

Request for Records Disposition Authority

Records Schedule Number DAA-0468-2015-0002
Schedule Status Approved
Agency or Establishment Department of Health and Human Services
Record Group / Scheduling Group General Records of the Department of Health and Human Services
Records Schedule applies to Major Subdivision
Major Subdivision Office of the Secretary
Minor Subdivision Office of Civil Rights
Schedule Subject Program Information Management System (PIMS)
Internal agency concurrences will be provided Yes

Background Information The Office for Civil Rights (OCR) of the U.S. Department of Health and Human Services (HHS) promotes and ensures that people have equal access to and opportunity to participate in and receive services in all HHS-funded programs without facing unlawful discrimination and that the privacy of their health information is protected while ensuring access to care.

The civil rights statutes enforced by OCR include Title VI of the Civil Rights Act of 1964 (Title VI), Section 504 of the Rehabilitation Act of 1973 (Section 504), Title II of the Americans with Disabilities Act of 1990 (Title II), Title VI and XVI of the Public Health Service Act (Hill-Burton Act), the Multi-Ethnic Placement Act (MEPA), the Age Discrimination Act of 1975 (Age Act), Title IX of the Education Amendments of 1972 (Title IX), provisions of the Omnibus Budget Reconciliation Act of 1981 relating to nondiscrimination in block grant programs, the Church Amendments, Section 245 of the Public Health Service Act and the Weldon Amendment (which prohibits discrimination against those who decline to participate in abortions or sterilization procedures), Section 1553 of the Affordable Care Act (ACA) (which prohibits discrimination against those who decline to participate in assisted suicide procedures), and Section 1557 of the ACA (which extends the application of existing federal civil rights laws prohibiting discrimination on the basis of race, color, national origin, sex, disability, or age to any health program or activity receiving federal financial assistance; any program or activity administered by an executive agency; or any entity established under Title I of the ACA). In addition, OCR is responsible for coordinating government-wide compliance with the Age Act. OCR also coordinates

Department-wide implementation of the Section 504 regulation adopted in 1988 that prohibits discrimination on the basis of disability in programs and activities conducted by the Department.

OCR assesses compliance with nondiscrimination, privacy and security regulations by processing and resolving complaints, overseeing and coordinating a nationwide civil rights pre-grant review program for new Medicare applicants, ensuring compliance with civil rights laws and regulations, conducting preventive compliance reviews, monitoring corrective action plans, and engaging in public education and technical assistance activities as additional means of achieving compliance with nondiscrimination, privacy and security requirements.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	0	3	0

GAO Approval

Outline of Records Schedule Items for DAA-0468-2015-0002

Sequence Number	
1	Program Information Management System (PIMS)
1.1	Complaint Case Files Disposition Authority Number: DAA-0468-2015-0002-0001
1.2	Outreach Case Files Disposition Authority Number: DAA-0468-2015-0002-0002
1.3	Administration Files Disposition Authority Number: DAA-0468-2015-0002-0003

Records Schedule Items

Sequence Number

1 Program Information Management System (PIMS)
The Program Information Management System (PIMS) is a case management, workflow, and electronic document system. The system encompasses a variety of records having to do with complaints, reviews, and correspondence. The complaint files and log include complaint allegations, information gathered during the complaint investigation, findings and results of the investigation, outreach records, and correspondence relating to the investigation, as well as status information for all complaints. OCR receives case information via OCR's portal, website, email, hard copy, fax, phone calls and in person. This schedule only applies to records that are stored in PIMS, which was launched in 2003. Any OCR records that predate the system will remain scheduled under their previous authorities as stated in N1-235-82-1.

1.1 Complaint Case Files

Disposition Authority Number DAA-0468-2015-0002-0001

The scope of cases within the system includes but is not limited to: • Civil Rights Clearance for Medicare provider applicants requesting participation in Medicare Part A. Note: within OCR these records are called "pre-grants". • complaints filed by persons and groups and/or their representatives regarding discrimination in health care and social service programs of state and local governments funded by HHS • complaints filed by persons, groups, and/or their representatives regarding health information privacy rights or violations of the HIPAA Privacy or Security Rule • Compliance reviews on behalf of OCR • Breach Notifications required by HIPAA covered entities and their business associates to provide notification following a breach of protected health information • Audit Program which assess HIPAA and/or Security Rule compliance efforts by a range of covered entities. The case files contain the findings, recommendations, working files, drafts, and background materials used for the review. The system maintains an audit trail of all actions against the database.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation Not Media Neutral. This system only contains electronic records

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

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Do any of the records covered by this item exist as structured electronic data?	Yes
Disposition Instruction	
Cutoff Instruction	Cutoff data at the close of case.
Retention Period	Destroy 15 years after cutoff, but longer retention is authorized if required for business use.
Additional Information	
GAO Approval	Not Required
Outreach Case Files	
Disposition Authority Number	DAA-0468-2015-0002-0002
<p>Outreach cases within the system include but are not limited to: cases that provide technical assistance to covered entities to help them understand how they can voluntarily comply with the law, and cases that help individuals and covered entities understand their rights and obligations under the laws that OCR enforces. The records in the case files include briefings, presentations, conferences, correspondence, and training. The workflow function within the system documents approval and closure of the outreach case.</p>	
Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	No
Explanation of limitation	Not Media Neutral. This system only contains electronic records
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?	Yes
Disposition Instruction	
Cutoff Instruction	Cutoff data at the close of case
Retention Period	Destroy 15 years after cutoff, but longer retention is authorized if required for business use.
Additional Information	
GAO Approval	Not Required

1.3

Administration Files

Disposition Authority Number **DAA-0468-2015-0002-0003**

The documents within the system capture the standard operating procedures and other administrative working files used to complete case work in OCR as described in items 0001 and 0002.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **Not Media Neutral. This system only contains electronic records**

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? **Yes**

Disposition Instruction

Cutoff Instruction **Cutoff data when superseded or obsolete.**

Retention Period **Destroy 3 years after cutoff, but longer retention is authorized if required for business use.**

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
02/10/2015	Certify	Elaine Pankey	HHS Office of the Secretary Records Officer	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
05/14/2015	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
06/04/2015	Submit For Certification	Karen Ballesteros	Management Analyst	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
06/04/2015	Certify	Elaine Pankey	HHS Office of the Secretary Records Officer	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
12/29/2015	Submit for Concurrence	Tom Cotter	Appraiser	National Archives and Records Administration - Records Management Services
12/29/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/29/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services

01/04/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist
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