

## Request for Records Disposition Authority

Records Schedule Number      **DAA-0440-2014-0001**  
Schedule Status                **Modified Approved Version**

Agency or Establishment        **Centers for Medicare and Medicaid Services**  
Record Group / Scheduling Group **Records of the Centers for Medicare and Medicaid Services**  
Records Schedule applies to    **Agency-wide**  
Schedule Subject                **Vulnerabilities/Corrective Actions for Improper Payment Billing Errors**  
Internal agency concurrences will be provided    **Yes**

### Background Information

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	0	2	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0440-2014-0001

Sequence Number	
1	<b>Vulnerabilities/Corrective Actions</b> Disposition Authority Number: DAA-0440-2014-0001-0001
2	<b>Program Vulnerability Tracking System (closed series)</b> Disposition Authority Number: DAA-0440-2014-0001-0002

**Records Schedule Items**

Sequence Number	
1	<p><b>Vulnerabilities/Corrective Actions</b></p> <p>Disposition Authority Number      <b>DAA-0440-2014-0001-0001</b></p> <p><b>Vulnerabilities</b> are identified by CMS and Medicare Contractors as potential improper payment billing errors on medical related issues or procedures. <b>Corrective Actions</b> were established in response to OIG/GAO inquiry requiring setting up a process of tracking vulnerabilities. The main goal of the corrective action process is prevent future improper payments from occurring within the Medicare program. This series includes records that support this process, and primarily includes tracking data and copies of, or data from, related corrective actions reports; other records that support the process may be included, such as payment data, contractor and/or provider data, and correspondence.</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                                <b>Inactive</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?        <b>No</b></p> <p>Inactive Status Explanation            <b>This item is inactive because it was superseded by New Disposition Authority Number: DAA-0440-2015-0012-0001</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Cutoff at the end of the year the corrective action was taken.</b></p> <p>Retention Period                         <b>Destroy 5 year(s) after cutoff.</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                              <b>Not Required</b></p>
2	<p><b>Program Vulnerability Tracking System (closed series)</b></p> <p>Disposition Authority Number      <b>DAA-0440-2014-0001-0002</b></p> <p><b>The Program Vulnerability Tracking System (PVTS) was retired in March 2013 and there are no plans to migrate PVTS to another CMS system. PVTS was a centralized repository used for the tracking of vulnerabilities/corrective actions between CMS components and Medicare Contractors (Medicare Administrative Contractors (MACs)/Zone Program Integrity Contractors (ZPICs)). The PVTS</b></p>

data collected and saved Medicare claim information that could be used by CMS as a supporting document by resolving all significant issues and program vulnerabilities for the corrective action reporting process. CMS is now tracking these vulnerabilities internally using MS Access and Excel. Data is from September 12, 2012 through March 4, 2013.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

**Disposition Instruction**

Cutoff Instruction **Cutoff at the end of the year of the formal system closeout.**

Retention Period **Destroy 5 year(s) after cutoff.**

**Additional Information**

GAO Approval **Not Required**

## 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
11/19/2013	Certify	Victoria Robey	Records Officer	Office of Strategic Operations and Regulatory Affairs - Issuances and Records Management Group
05/26/2015	Return for Revision	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
09/08/2015	Submit For Certification	Tony Tucker	Records Officer	Office of Strategic Operations and Regulatory Affairs - OSORA
10/05/2015	Certify	Tony Tucker	Records Officer	Office of Strategic Operations and Regulatory Affairs - OSORA
10/14/2015	Submit for Concurrence	Lisa Clavelli	Supervisor, ACNR Appraisal Team 2	National Archives and Records Administration - Records Management Services
10/14/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/14/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/16/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist