

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: N1-439-09-004**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 7/31/2023

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items except those listed below are active

### **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 7b is superseded by N1-439-09-005 #2c

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		LEAVE BLANK (NARA use only)	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <i>NI-439-09-4</i>	
1 FROM (Agency or establishment) <b>Department of Health and Human Services</b>		Date Received <i>7/1/09</i>	
2 MAJOR SUB DIVISION <b>Administration on Aging</b>		NOTIFICATION TO AGENCY	
3 MINOR SUBDIVISION		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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
4 NAME OF PERSON WITH WHOM TO CONFER <b>Harry Posman</b>	5 TELEPHONE 202-357-3540	DATE <i>13/1/10</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 of 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>6/25/09</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Yvonne X. Wilson</i>		TITLE DHHS Records Management Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Records for Administration on Aging (AoA) Electronic Information Systems  Unless specifically stated otherwise in the description or the retention, all items are media-neutral and apply to paper, electronic, microform, or other media in which records may exist  See attached sheet		

**Administration on Aging**  
**Electronic Information Systems**

**1. State Program Reports**

The information system and its purpose:

The state program reporting system provides essential information on the characteristics of program clients. The information available within the system includes but is not limited to: demographic and disability data; the types and levels of service; expenditures of funds from the OAA and other sources, staffing levels and responsibilities at the state and local level, as well as the number of volunteers providing support.

**Master file:** Includes but is not limited to: demographic and disability data; the types and levels of service; expenditures of funds from the OAA and other sources, staffing levels and responsibilities at the state and local level, as well as the number of volunteers providing support.

Disposition: **TEMPORARY**. Cut off at the end of the fiscal year in which the information is collected. Delete 10 years after cutoff.

**2. Ombudsman Reporting**

The information system and its purpose:

The system is the tool by which States meet annual reporting requirements. The system manages reports summarizing the efforts of the Long Term Care Ombudsmen, who are both paid and volunteer. This reporting involves a survey form that is completed by each State Agency on Aging and submitted to AoA on an annual basis. The survey collects information on cases, complaints, facilities, staff, volunteers, expenditures.

**Master file:** Includes, but is not limited to information on cases, complaints, facilities, staff, volunteers and expenditures.

Disposition: **TEMPORARY**. Cut off at the end of the fiscal year in which the information is collected. Delete 10 years after cutoff.

**3. Native American Program Reporting System**

The information system and its purpose:

The system is the online data entry and storage system used by tribal grantees as well as Administration on Aging staff to record and access information from the annual financial (SF-269) and program (Program Performance Report) reports. The system works in three steps: first, the grantee enters the data; second, it is reviewed by a contractor or AoA regional office staff for errors; and third, once any errors are corrected by the grantee, it is approved by an AoA headquarters or regional office staff.

**Master file:** Includes, but is not limited to payments from program funds made to grantee staff, comprehensive records of nutritional and supportive services provided and received and information regarding caregiver services (information, assistance, counseling/support groups/training, other and respite) provided and received.

Disposition: **TEMPORARY**. Cut off upon termination of the program. Delete 5 years after cutoff.

#### **4. Seniors Medicare Assistance and Reporting Tool for Fraud and Complaint Tracking System**

The information system and its purpose:

This system is a web-based tool SMP projects (formerly Senior Medicare Patrol) use to manage their program and report outcomes to AoA and the Office of the Inspector General (OIG). Daily data entry of program activities enables integrated aggregate reporting of project outcomes. The system provides an electronic referral process from program staff to CMS contractors so that potential Medicare and Medicaid fraud or abuse effecting Medicare beneficiaries are investigated.

**Master file:** Includes, but is not limited to outreach and education activities (events, presentations, media activities), Medicare and Medicaid case files about potential fraud and abuse, SMP receipt and resolution of consumer inquiries, and the efforts of volunteers.

Disposition: **TEMPORARY**. Cut off upon termination of the program. Delete 6 years after cutoff.

#### **5. Eldercare Locator Database System**

The information system and its purpose:

The eldercare locator database is an on-line system that links those who need assistance with state and local area agencies on aging and community-based organizations that serve older adults and their caregivers.

**Master file:** Includes, but is not limited to contact information for agencies that provide general information and referrals, legal services, elder abuse prevention, health insurance counseling, prescription assistance and Long Term Care Ombudsman.

Disposition: **TEMPORARY**. Delete when superseded or obsolete.

#### **6. Correspondence Assignment Tracking System**

The information system and its purpose:

The correspondence assignment tracking system is the system used to control all documents/actions processed through the Office of the Executive Secretary in the Administration on Aging. The system allows users to monitor the status of documents/actions in process, as well as access an archive that contains all records since the inception of the system. The system is searchable and has limited, built in, sorting capabilities.

**Master file:** Includes, but is not limited to document/action summary, name and contact information for the individual who initiated the document, as well as approval and comment fields.

Disposition: **TEMPORARY**. Cut off at discontinuation/replacement of system. Delete 2 years after cutoff.

NOTE: This disposition authority only applies to the current Correspondence Tracking System. Any superseding system will need to be scheduled.

## 7. National Survey of Older Americans Act Title III Service Participants

The survey and its purpose: Client reported rating of service quality and impact for selected Title III services from a random sample of Older Americans Act service recipients.

Date span: 2003 - forward

**Master files:** Includes, but is not limited to responses to questions including: client satisfaction with service, ability to remain in own home, chronic conditions, and impact of service.

### a. Raw Data Files

Disposition: **TEMPORARY**. Cutoff at the end of the fiscal year in which the data was collected. Delete 10 years after cutoff or when no longer required for business purposes, whichever is later.

### b. Public Use Files: Data files that have personally identifiable information removed.

Date Span: 2003, 2004, 2005, 2008 - forward

Current Volume: 52.6 MB

Est. Annual Accumulation: 13mb

Disposition: **PERMANENT**. Cutoff at the end of the fiscal year in which the data was collected. Transfer to NARA, in a format compliant with 36 CFR 1228.270, one year after cutoff.

### **Outputs:**

c. Aggregated Data Files: Data files containing summarized information from the raw data files. Used for analytical purposes.

Disposition: **TEMPORARY**. Cut off at end of calendar year in which data was collected. Destroy 10 years after cutoff or when no longer required for business purposes, whichever is later.

**System Documentation:**

~~d. Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file, database or other electronic records.~~

~~Disposition: **PERMANENT**. Transfer to the National Archives with the permanent electronic records to which the documentation relates. (GRS 20, item 11a2)~~