

INACTIVE - ALL ITEMS OBSOLETE

Request for Records Disposition Authority

Records Schedule Number DAA-0513-2012-0007
Schedule Status Modified Approved Version

Agency or Establishment Indian Health Service
Record Group / Scheduling Group Records of the Indian Health Service
Records Schedule applies to Major Subdivision
Major Subdivision Office of Finance and Accounting
Minor Subdivision Division of Audit
Schedule Subject Audit Information Management System
Internal agency concurrences will be provided Yes

Background Information The IHS is seeking one-time disposition authority to destroy/delete the records housed in the Audit Information Management System (AIMS). These records were not previously scheduled and will not be included in the IHS Records Schedule after it is approved by NARA.

AIMS is a legacy database that was decommissioned in November 2011. The database was written in Visual Basic (VB) with a MS SQL Server backend. AIMS tracked the resolution of single audit recommendations of State, local and tribal governments and nonprofit organizations receiving IHS financial assistance. The data currently resides on a development server at IHS Headquarters in Rockville, Maryland. AIMS was developed in 1995 and consists of records from 2001 to 2011. The data was successfully migrated to the Division of Audit Resolution Management Information System (DARMIS), an electronic Single Audit resolution case management system developed by the Department of Health and Human Services (HHS). DARMIS is a central repository of HHS Operational Division (OpDiv) single audit resolution case information.

System users include Audit Negotiators and System Administrators.

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 1 | 0 | 1 | 3 |

GAO Approval

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Outline of Records Schedule Items for DAA-0513-2012-0007

| Sequence Number | |
|-----------------|---|
| 1 | Inputs Disposition Authority Number: DAA-0513-2012-0007-0001 |
| 2 | Outputs Disposition Authority Number: DAA-0513-2012-0007-0002 |
| 3 | Master File Disposition Authority Number: DAA-0513-2012-0007-0003 |
| 4 | System documentation Disposition Authority Number: DAA-0513-2012-0007-0004 |

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Records Schedule Items

| Sequence Number | |
|-----------------|--|
| 1 | <p>Inputs</p> <p>Disposition Authority Number DAA-0513-2012-0007-0001</p> <p>Data input into AIMS was derived from correspondence from the HHS Office of Inspector General, Office of Audit Services, National External Audit Review Center summarizing their review of Single Audit reports of State, local and tribal governments and nonprofit organizations that received HHS OpDiv financial assistance. The information was manually entered into the system by audit staff. It included but was not limited to the following information: • Common Identification Number (CIN) • Auditee Identification Number • Employer Identification Number (EIN) • Type of Organization • Audit Due Date • Name of Auditee • Auditee Address • Telephone Number • Successor Organization • Component Unit • Type of Funding • Auditor Identification Number • Name of Auditor • Auditor Address • Telephone Number • Other Names Used • Prior/Successor Organizations</p> <p>Final Disposition Temporary</p> <p>Item Status Withdrawn</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation Not requesting media neutrality. Hard copy records covered under N1-513-92-5 (Schedule I, Item 6-8).</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>Withdrawn Status Explanation Records are already schedules in N1-513-92-5, item 6-8.</p> <p>Disposition Instruction</p> <p>Retention Period Destroy immediately after the information has been converted to an electronic medium and verified, when no longer needed for legal or audit purposes or to support the reconstruction of or serve as a backup for the electronic records, whichever is later.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p> |

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|---|---|
| 2 | Outputs Disposition Authority Number DAA-0513-2012-0007-0002 The outputs consisted of ad hoc printouts used for reference purposes. Examples of reports yielded by AIMS are: • Audit History Report • Audit Activity Report Final Disposition Temporary Item Status Withdrawn Is this item media neutral? No Explanation of limitation Media neutrality not requested. Hard copy records covered under N1-513-92-5 (Schedule I, Item 6-8). Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes Do any of the records covered by this item exist as structured electronic data? Yes Withdrawn Status Explanation Records are covered by GRS 20, item 16. Disposition Instruction Retention Period Destroy/delete immediately upon approval of this schedule. Additional Information GAO Approval Not Required |
| 3 | Master File Disposition Authority Number DAA-0513-2012-0007-0003 Types of data elements may include: auditor number, auditee number, common identification number, IHS series, IHS area, HHS Region, HHS issue year, year of record, clearinghouse track number, audit file location, entity type, and grant programs. Final Disposition Temporary Item Status Inactive Is this item media neutral? No Explanation of limitation Applies only to electronic records. Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes |

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|------------------------|--|--|
| 4 | Do any of the records covered by this item exist as structured electronic data? | Yes |
| | Inactive Status Explanation | One-time disposition. The system decommissioned in November 2012 and all data successfully migrated to the new system. |
| | Disposition Instruction | |
| | Retention Period | Destroy/delete immediately upon approval of this schedule. |
| | Additional Information | |
| | GAO Approval | Not Required |
| | System documentation | |
| | Disposition Authority Number | DAA-0513-2012-0007-0004 |
| | Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file, database or other electronic records. | |
| | Final Disposition | Temporary |
| | Item Status | Withdrawn |
| | Is this item media neutral? | No |
| | Explanation of limitation | Media neutrality not requested. Hard copy records covered under N1-513-92-5 (Schedule I, Item 6-8). |
| | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | Yes |
| | Do any of the records covered by this item exist as structured electronic data? | Yes |
| | Withdrawn Status Explanation | Records are covered by GRS 20, item 11a1. |
| | Disposition Instruction | |
| | Retention Period | Destroy/delete immediately upon approval of this schedule. |
| Additional Information | | |
| GAO Approval | Not Required | |

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Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

| Date | Action | By | Title | Organization |
|------------|------------------------|--------------------|---|--|
| 06/18/2012 | Certify | Christopher Forney | Records Management Officer | Indian Health Service - Division of Administrative Services |
| 08/22/2012 | Submit for Concurrence | Andrea Riley | Supervisory Records Specialist | National Archives and Records Administration - Records Management Services |
| 08/30/2012 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - Records Management Services |
| 09/04/2012 | Concur | Laurence Brewer | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 09/06/2012 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |

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