

Request for Records Disposition Authority

Records Schedule Number DAA-0513-2020-0002

Schedule Status Approved

Agency or Establishment Indian Health Service

Record Group / Scheduling Group Records of the Indian Health Service

Records Schedule applies to Major Subdivision

Major Subdivision Office of Human Resources

Minor Subdivision Division of Personnel Security

Schedule Subject Hotline Records

Internal agency concurrences will be provided No

Background Information The Indian Health Service (IHS) Hotline is the process by which individuals can report allegations relating to waste, fraud, abuse or other misconduct. Complaints may be received via telephone, voicemail, email, facsimile, regular mail, submission through the Internet, or referrals from outside governmental agencies. The Division of Personnel Security reviews each complaint and makes the following determination:

- Complaint has sufficient information for administrative review and case file is created
- Complaint is potentially criminal in nature and referred to the Department of Health and Human Services (HHS) Office of Inspector General (OIG)
- Complaint is rejected due to lack of information or it is outside of IHS's jurisdiction

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	0	4	0

GAO Approval

Outline of Records Schedule Items for DAA-0513-2020-0002

Sequence Number	
1	Hotline Complaint Files Disposition Authority Number: DAA-0513-2020-0002-0001
2	Hotline Complaint Referral Files Disposition Authority Number: DAA-0513-2020-0002-0002
3	Non Reviewable Hotline Complaints Disposition Authority Number: DAA-0513-2020-0002-0003
4	Hotline Tracking System Disposition Authority Number: DAA-0513-2020-0002-0004

Records Schedule Items

Sequence Number	
1	<p>Hotline Complaint Files</p> <p>Disposition Authority Number DAA-0513-2020-0002-0001</p> <p>Case files created in response to assertions of fraud, waste, and/or abuse in connection with the programs and operations of the Indian Health Service (IHS). Includes copy of complaint, notes, correspondence with alleged violating office or program, report of findings, recommendations, and corrective actions.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off file on date case is closed.</p> <p>Retention Period Destroy 15 year(s) after cut off.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Hotline Complaint Referral Files</p> <p>Disposition Authority Number DAA-0513-2020-0002-0002</p> <p>Consists of incoming hotline complaints initially referred to the Office of Inspector General (OIG) due to the concern that the complaint might be criminal in nature but then remanded back to the agency by OIG for administrative review. Includes copy of hotline complaint, notes, correspondence with alleged violating office or program, report of findings, recommendations, and corrective actions.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p>

3	Disposition Instruction	
	Cutoff Instruction	Cut off file on date case is closed.
	Retention Period	Destroy 15 year(s) after cut off.
	Additional Information	
	GAO Approval	Not Required
	Non Reviewable Hotline Complaints	
	Disposition Authority Number	DAA-0513-2020-0002-0003
	Consists of allegations of fraud, waste, and/or abuse that are unclear, vague or unsupported and do not warrant the establishment of a formal hotline complaint file. This includes hotline complaints that involve tribal matters. Includes copy of complaint and correspondence.	
	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?	No	
4	Disposition Instruction	
	Cutoff Instruction	Cut off file on date complaint is rejected for processing.
	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Hotline Tracking System	
	Disposition Authority Number	DAA-0513-2020-0002-0004
	Database created to track hotline complaints. Includes the following data: hotline control number and office generated number to track the case internally.	
	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?	No	

Disposition Instruction

Cutoff Instruction

Cut off database entries each calendar year.

Retention Period

Destroy 15 year(s) after case has been closed.

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
01/03/2020	Certify	Christopher Forney	Records Management Officer	Indian Health Service - Division of Administrative Services
02/11/2020	Return for Revision	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
03/11/2020	Submit For Certification	Christopher Forney	Records Management Officer	Indian Health Service - Division of Administrative Services
03/11/2020	Certify	Christopher Forney	Records Management Officer	Indian Health Service - Division of Administrative Services
06/05/2020	Submit for Concurrence	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
06/16/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
06/16/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
06/17/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist