

| REQUEST FOR RECORDS DISPOSITION AUTHORITY   |   | LEAVE BLANK (NARA use only)  |   |
|---|---|--|---|
| To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)<br>8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001   |   | JOB NUMBER<br><i>71-075-03-6</i>   |   |
| 1. FROM (Agency or establishment)<br><b>Department of Interior</b>  |   | DATE RECEIVED<br><i>9-15-2003</i>  |   |
| 2. MAJOR SUBDIVISION<br><b>Bureau of Indian Affairs</b>   |   | Notification to Agency<br><br>In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. |   |
| 3. MINOR SUBDIVISION<br><b>Office of Trust Responsibilities</b>   |   |  |   |
| 4. NAME OF PERSON WITH WHOM TO CONFER<br><b>Terry Virden</b>  |   |  |   |
| 5. TELEPHONE<br><b>202-208-5831</b>   |   | DATE<br><i>3-30-04</i>   | ARCHIVIST OF THE UNITED STATES<br><i>John W. Carl</i> |
| 6. AGENCY CERTIFICATION<br>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 on the attached ___ page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,<br><input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. |   |  |   |
| DATE<br><i>9/4/03</i>   | SIGNATURE OF AGENCY REPRESENTATIVE<br><i>Ethel J. Abeita</i>  |  | TITLE<br><b>Director, Office of Trust Records</b>     |
| 7. ITEM NO.   | 8. DESCRIPTION OF ITEM AND PROPOSED RETENTION   | 9. GRS OR SUPERSEDED JOB CITATION  | 10. ACTION TAKEN (NARA USE ONLY)                      |
|   | <b>Please see attached</b><br><br><b>(This schedule covers the Osage/Lake Funds/1099 system)</b>  |  |   |
|   | <i>Terrance L. Virden</i> <i>8-25-03</i><br>SIGNATURE OF DEPUTY COMMISSIONER      DATE<br>BUREAU OF INDIAN AFFAIRS<br><i>Director</i><br><i>c.l. Agency, NIR, NW ME</i> |  |   |

# ELECTRONIC RECORDS SCHEDULE

Request for Records Disposition Authority, attachment to SF 115

N1-075-03-6

Revised February 4, 2004

## Osage Annuity Payment Module

**System Description:** The Osage Annuity Payment system, which functions as a distributed database, was programmed in 1997 as the main system that is used to pay annuitants their interest amounts based upon head-right share on Indian land for services rendered such as oil and gas production, sand and gravel, lease bonus amounts, lease rentals, and gross production; to make lake-fund payments - distribution for loss of use of land flooded; to make third party payments to collection companies; and to report interest income to the IRS. The Osage Annuity Payment module shares annuitant information with the Lake-Funds, 1099-IRS modules and Realty, Land systems. Need to also go to Minerals for land drags on reservation land.

The Osage Annuity Payment data resides on an NT Server and operates under a Windows environment. The software application consists of in-house programs using Visual Basic and Microsoft Access. Backups are created through the NT Server.

### **Item 1. System Name: Osage Annuity Payment Module**

**System Description:** The function of the Osage Annuity Payment module, a Microsoft Access database format, is to capture the Osage allotment annuitant information, maintain and report payment information for annuitants on Indian land. Only the Osage Agency uses this module.

#### a. Inputs:

The inputs to the Osage Annuity Payment System module consists of the ownership of head-right shares updating as required of probates, gdn's Rev. CC's, addresses, annuitant information, probates, change of name or address, and third party payment information forms.

**Disposition: Apply disposition instructions approved for paper and microfilm records.**

#### b. Master Data File:

The Master Data File contains information on annuitants including name and social security number, rev. date, miscellaneous interest, estate history, addresses, date of birth, date of death, quarterly payment amounts, head-right share (used to calculate payment amount), type of account (life estate), and Indian status (Indian/Non-Indian/Osage). The primary key unit of analysis is the annuitant number.

# ELECTRONIC RECORDS SCHEDULE

**Disposition: PERMANENT.** Create duplicate copy of records off-line and physically transfer to the National Archives upon approval of this schedule in accordance with NARA instructions and guidance. Subsequent legal transfer of the records will be as jointly agreed to between DOI and NARA, in accordance with regulations currently cited in 36 CFR 1228.270.

Data restricted in accordance with Privacy Act Notice: Indian Individual Monies Trust Funds-OS-02 (previously Individual Indian Monies—Interior, BIA—3).

c. Outputs:

Case file specific queries, sorts, reports, tables and related records and data compilation reports (e.g., management reports and plans) that are created for case files, studies, inquiries, inspections, and related program files.

**Disposition: Apply disposition instructions approved for paper and microfilm program records.**

d. Documentation

System Data specifications, file specifications, code books, record layouts, user guides, output specifications, final reports, regardless of medium, relating to a master file or database.

**Disposition: PERMANENT.** Transfer to the National Archives with Master Data File as identified in item 1.b. above.

# ELECTRONIC RECORDS SCHEDULE

Additional Information for: Osage Annuity Payment System Module

BIA Series/System Number:

Users: Department of Interior  
Office of Trust Responsibilities  
Osage Agency

Program: Office of Trust Responsibilities

Function:

Related Series/Systems: Osage Lease Management system and Lake Fund System and 1099's

Location: Osage Agency, Pawhuska, Oklahoma

Points of contact: Terry Virden – Central Office Trust Responsibilities; Joy Ledbetter – Office of Trust Funds Management.

# ELECTRONIC RECORDS SCHEDULE

## Item 2. System Name: Lake-Funds Module

The function of the Lake-Funds module, a Microsoft Access database format, is to capture information on annuitants that are recipients for lands lost as a result of flooding of Indian lands. The database implementation is limited to the Osage Agency annuitants that have inherited lake-fund allotments. The Lake Fund System imports the information from the Annuity System for deaths and address changes.

### a. Inputs:

The inputs of the Lake-Funds module include documents used to verify allotment inheritance such as probate, terminations and distributions of estates. Other inputs include collection and payment documents such as journal vouchers.

**Disposition: Apply disposition instructions approved for paper and microfilm records.**

### b. Master Data File:

The Master Data File contains information including annuitant name and address, billing address (retrieved by the Osage database), and lake-fund payment amounts. The primary key unit of analysis is the annuitant number.

**Disposition: PERMANENT.** Create duplicate copy of records off-line and physically transfer to the National Archives upon approval of this schedule in accordance with NARA instructions and guidance. Subsequent legal transfer of the records will be as jointly agreed to between DOI and NARA, in accordance with regulations currently cited in 36 CFR 1228.270.

Data restricted in accordance with Privacy Act Notice.

### c. Outputs:

Case file specific queries, sorts, reports, tables and related records and data compilation reports (e.g., management reports and plans) that are created for case files, studies, inquiries, inspections, and related program files.

**Disposition: Apply disposition instructions approved for paper and microfilm program records.**

# ELECTRONIC RECORDS SCHEDULE

## d. Documentation

System Data specifications, file specifications, code books, record layouts, user guides, output specifications, final reports, regardless of medium, relating to a master file or data base.

**Disposition: PERMANENT.** Transfer to the National Archives with Master Data File as identified in item 2.b above.

Additional Information for: Lake-Funds Module

BIA Series/System Number:

Users: Department of Interior  
Office of Trust Responsibilities  
Osage Agency

Program: Office of Trust Responsibilities

Function:

Related Series/Systems: Osage Lease Management system and Lake Fund system and 1099's.

Location: Osage Agency, Pawhuska, Oklahoma

Points of contact: Terry Virden – Central Office Trust Responsibilities; Joy Ledbetter – Office of Trust Funds Management.

# ELECTRONIC RECORDS SCHEDULE

## Item 3. System Name: 1099-IRS Module

The function of the 1099 IRS-Module, a Microsoft Access database format, is to capture information on annuitants for reporting to tax information to the annuitants and to the Internal Revenue Service (IRS).

### a. Inputs:

The inputs of the 1099 database consist of the interest factor amount for oil and gas, sand and gravel, lease bonus, lease rental, interest income, gross production and miscellaneous expenses from the Osage Agency used to calculate reportable interest amounts to the annuitants and the Internal Revenue Service (IRS).

**Disposition: Apply disposition instructions approved for paper and microfilm records.**

### b. Master Data File:

The Master Data File contains information including annuitant name and address, 1099 interest amounts and 1099 miscellaneous amounts. The primary key unit of analysis is the annuitant number.

**Disposition: PERMANENT.** Create duplicate copy of records off-line and physically transfer to the National Archives upon approval of this schedule in accordance with NARA instructions and guidance. Subsequent legal transfer of the records will be as jointly agreed to between DOI and NARA, in accordance with regulations currently cited in 36 CFR 1228.270.

Data restricted in accordance with Privacy Act Notice.

### c. Outputs:

Case file specific queries, sorts, reports, tables and related records and data compilation reports (e.g., management reports and plans) that are created for case files, studies, inquiries, inspections, and related program files.

**Disposition: Apply disposition instructions approved for paper and microfilm program records.**

# ELECTRONIC RECORDS SCHEDULE

d. Documentation:

System Data specifications, file specifications, code books, record layouts, user guides, output specifications, final reports, regardless of medium, relating to a master file or data base.

**Disposition: PERMANENT.** Transfer to the National Archives with Master Data File as identified in item 3.b above.

Additional Information for: 1099-IRS Module

BIA Series/System Number:

Users: Department of Interior  
Bureau of Indian Affairs  
Office of Information Resources

Program: Office of Trust Responsibilities

Function: Tax Reporting to IRS

Related Series/Systems: Osage Lease Management system and Lake Fund system and 1099's.

Location: Osage Agency, Pawhuska, Oklahoma

Points of contact: Terry Virden – Central Office Trust Responsibilities; Roger Heger, Office of Trust Funds Management.