the contract
 - c. State the work to be performed under the contract
 - d. State the process for making any claim, the payments to be made, and the terms of the contract, which shall be fixed; and be subject to sections 7(b) and (c) of the Indian Self Determination and Education Assistance Act.

C. Standards for Property Management System

MPTN's Property Management system shall account for all property furnished or transferred by the Secretary for use under a self-determination contract or acquired with contract funds. (CFR 900.51)

The Property Management System tracks:

- a) personal property with an acquisition value in excess of \$5,000 per item
- b) sensitive personal property such as firearms which are subject to theft or pilferage and are managed by the custodian of such assets.
- c) Real property provided by the Secretary for use under the contract.
- d) MPTN Annual Equipment Inventory is available upon request.

MPTN's property management system maintains the following records:

- a) accurately describes the property
 - a. serial number, if applicable
 - b. other identification number
- b) source and acquisition date
- c) cost and federal share
- d) location, use and condition of property
- e) date of disposal and sale price if any.
 - a. An Asset Disposal Form is used to track inventory when the item is no longer operational or unneeded.

**Contact Details**

 Jansak, Ray
Director Records Management

Welcome to Records Management

This site is a convenient way to find out about:

- How long to keep records
- How to update your Department's records retention schedule
- How to store and retrieve record boxes from the warehouse
- Records management tips and techniques
- Much more

About Department Records Representatives (DRRs)

The success of this program depends on DRRs appointed by each department head. It is vital that each department have a person assigned to coordinate records management procedures with the Records Management Department.

PLEASE NOTIFY RECORDS MANAGEMENT IF DRR ASSIGNMENTS CHANGE!

Services We Provide

- Support the Tribal Council Secretary in his/her role to maintain official records of MPTN including management of the Tribal Council File Room.
- Create, implement and maintain an MPTN-wide record retention policy and procedures.
- Manage projects to improve access and protection of records throughout MPTN.
- Manage warehouse storage and disposal of inactive record boxes.
- Manage "blue bins" paper recycling program for Tribal Government and off-reservation offices

Contacts

| Last Name | First Name | Business Phone | E-mail Address |
|-----------|------------|----------------|----------------------|
| Jansak | Ray | 860.312.1108 | rjansak@mptn-nsn.gov |

Policy and Procedures Manual

The Mashantucket Pequot Tribal Nation's (MPTN) records, and the records of its various enterprises and departments, are considered essential assets. There are compelling legal, governmental, tax, business and cultural reasons to effectively manage the organization and preservation of these records.

The policies and procedures for the management of MPTN records and information are contained within the manual. These procedures will be reviewed and updated periodically to ensure that all needs are being met.

All the procedures apply to all Mashantucket Pequot Tribal Nation government departments and enterprises.

Warehouse Box Storage

MPTN has an offsite warehouse storage facility in Stratford, Connecticut for storage of paper inactive records. Records Management controls the box and label supplies, storage, retrieval, refiling and destruction of boxes to and from the warehouse under the direction of Ray Jansak (Phone ext. 2-1108) (Fax: 312-1110).

Departments may use the warehouse to store official inactive records that still need to be retained according to the retention schedule. Please check your department's retention schedule before you contact Records Management for storage. As a general rule, only send records that are accessed less than once every few months. Also, if you have copies of records originated by another department, check the retention period. Often the retention policy on copies is a much shorter period of time.

All boxes are handled confidentially. Please do not write the contents on the outside of boxes. Use electronic Box Contents Forms to record contents. Fill the boxes to capacity, but do not overfill.

Click on the above link to the Records Management Policy and Procedures Manual and refer to Chapter 4 for more detailed instructions on how to use the Records Warehouse.

Frequently Asked Questions

Answer

Question : How are boxes tracked once they are transferred to the Records Center? (1)

The Records Box Tracking software system (a/k/a Total Recall) tracks all boxes transferred to the Center. All boxes are barcoded and scanned with a handheld scanner each time they are moved to a new location. The Records Management department is the application expert and administrator of the system.

Question : How do I access my department's Records Retention Schedule? (1)

Department Record Representatives will be able to access your department's Records Retention Schedule via the RM web site "Retention Schedule" link within the DRR Team Site.

Question : How do I make a change to my Records Retention Schedule? (1)

When a record needs to be added or deleted from the Records Retention Schedule, or records series need to be modified (retention period shortened or lengthened, change in the record title, change in the Office of Record, etc.) an on-line web intranet change form shall be completed by Department Record Representatives. These forms are located on the DRR Team Site.

Question : How do I utilize the Records Center to store boxes of records going to the Warehouse? (1)

Refer to the Section 4 of the Records Management Manual where you will find a complete set of step-by-step instructions on how to store and retrieve records which you would like to put in the Records Center. The Records Management Manual is

Useful Links

- Records Management Policies and Procedures
- Manage My E-mail
- Records Management Training Overview
- Quick Tips - Filing Guidelines
- Who is my Department Records Representative?
- TR Web User Instruction Manual
- Box Tracking System

Forms

| Name |
|---|
| Departmental File Plan |
| Records Management Self Audit Questionnaire 2020 Update |
| RRS Modification Form - ADD Record Series |
| RRS Modification Form - DELETE Record Series |
| RRS Modification Form - DRR Change Request |
| RRS Modification Form - MODIFY Record Series |
| TC File Room REQUEST for INFORMATION FORM_021607 |

Sample Projects

| Name |
|------------------|
| Retention Policy |
| File Rooms |
| Legal Department |
| Licensing |

available as a link on the home page of the MPTN Records Management Department's web site home page.

Question : What are "Historical Records"? (1)

Historical records have enduring value. They represent significant official transactions, events, milestones, reports, depictions and other matters which, in context, preserve the history of the Mashantucket Pequot Tribal Nation, its Tribal Members, and their various cultural, governmental and business interests. Historical records most often have a permanent retention policy.

Question : What does "Office of Record" mean? (1)

The "Office of Record" is the department responsible for the maintenance of the most complete set of original or official documents that comprise the Record Series as described in the Records Retention schedule.

Question : What is a "Vital" record? (1)

Vital records are records that contain information needed to re-establish an organization in the event of a disaster or other disruption of operations. These records ensure an organization can resume operations within an acceptable period of time after the disruption. In addition to current operational working records, vital records include records necessary to recreate the organization's legal and financial position and records necessary to preserve the rights of the organization, its employees, customers and owners.

Question : What is a Record Series? (1)

A Record Series is a group of records generally filed together having the same reference, operational use, and retention value.

Question : What is an "Official" record? (1)

The "Official" record is the copy maintained by the "Office of Record". It is either the original copy or the most complete set maintained as the Tribal enterprise record. The retention periods in this column represent the policy on how long these records will be retained.

Question : What is my Records Management responsibility? (1)

All employees have a responsibility to ensure the organization and management of records according to the Records Management Program. They are to ensure that the records that they are responsible for are managed, protected and disposed of in accordance with records management policies and procedures.

Question : What is the Records Retention Schedule? (1)

The Records Retention Schedule (RRS) is a comprehensive list of records for which disposal dates have been established. Retention periods are determined based upon legal and regulatory requirements as well as ongoing business and operation needs for the records. The RRS provides guidance to employees on how long their records must be maintained and ensures that all departments and enterprises comply with applicable MPTN, Federal and State statutes, regulations and policies regarding the retention of records.

Question : What is the role of a Department Records Representative? (1)

Department Records Representatives (DRRs) represent their departments to promote awareness and compliance of all Records Management policies and procedures. They are responsible to keep current with the on-line RM Policies & Procedures and working with the RM department to coordinate record management training.

Question : Who do I call when I need a blue recycling bin to dispose of records in my department? (1)

Most departments have access to blue recycling bins for disposal of records. In the event that one is not available within your immediate area, or if you need assistance with disposal of your full bin, you may contact the Records Management Department at 312-1105 or 312-1108 to arrange for delivery and pick-up of a bin for your temporary use.

Question : Who is my Department Records Representative? (1)

A list of Department Records Representatives is maintained by the Records Management Department. Please contact Records Management if you do not know your department's representative.

Question : Who is the Records Management Team (RMT) and what do they do? (1)

The RMT is comprised of representatives from Government Administration, Finance, Gaming Commission, Inspector General, Compliance, Internal Audit, Legal, MIS, MPMRC, Records Management, Taxation, Tribal Council Secretary and other staff as appropriate. They review and approve all substantive changes to the Records Retention Schedule. Substantive changes consist of (1) additions and deletions of official records and, (2) changes in retention periods. The RMT also provides support for major records management initiatives throughout the Tribal government and its business enterprise.