

Request for Records Disposition Authority

Records Schedule Number DAA-0015-2021-0002

Schedule Status Approved

Agency or Establishment Department of Veterans Affairs

Record Group / Scheduling Group Records of the Department of Veterans Affairs

Records Schedule applies to Department-wide

Schedule Subject Privacy Compliance Assurance (PCA) Performance Audit Case File
for Business Associate Audits

Internal agency concurrences will
be provided No

Background Information The records within the Privacy Compliance Assurance (PCA) Performance Audit Case File for Business Associate Audits contain information on the entire lifecycle of each individual PCA Performance Audit of Business Associates of VHA. The PCA Performance Audit Case File for Business Associates consists of electronic records that prepare PCA and the audited Business Associate for a Performance Audit by PCA. It includes electronic data entered an electronic Compliance Auditing Tool (eCAT) used to document the findings of the PCA Audit Team and the compliance status of the audited Business Associate. The case file includes all documents that inform the facility of the audit; prepare the Business Associate and PCA for the audit; document the compliance status of the audited Business Associate; document remediation actions taken by the Business Associate and oversight services provided by PCA during the Post Audit Oversight period.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
1	0	1	0

GAO Approval

Outline of Records Schedule Items for DAA-0015-2021-0002

Sequence Number

1	Performance Audit Case File for Business Associate Audits Disposition Authority Number: DAA-0015-2021-0002-0001
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Records Schedule Items

Sequence Number		
1	<p>Performance Audit Case File for Business Associate Audits</p> <p>Disposition Authority Number DAA-0015-2021-0002-0001</p> <p>All documents generated for these purposes will be uploaded into the eCAT for the audit and housed in an electronic Compliance Auditing Database (eCAD) by eCAT, which will constitute the Performance Audit Case File for Business Associate Audits for the audit (case). All PCA Performance Audit Case Files for Business Associate Audits will be maintained in accordance with the requirements of the Health Insurance Portability and Accountability Act (HIPAA), Privacy Rule, which mandates that these audit records be available to present to the Secretary of Health and Human Services upon request for a period of 6 years. (45 C.F.R. §§160.310 and 164.5300). Electronic Files. Electronic records that make up the Performance Audit Case File for Business Associate Audits.</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>	
	Manual Citation	Manual Title
	New	Records Control Schedule (RCS 10-1)
	<p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff at the end of FY after official closure of Performance Audit for Business Associates, including completion of all follow-up actions</p> <p>Retention Period Destroy 7 year(s) after cut off.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>	

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
12/08/2020	Certify	Martin Hill	Program Analyst	Office of Information and Technology - Enterprise Records Service
01/04/2022	Submit for Concurrency	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
01/07/2022	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/07/2022	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
01/10/2022	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist