

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 2200

Information Management and Information Technology Operations

2200-Osage

Osage/Lake Funds/1099 System

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: Osage Annuity Payment Module - 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.

Item 2: 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.

Item 3: 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. Source Records/Inputs

1. Source Records (Paper):

The inputs to the **Osage Annuity Payment 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.

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

The inputs of the **1099-IRS Module** 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).

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Disposition Instructions: Apply disposition instructions approved for paper and microfilm records. (Reference Indian Affairs Record Schedule record series for specific program records)

2. Source Records (Electronic): Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records. **(GRS-20/1b)**

Disposition Instructions: **TEMPORARY**. Delete after information has been transferred to the master file and verified.

B. Master Data Files

The master data file for the **Osage Annuity Payment Module** 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.

The master data file for the **Lake-Funds Module** 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.

The master data file for the **1099-IRS Module** 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 Instructions: **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. **(N1-075- 03-6)**

Data restricted in accordance with Privacy Act Notice; Indian Individual Monies Trust Funds-OS-02 (previously Individual Indian Monies-Interior, BIA-3); Indian Land Records-Interior, BIA-4; Indian Land Leases-Interior, BIA-5; Integrated Records Management System Interior, BIA-25.

C. 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. (Reference Indian Affairs Record Schedule record series for specific program records)

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2. System Generated Documents organized by Program, Regional, Agency or Field Offices: Data compilation reports (e.g. management reports and plans) that are not case file specific and generated bi-weekly, monthly, quarterly, and annually. These reports cannot be easily separated and filed in case specific files. **(N1-075-03-6)**

Disposition Instructions: PERMANENT. Printed Report Files. File by System Report Name, Program, Region, Agency or Field Office, Job Run Date and Fiscal Year. Cut off at the end of the fiscal year. Maintain in office of record for a maximum of 2 years after cut off or when no longer needed for current business operations; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between United States Department of Interior and the National Archives and Records Administration.

3. Data Verification Reports or Screen Prints, Data Verification – Non case/subject file specific screen prints, test reports, data validation reports and system diagnostics.

a. Electronic files or records created solely to test systems performance, as well as hard-copy printouts and related documentation for the electronic files/records. **(GRS-20/1a)**

Disposition Instructions: TEMPORARY. Delete/Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

b. Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records. **(GRS-20/1b)**

Disposition Instructions: TEMPORARY. Delete after information has been transferred to the master file and verified.

c. Electronic files and hard-copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use. **(GRS-20/1c)**

Disposition Instructions: TEMPORARY. Delete/Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

d. Records create and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to: Data and detailed reports on implementation of systems, applications, and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management. **(GRS-24/3b1)**

Disposition Instructions: TEMPORARY. Destroy/delete 1 year after termination of system.

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D. Documentation

1. 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. **(N1-075-03-6)**

Disposition Instructions: PERMANENT. Transfer to the National Archives with Master Data file as identified above.

2. Copies of Records relating to system security, including records documenting periodic audits or reviews and re-certification of sensitive applications, disaster and continuity plans, and risk analysis, as described in OMB Circular No. A-130. **(GRS-20/11b)**

Disposition Instructions: TEMPORARY. Destroy or delete when superseded or obsolete.

E. Backups/Vital Record Backups

Backups are intended for making a copy of computer files for use if the original is lost, damaged or destroyed. The Backup process includes copying recorded information from internal storage to an external storage medium, such as magnetic tape, cartridges, CDs, and Optical disk. The Disposition of Backups is Temporary because they are intended to restore a system in case of failure. Backups do not meet NARA requirements for long term retention or preservation of permanent data. **(GRS-20/8a)**

Disposition Instructions: TEMPORARY. File identical to records scheduled for transfer to the National Archives: Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied.