

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
To NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		JOB NUMBER <i>NI-075094</i>	DATE RECEIVED <i>2/20/09</i>
1 FROM (Agency or establishment) <b>Department of Interior</b>		<u>Notification to Agency</u>  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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION <b>Assistant Secretary of Indian Affairs</b>			
3 MINOR SUBDIVISION <b>Office of the Chief Information Officer</b>			
4 NAME OF PERSON WITH WHOM TO CONFER <b>David Roberts, OCIO-IA, Director OCIO-IA/OID</b>	5 TELEPHONE 703-735-4172	DATE <i>Dec 11</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
6 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 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,			
<input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE <i>2/12/09</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>		TITLE <i>for</i> <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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED RETENTION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1	<b>Please See Attached Schedule for:</b>  <b>Information Management System (IMS)</b>   <i>David Roberts</i> Director, Office of Information Development <i>1/06/2009</i> Date   <i>[Signature]</i> <sup>Acting DCIO</sup> Chief Information Officer - Indian Affairs <i>1/8/2009</i> Date		

SF-115 Attachment

Job No. N1-75-09-4

Revisions approved by Ms Yolanda Montoya via e-mail on October 14, 2011

**Department of Interior**  
**Office of the Special Trustee for American Indians**  
**Information Management System (IMS)**

**Description:** The Information Management System (IMS) is a web based system with a browser interface residing on an ORACLE database used by the employees of the Assistant Secretary-Indian Affairs (AS-IA) and Bureau of Indian Affairs (BIA) to manage, route and track correspondence, Privacy Act requests and other documents. IMS includes the following application capabilities: general document repository, manage documents and task assignments, document routing and tracking, controlled correspondence processing, task and subtask tracking; metadata search, indexing and full text searching, workflow tracking, and report writing. All incoming and outgoing correspondence or documents with their supporting documents, attachments and enclosures are scanned as PDFs into the system. Stored in the system database, the document metadata includes document titles, numbers and abstracts. The prime key is a unique system generated number starting with a document type code (such as COCR for correspondence), followed by the calendar year and a six-digit sequential number. Correspondence in the system may contain information protected by the Privacy Act. The sensitivity level in IMS is "Sensitive, but Unclassified." IMS contains information dating from September 2004.

- a ~~Inputs—Inputs into the IMS system include—Data from Identity Information System (IID, BIA-30) to populate name fields to create user accounts and assign tasks—Documents are uploaded or scanned for storage in the repository—Input data to metadata field are document information, correspondence information, Federal Register Notices, customer data, search criteria, routing data, group data, task assignee and profile data~~

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

**Data restricted in accordance with Privacy Act Notice: IMS BIA – Interior – 31 as published in the Federal Register on July 15, 2008.**

[Item a, Inputs, is not a request for disposition authority rather instructions to use existing disposition authorities without superseding them ]

- b Master Data File. IMS database structure is relational and data is compiled logically in tables in one single document repository.

**Disposition Instructions: PERMANENT.** Create electronic 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, as specified in NARA standards applicable at the time of transfer.

**Data restricted in accordance with Privacy Act Notice: IMS BIA – Interior – 31 as published in the Federal Register on July 15, 2008**

c Scanned Images

- 1 Archival Scanned Images Records include images of correspondence and other related documents scanned at accepted archival standards for preservation and placed in corresponding paper case files such as the Program Correspondence Files-Official Files (1200-P5), Assistant Secretary Correspondence Files (1201-P5), Congressional and White House Correspondence (1202-P5), Bureau Controlled Correspondence Office Files (1203-P5), Regional Directors Reports to Central Office Files (1204-P5) and other record series scheduled for permanent retention

**Disposition Instructions: PERMANENT.** Transfer to the National Archives with related Master Data Files as specified in NARA standards applicable at the time of transfer

**Data restricted in accordance with Privacy Act Notice as required.**

- 2 Non-Archival Scanned Images Records include images of correspondence and other related documents scanned below minimum archival standards for preservation and placed in corresponding paper case files such as the Program Correspondence Files-Official Files (1200-P5), Assistant Secretary Correspondence Files (1201-P5), Congressional and White House Correspondence (1202-P5), Bureau Controlled Correspondence Office Files (1203-P5), Regional Directors Reports to Central Office Files (1204-P5) and other record series scheduled for permanent retention

**Disposition Instructions: TEMPORARY.** Destroy or delete scanned images when no longer needed for business or reference purposes

**Data restricted in accordance with Privacy Act Notice as required.**

d System Generated Documents/Outputs

- 1 ~~System Generated Documents in Case Files—Case files 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 Instructions: Apply disposition instructions approved for paper and microfilm records.**~~

[Item c1, Output Documents in Case Files, is not a request for disposition authority rather instructions to use existing disposition authorities without superseding them ]

2. System Generated Documents organized by Program, Regional Agency or Field Offices Inbox Reports, Action for Task Owner, Tracking (Outbox) Reports, Administrator Reports, Manager Reports, General IMS Reports and data compilation reports (e.g. management reports and plans) that are not case file specific and generated bi-weekly, monthly, quarterly, and annually These output reports cannot be easily separated and filed in case specific files Outputs are created as required by user action and are not stored in IMS May be arranged as subject files filed by system report name, Program, Region, Agency or Field Office, job run date and fiscal year

**Additional Information for: Informational Management System (IMS)**

**BIA Series/System Number:**

**Superseded Authorities:** None, new item

**Related Record Systems/Series:** 1200-P5 Program Correspondence Files-Official Files  
 1201-P5 Assistant Secretary Correspondence Files  
 1202-P5 Congressional and White House Correspondence  
 1203-P5 Bureau Controlled Correspondence Office Files  
 1204-P5 Regional Directors Reports to Central Office Files

**Users:** Office of Assistant Secretary of Indian Affairs (AS-IA)/Bureau of Indian Affairs (BIA) employees

**Program:** AS-IA, BIA

**Function:** Administrative – correspondence management and tracking

**Supplemental System Description:**

The IMS work task and document management functions are separate and independent and may be linked together and cross-referenced. Designed as a management work tool, IMS has the ability to receive and report on progress, perform action item tasking, track work cases, control internal office memoranda and track executive correspondence as well as track postal mail and faxes. The system also tracks due dates and automatically calculates due dates for correspondence.

IMS is a document tracking system in which documents may be routed, surnamed and submitted through workflows. This system also captures a mixture of records that are kept at originators' desktops. Progress of assigned task is monitored from assignment to completion with a history created for reporting purposes. Authorities may be delegated for tasks and subtasks.

Documents are stored in a single repository and are accessed via an Internet browser interface providing multiple views and grouped in categories Incoming, Outgoing, Internal Federal Register and Reference. All documents in IMS (including incoming correspondence) are maintained as digital files within the repository searchable by document number, title, subject or other data. Images may be scanned images of original paper documents or electronic documents in their native formats such as MS Word, MS Excel, Wordperfect, et cetera. IMS extracts information from existing tables located in the Identity Information System (IIS) for user authentication and document routing.

**Location:**

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