

## Request for Records Disposition Authority

Records Schedule Number      **DAA-0513-2015-0010**

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 Human Resources**

Minor Subdivision                      **Division of Health Professions Support**

Schedule Subject                      **Scholarships**

Internal agency concurrences will be provided      **No**

Background Information                      **The Office of Human Resources (OHR) provides overall leadership and direction for the Indian Health Service (IHS) Human Resources (HR) program. OHR evaluates, establishes and implements human resources policies for Agency-wide use in addition to providing advice, consultation, guidance and assistance to IHS leadership, Areas, and Regional HR Centers on civil service HR issues, programs and policies. OHR includes the Division of Personnel Security and Ethics, Division of Commissioned Personnel Support, Division of Human Resources, and the Division of Health Professions Support which develops, administers, and evaluates programs in the IHS Scholarship Program.**

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>12</b>	<b>0</b>	<b>12</b>	<b>0</b>

GAO Approval

## Outline of Records Schedule Items for DAA-0513-2015-0010

Sequence Number	
1	<b>Scholarship Program Monitoring Files</b>
1.1	<b>Preparatory Scholarships Monitoring Files</b>
1.1.1	Scholar successfully completing program Disposition Authority Number: DAA-0513-2015-0010-0001
1.1.2	Scholar unsuccessfully completing program. Disposition Authority Number: DAA-0513-2015-0010-0002
1.1.3	Unsuccessful applicants. Disposition Authority Number: DAA-0513-2015-0010-0003
1.2	<b>Pre-Graduate Scholarships Monitoring Files</b>
1.2.1	Scholar successfully completing program. Disposition Authority Number: DAA-0513-2015-0010-0004
1.2.2	Scholar unsuccessfully completing program. Disposition Authority Number: DAA-0513-2015-0010-0005
1.2.3	Unsuccessful applicants. Disposition Authority Number: DAA-0513-2015-0010-0006
1.3	<b>Health Professions Scholarships Monitoring Files</b>
1.3.1	Scholar successfully completing program. Disposition Authority Number: DAA-0513-2015-0010-0007
1.3.2	Scholar unsuccessfully completing program. Disposition Authority Number: DAA-0513-2015-0010-0008
1.3.3	Unsuccessful applicants. Disposition Authority Number: DAA-0513-2015-0010-0009
1.4	<b>Indians into Nursing Monitoring Files</b> Disposition Authority Number: DAA-0513-2015-0010-0010
1.5	<b>Indians into Psychology Monitoring Files</b> Disposition Authority Number: DAA-0513-2015-0010-0011
1.6	<b>Scholarship Management System</b>
1.6.1	Master file Disposition Authority Number: DAA-0513-2015-0010-0012

## Records Schedule Items

Sequence Number	
1	<p><b>Scholarship Program Monitoring Files</b> This records schedule is related to the monitoring of financial assistance awarded to members or descendants of federally recognized, state-recognized or terminated Tribes/Villages by the Indian Health Service or through select colleges and universities. Records may include, but not limited to: correspondence, applications, copies of notice of award, certifications, evaluations, copy of invoices, copy of statement of earnings, copy of checks, copy of tax forms, job description, employment verification, and declarations.</p>
1.1	<p><b>Preparatory Scholarships Monitoring Files</b> This series consists of records authorized by Section 103(b)(1) of the Indian Health Care Improvement Act (IHCIA) for the purpose of ensuring compliance with a scholarship agreement and the monitoring of financial aid awarded to qualified American Indian and Alaska Native (AI/AN) undergraduate students. Recipients of these scholarships are enrolled in preparatory courses (i.e., those required to improve science, mathematics, or other basic skills and knowledge) or prerequisite courses leading to matriculation in schools of nursing, pharmacy, psychology or social work. Awardees are not subject to a service obligation nor are they responsible for paying back monies received.</p>
1.1.1	<p><b>Scholar successfully completing program</b></p> <p>Disposition Authority Number      <b>DAA-0513-2015-0010-0001</b></p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>Yes</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><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Close file on date student enrolled into a health professions program.</b></p> <p>Retention Period                         <b>Destroy 6 year(s) after file closure.</b></p> <p><b>Additional Information</b></p>

1.1.2	GAO Approval	Not Required
	<b>Scholar unsuccessfully completing program.</b>	
	Disposition Authority Number	DAA-0513-2015-0010-0002
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	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
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Close file on date student leaves scholarship program or student requests no further support.
	Retention Period	Destroy 1 year(s) after file closure.
	<b>Additional Information</b>	
	GAO Approval	Not Required
	1.1.3	<b>Unsuccessful applicants.</b>
Disposition Authority Number		DAA-0513-2015-0010-0003
Final Disposition		Temporary
Item Status		Active
Is this item media neutral?		Yes
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
<b>Disposition Instruction</b>		
Cutoff Instruction		Close file on date applicant is rejected.
Retention Period		Destroy 6 months after date of rejection.
<b>Additional Information</b>		

	<p>GAO Approval <b>Not Required</b></p>
1.2	<p><b>Pre-Graduate Scholarships Monitoring Files</b> This series consists of records authorized by Section 103(b)(2) of the Indian Health Care Improvement Act (IHCA) for the purpose of ensuring compliance with a scholarship agreement and the monitoring of financial aid awarded to qualified American Indian and Alaska Native (AI/AN) undergraduate students. Recipients of these scholarships are required to complete prerequisite courses generally focused in the scientific fields of biology, chemistry, organic chemistry, and physics to prepare them for enrollment in dental, medical, optometry or podiatry schools. Awardes are not subject to a service obligation nor are they responsible for paying back monies received.</p>
1.2.1	<p><b>Scholar successfully completing program.</b></p> <p>Disposition Authority Number <b>DAA-0513-2015-0010-0004</b></p> <p>Final Disposition <b>Temporary</b></p> <p>Item Status <b>Active</b></p> <p>Is this item media neutral? <b>Yes</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><b>Disposition Instruction</b></p> <p>Cutoff Instruction <b>Close file on date student enrolled into a professional school.</b></p> <p>Retention Period <b>Destroy 6 year(s) after file closure.</b></p> <p><b>Additional Information</b></p> <p>GAO Approval <b>Not Required</b></p>
1.2.2	<p><b>Scholar unsuccessfully completing program.</b></p> <p>Disposition Authority Number <b>DAA-0513-2015-0010-0005</b></p> <p>Final Disposition <b>Temporary</b></p> <p>Item Status <b>Active</b></p> <p>Is this item media neutral? <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in</p>

1 2 3	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?	
	Disposition Instruction	
	Cutoff Instruction	Close file on date student leaves scholarshp program or student requests no further support.
	Retention Period	Destroy 1 year(s) after file closure.
	Additional Information	
	GAO Approval	Not Required
	<b>Unsuccessful applicants.</b>	
	Disposition Authority Number	DAA-0513-2015-0010-0006
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	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
	Disposition Instruction	
	Cutoff Instruction	Close file on date applicant is rejected.
	Retention Period	Destroy 6 months after date of rejection.
	Additional Information	
	GAO Approval	Not Required
1.3	<p><b>Health Professions Scholarships Monitoring Files</b>                  This series consists of records authorized by Section 104 of the Indian Health Care Improvement Act (IHCIA) for the purpose of ensuring compliance with a scholarship agreement and the monitoring of financial aid awarded to qualified American Indian and Alaska Native (AI/AN) associate, undergraduate, and graduate-level students. In exchange for training and assistance, recipients sign contracts and agree to serve underserved AI/AN populations on a full-time basis as clinicians in health care facilities upon completion of their academic or post-graduate clinical training.</p>	

1.3.1

**Scholar successfully completing program.**

Disposition Authority Number DAA-0513-2015-0010-0007

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

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

**Disposition Instruction**

Cutoff Instruction Close file upon completion of obligatory service or final payment or resolution of any adverse audit findings or date award referred for debt collection.

Retention Period Destroy 6 year(s) after file closure.

**Additional Information**

GAO Approval Not Required

1.3.2

**Scholar unsuccessfully completing program.**

Disposition Authority Number DAA-0513-2015-0010-0008

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

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

**Disposition Instruction**

Cutoff Instruction Close file on date student leaves scholarship program or student requests no further support.

Retention Period Destroy 1 year(s) after file closure.

1.3.3	Additional Information	
	GAO Approval	Not Required
	<b>Unsuccessful applicants.</b>	
	Disposition Authority Number	DAA-0513-2015-0010-0009
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	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
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Close file on date applicant is rejected.
	Retention Period	Destroy 6 months after date of rejection.
	<b>Additional Information</b>	
	GAO Approval	Not Required
1.4	<b>Indians into Nursing Monitoring Files</b>	
	Disposition Authority Number	DAA-0513-2015-0010-0010
	<b>This series consists of records authorized by Section 112 of the Indian Health Care Improvement Act (IHCIA) for the purpose of monitoring financial aid awarded to qualified American Indian and Alaska Native (AI/AN) undergraduate and graduate-level students recruited to become trained nurses, nurse midwives, nurse anesthetists, and nurse practitioners. In exchange for training and assistance, recipients agree to serve underserved AI/AN populations on a full-time basis as clinicians in health care facilities upon completion of their academic or post-graduate clinical training.</b>	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No



1.5	<b>Disposition Instruction</b>	
	Cutoff Instruction	Close file on completion of obligatory service or upon final payment or resolution of any adverse audit findings.
	Retention Period	Destroy 6 year(s) after file closure.
	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Indians into Psychology Monitoring Files</b>	
	Disposition Authority Number	DAA-0513-2015-0010-0011
	This series consists of records authorized by Section 217 of the Indian Health Care Improvement Act (IHCA) for the purpose of monitoring financial aid awarded to qualified American Indian and Alaska Native (AI/AN) undergraduate and graduate-level students recruited to enter the field of behavioral health. In exchange for training and assistance, graduate-level recipients agree to serve underserved AI/AN populations on a full-time basis as clinicians in health care facilities upon completion of their academic or post-graduate clinical training.	
	Final Disposition	Temporary
	Item Status	Active
Is this item media neutral?	Yes	
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No	
1.6	<b>Disposition Instruction</b>	
	Cutoff Instruction	Close file on completion of undergraduate degree, obligatory service or upon final payment or resolution of any adverse audit findings.
	Retention Period	Destroy 6 year(s) after file closure.
	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Scholarship Management System</b>	
	The Scholarships Management System (SMS) is an IHS Scholarship Program application designed to capture and store information on all new applicants and current recipients. SMS is a legacy database originally designed in Visual Basic (VB) and later converted to a web-based application written in ColdFusion with a MS SQL database backend. The system receives input of application information and other supporting documentation provided by a Scholarship Program Analyst	

or through a public facing interface to the system. Output from the system consists of standard reports including, but not limited to: Award Letters, Denied Letter List, Obligation Approval List, Awards List, Current Award PGM Status, and Scholar Obligated by Funding Item. The inclusive dates for the SMS are from 2000 to the present.

1.6.1

**Master file**

Disposition Authority Number      **DAA-0513-2015-0010-0012**

Types of data elements may include recipient's name, Social Security number, address, date of birth, telephone number, e-mail address, undergraduate school verification, and in-school progress reports.

Final Disposition                      **Temporary**

Item Status                              **Active**

Is this item media neutral?          **Yes**

Do any of the records covered  
by this item currently exist in  
electronic format(s) other than e-  
mail and word processing?          **No**

**Disposition Instruction**

Cutoff Instruction                      **Cutoff at end of calendar year in which final payment has been received or when obligatory service requirements has been completed or when anticipated litigation, an unresolved audit finding, investigation, claim, or other similar action has reached final resolution.**

Retention Period                        **Destroy 6 year(s) after file closure.**

**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
08/20/2015	Certify	Christopher Forney	Records Management Officer	Indian Health Service - Division of Administrative Services
09/02/2015	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
09/10/2015	Submit For Certification	Christopher Forney	Records Management Officer	Indian Health Service - Division of Administrative Services
09/10/2015	Certify	Christopher Forney	Records Management Officer	Indian Health Service - Division of Administrative Services
01/25/2016	Submit for Concurrence	Tom Cotter	Appraiser	National Archives and Records Administration - Records Management Services
01/28/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/28/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
02/03/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist