

## Request for Records Disposition Authority

Records Schedule Number      **DAA-0513-2012-0007**

Schedule Status                      **Approved**

  

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>1</b>	<b>0</b>	<b>1</b>	<b>3</b>

GAO Approval

## 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

## Records Schedule Items

Sequence Number	
1	<p><b>Inputs</b></p> <p>Disposition Authority Number      <b>DAA-0513-2012-0007-0001</b></p> <p><b>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:</b></p> <ul style="list-style-type: none"> <li>• Common Identification Number (CIN)</li> <li>• Auditee Identification Number</li> <li>• Employer Identification Number (EIN)</li> <li>• Type of Organization</li> <li>• Audit Due Date</li> <li>• Name of Auditee</li> <li>• Auditee Address</li> <li>• Telephone Number</li> <li>• Successor Organization</li> <li>• Component Unit</li> <li>• Type of Funding</li> <li>• Auditor Identification Number</li> <li>• Name of Auditor</li> <li>• Auditor Address</li> <li>• Telephone Number</li> <li>• Other Names Used</li> <li>• Prior/Successor Organizations</li> </ul> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                              <b>Withdrawn</b></p> <p>Is this item media neutral?          <b>No</b></p> <p>Explanation of limitation            <b>Not requesting media neutrality. Hard copy records covered under N1-513-92-5 (Schedule I, Item 6-8)</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                          <b>Yes</b></p> <p>Withdrawn Status Explanation       <b>Records are already scheduled in N1-513-92-5, item 6-8</b></p> <p>Disposition Instruction</p> <p>Retention Period                        <b>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</b></p> <p>Additional Information</p> <p>GAO Approval                            <b>Not Required</b></p>

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                              **Active**

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**

4

Do any of the records covered by this item exist as structured electronic data?	Yes
Disposition Instruction	
Retention Period	Destroy/delete immediately upon approval of this schedule
Additional Information	
GAO Approval	Not Required
<b>System documentation</b>	
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

### 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