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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0075-2014-0004

Request for Records Disposition Authority

Records Schedule Number DAA-0075-2014-0004
Schedule Status Returned Without Action
Agency or Establishment Bureau of Indian Affairs
Record Group / Scheduling Group Records of the Bureau of Indian Affairs
Records Schedule applies to Agency-wide
Schedule Subject Electronic Audit Process Management System (Auto Audit)
Internal agency concurrences will be provided Yes

Background Information

The Electronic Audit Process Management System (Auto Audit©) is a SQL Server based software application that manages the Indian Trust Examinations (ITEs), Tribal Trust Evaluations (TTEs), and Records Management Assessments (RMAs) processes, the three major components of the system. All phases associated with the performance of the ITEs, TTEs, and RMAs are incorporated into the system, enabling the standardization, automation, and management of key aspects of the audit and records assessment processes. The electronic process allows the creation and storage of electronic work papers; processing documents through workflows; corrective actions and findings; recommendations; draft and final reporting; correspondence templates; and monitoring and tracking of findings identified through the IssueTrack module. IssueTrack enables communication, tracking, and the closure of findings issued to federal Agencies and Tribes, collects Corrective Action Plans (CAPs) through a web-based interface real-time. The Auto Audit system meets the mission requirements defined in Department Manual 110, Section 26.6 to perform and coordinate corrective action follow-up activities Department-wide. Auto Audit includes a library of standard templates, used by Auditors to create audit case files and reports, providing the framework for a consistent audit process with adherence to approved steps and professional practices. Inputs to the system are OTRA examination findings (assessment reports), agency corrective action plans, and agency responses to follow-up questions. Data is entered by manually typing information into the system or entered into a Microsoft Word template. Additional analytical data may be created and loaded in Microsoft Excel spreadsheets and uploaded. Supporting documentation is scanned using .pdf, .tiff, and .jpeg files formats. Auto Audit uses MSWindows, SQL Server, Access, PowerPoint, Excel, and Word formats. Reports are currently uploaded

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as Word document, but eventually this process will evolve into automated report creation using the Auto Audit Push/Pull and or/Mail Merge methods. Analytical reports are created using a reporting tool called Snap Reporter. OTRA enters Tribe's and Agency's responses and corrective actions into the database via IssueTrack. Data includes ITE, TTE, and RMA reports, work papers and supporting files including Region, Agency/Tribal names, individual names and contact information, IIM and Tribal TFAS AccountID, lease numbers and files, TAAMS identifiers, Tract IDs, probate numbers, transaction information, reports, correspondence with agency/tribal representatives, ITE Assigned Case Number, Dates, and photographs as well as travel expenses and time management. The records are arranged by Fiscal Year, Case Number, Audit Program folders, Sections, and Finding and Corrective Action Numbers.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	1

GAO Approval

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Outline of Records Schedule Items for DAA-0075-2014-0004

Sequence Number

1

Master Data Files.

Disposition Authority Number: DAA-0075-2014-0004-0001

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Records Schedule Items

Sequence Number	
1	<p data-bbox="363 414 613 440">Master Data Files.</p> <p data-bbox="363 466 1135 491">Disposition Authority Number DAA-0075-2014-0004-0001</p> <p data-bbox="363 517 1458 995">The master data contains information and responses related to examinations conducted on Federal Programs, federally recognized Tribes, and Compacted/ Contracted Trust programs. All responses received from examinations with Corrective Action Plans (CAPs) include, but are not limited to, field notes, challenges to the CAPs, and final resolutions. Written reports on examinations and audits conducted include, but are not limited to, completed questionnaires and audited agency's responses. Auto Audit also maintains working papers which include Region, Agency, Tribal names, individual names and contact information, Individual Indian Money and Tribal Trust Funds Accounting System (TFAS) Account Identifiers, lease numbers, Trust Assets and Accounting Management Systems (TAAMS) identifiers, Tract Identification numbers, probate numbers, transaction information, reports, correspondence with agency/tribal representatives, Indian trust examination assigned case numbers, and dates.</p> <p data-bbox="363 1017 915 1042">Final Disposition Permanent</p> <p data-bbox="363 1068 909 1093">Item Status Withdrawn</p> <p data-bbox="363 1119 818 1144">Is this item media neutral? Yes</p> <p data-bbox="363 1170 818 1293">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 data-bbox="363 1315 818 1400">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="363 1442 662 1468">Disposition Instruction</p> <p data-bbox="363 1493 1487 1519">Cutoff Instruction Cutoff every three years from date of last submission.</p> <p data-bbox="363 1544 1435 1693">Transfer to Inactive Storage Provide a copy to NARA every three (3) years, thereafter from the date of last submission in accordance with NARA instructions and guidance currently cited in 36 CFR 1235.</p> <p data-bbox="363 1715 1458 1821">Transfer Electronic Records to the National Archives for Pre-Accessioning Transfer electronic records to the National Archives for pre-accessioning immediately after approval of schedule</p> <p data-bbox="363 1842 1425 1906">Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after approval of schedule</p>

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Additional Information

What will be the date span of the initial transfer of records to the National Archives? **From 1999 To 2015**

How frequently will your agency transfer these records to the National Archives? **Every 3 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	12 GB	4 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

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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
04/21/2016	Certify	Michelle Tenorio	Supervisory Program Analysis Officer	Bureau Of Indian Affairs and Office of the Special Trustee for American Indians - Bureau Of Indian Affairs and Office of the Special Trustee for American Indians
06/23/2016	Return Without Action	Mark Ferguson	Archives Specialist	National Archives and Records Administration - Records Management Services

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