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ODE NUMBER Description AUTHORITY To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740 6001 1. FROM Upgenge or establishment) NOTFICATION TO AGENCY Department of Health and Human Services 2 MIAOR SUBDIVISION OTHER CONTROL ADELPHI ROAD COLLEGE PARK, MD 20740 6001 Interpret of Health and Human Services 2 MIAOR SUBDIVISION OTHER Control Addition of Health and Human Services, Eva Fung, 410-786-7539 A MARE OF PERSON WITH WHOM TO CONFER Vickie Robey A CONFER Intel Coll Conference Vickie Robey ADATE INTEL Conference Vickie Robey INTEL Conference Vickie Robey INTEL Conference Vickie Robey INTEL Conference INTEL Conference Vickie Robey INTEL Conference Vickie Robey INTEL Conference Vickie Robey Vickie Robey Vickie Robey					
1. FROM (Agency or establishment) NOTFICATION TO AGENCY Department of Health and Human Services In accordance with the provisions of 44 U.S.C. 3203a, the disposition request, including amendments, is approved accept for items that may be marked "disposition on approved" or "wtbdrawn" in column 10. 3. MIOR SUBDIVISION Office of F-Health Standards and Services, Eva Fung, 410-786-7539 4. NAME OF PERSON WITH WHOM TO CONFER 5. TELEPHONE NUMBER (410) 786-7883 DATE DATE 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 disposition of specificd; and that written concurrence from the Centeral Accounting Office, under the provisions of Title 8 of the AGOM Manual for Guidance of Federal Agencies, X is not required is attached; or Inab been requested. Younne Wilson 8. DESCRIPTION OF ITEL AND PROPOSED DISPOSITION SUPERSENED JOB 1 The attached schedule is for the electronic system, Administrative Simplification Enforcement Tool (ASET) Vicine Records Management Officer 1 The attached schedule is for the electronic system, Date: OGC Concurrence, Ward, War	REQUEST	FOR RECORDS DISPOSITION AUTHORITY			
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INACTIVE - ALL ITEMS SUPERSEDED

ASET contains documentation of public complaints pertaining to the Administrative Simplifications provisions of the Health Insurance Portability and Accountability Act of 1996 (HIPAA) ASET enables the Centers for Medicare & Medicaid Services (CMS) to collect, review, and manage documentation submitted by both the complainant and the Filed Against Entity (FAE), in order to evaluate the facts and determine if there are any issues related to compliance with the HIPAA regulations The regulations for which CMS has enforcement authority include The Transactions and Code Sets (TCS), the National Employer Identifier Number (EIN), and the National Provider Identifier (NPI) From 2003 through the summer of 2009, CMS did have authority to enforce the Security Rule, but on July 27, 2009, the Secretary of Health and Human Services transferred the authority to administer and enforce the Security Rule from CMS to the Office for Civil Rights

1-Input/Sources

(a) <u>Paper inputs</u> Paper inputs (complaint letters and forms downloaded from CMS website or mailed to CMS) scanned/entered into ASET from public and government sources. Inputs include filed complaint forms downloaded, and documentation to support an allegation of non-compliance filed against an organization and responses from the FAE (e.g. letters, policies, contracts, copies of other appropriate corporate documents, and corrective action plans)-

DISPOSITION-Temporary-Delete 30 days after verifying successful entry of data per quality assurance procedures, pursuant to CMS Information, Eligibility, and Entitlement Manual Publication 100-01, Chapter 7, Section 30-Contract Administrative Requirements/Files Maintenance (GRS 20/2a4)

-(b)-<u>Electronic-inputs</u>-Electronic-inputs-uploaded directly-into-ASET-periodically-from-public and government-sources and are accessible to CMS-Inputs include-filed complaint forms and documentation to-support an allegation of non-compliance filed against an organization and responses from the FAE (e.g. letters, policies, contracts, copies of other appropriate corporate documents, and corrective action plans)-Inputs also include correspondence with the CMS-Office of Civil-Rights, CMS-Contractor Enforcement Team recommendations for FAE responses, compliance review reports and documentation, and audit reports from the CMS-Office of the Inspector General-

DISPOSITION_Temporary_Delete when data have been entered into the master file or database and verified, or when no longer need to support reconstruction of, or serve as backup to, the master file or database, whichever is later (GRS 20/2c)

2 ASET Master File – The master file contains complaints and documentation to support allegations of non-compliance filed against an organization, responses from the FAE (e g, letters, policies, contracts, copies of other appropriate corporate documents, and corrective action plans); correspondence with CMS Office of Civil Rights, CMS Contractor Enforcement Team recommendations for FAE responses, compliance reviews reports and documentation, audit reports from CMS Office of the Inspector General The HIPAA Information Tracking System (HITS) (a sub-system of ASET) maintains compliant data for tracking HIPAA compliance enforcement and reports

DISPOSITION Temporary Destroy/delete 6 years after the CY in which the case is closed (includes complaints, compliance reviews and any other entries)

3._Outputs...Hard.copy.printouts-created.to-meet.ad.hoc.business-needs-(e-g., Enforcement.Trends Reports, Tracking-Reports, Open Case Reports, CMS-Outstanding Action Item Reports, and ASET Weekly-Statistics Reports)-

PREVIOUS EDITION NOT USABLE INACTIVE - ALL ITEMS SUPERSEDED

INACTIVE - ALL ITEMS SUPERSEDED

DISPOSITION Tempor Destroy when agency determines the ley are no longer needed for administrative, legal, audit-or other operational purposes- (GRS 20/16)

Superseded by job / Nem number

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0440-2015-0002-0001 DA Date (MM/DD/VVVY