

Request for Records Disposition Authority

Records Schedule Number **DAA-0478-2014-0005**
Schedule Status **Approved**

Agency or Establishment **Office of Personnel Management**
Record Group / Scheduling Group **Records of the Office of Personnel Management**
Records Schedule applies to **Major Subdivision**
Major Subdivision **Planning and Policy Analysis**
Schedule Subject **Health Claims Data Warehouse**
Internal agency concurrences will be provided **No**

Background Information **The HCDW will receive and analyze health claims from fee-for-service (FFS) insurance carriers and data from health maintenance organizations (HMOs) from current and future OPM health benefit programs to support management and administrative purposes for Federal Employees Health Benefits (FEHB) Program.**

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of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GAO Approval

Outline of Records Schedule Items for DAA-0478-2014-0005

Sequence Number	
1	Inputs Disposition Authority Number: DAA-0478-2014-0005-0001
2	Master File Disposition Authority Number: DAA-0478-2014-0005-0002
3	Outputs Disposition Authority Number: DAA-0478-2014-0005-0003
4	System Documentation Disposition Authority Number: DAA-0478-2014-0005-0004
5	Backups
5.1	Full backups Disposition Authority Number: DAA-0478-2014-0005-0005
5.2	Differential backups Disposition Authority Number: DAA-0478-2014-0005-0006

Records Schedule Items

Sequence Number	
1	<p>Inputs</p> <p>Disposition Authority Number DAA-0478-2014-0005-0001</p> <p>The HCDW will receive the following types of information: Medical Claims Information Enrollment Information and Provider Information The HCDW will receive fee-for-service carrier and/or plan data from the Office of Personnel (OPM), Office of the Inspector General (OIG). The OIG currently receives information from the following carriers - BlueCross BlueShield; Government Employees Health Association; Mail Handlers Benefit Plan; Rural Carrier Benefit Plan; Foreign Service Benefit Plan; Medco RX Drug Data and Caremark RX Drug Data. The OIG plans two additional carrier feeds National Association of Letter Carriers (NALC) and American Postal Worker Union (APWU). The HCDW will also alternatively receive Health Maintenance Organizations (HMO) information via separate data transmission to the HCDW environment hosted in OPM's data center in Theodore Roosevelt Building (TRB) by the Office of Chief Information Officer.</p> <p>Final Disposition Temporary</p> <p>Item Status Withdrawn</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>Withdrawn Status Explanation Item is scheduled under GRS 20/2b.</p> <p>Disposition Instruction</p> <p>Retention Period Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as backup to, a master file or database, whichever is later. (N1-GRS-87-5 item 2b)</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Master File</p> <p>Disposition Authority Number DAA-0478-2014-0005-0002</p> <p>The HCDW contains medical claims information, enrollment information, and provider Information from carriers and plans. PII contained in the system will be</p>

used to generate a system unique individual identifier/record key that will be used to build de-identified longitudinal records for analysis purposes.

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? Yes

Disposition Instruction

Cutoff Instruction Cutoff each fiscal year

Retention Period Destroy 7 year(s) after cutoff

Additional Information

GAO Approval Not Required

Outputs

Disposition Authority Number DAA-0478-2014-0005-0003

The outputs from the HCDW include: De-identified public use files. Longitudinal analysis reports for analysis purposes.

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 Cutoff each fiscal year

Retention Period Destroy 1 year(s) after cutoff

Additional Information

GAO Approval Not Required

System Documentation

Disposition Authority Number DAA-0478-2014-0005-0004

3

4

Certification and Accreditation documents, individual user manuals, model descriptors and system data requirements. Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports.

Final Disposition Temporary

Item Status Withdrawn

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

Withdrawn Status Explanation Item is scheduled under GRS 20/11a1.

Disposition Instruction

Retention Period Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or database. (GRS 20, 11a[1])

Additional Information

GAO Approval Not Required

Backups

Full backups

Disposition Authority Number DAA-0478-2014-0005-0005

Full backups are performed on all servers at least once a week, usually on the weekend.

Final Disposition Temporary

Item Status Withdrawn

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

Withdrawn Status Explanation This item is scheduled under GRS 24/4a2.

Disposition Instruction

Retention Period (A) Destroy or delete when second back up is verified as successful or when no longer needed for system restoration, administrative, legal, or other audit purposes, whichever is later. GRS 24, 4a1.

5

5.1

5.2	Additional Information	
	GAO Approval	Not Required
	Differential backups	
	Disposition Authority Number	DAA-0478-2014-0005-0006
	Differential backups are performed on all servers on all other days.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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
	Withdrawn Status Explanation	Item is scheduled under GRS 24/4a1.
	Disposition Instruction	
	Retention Period	(B) Destroy or delete when superseded by a full backup, or when no longer needed for system restoration, whichever is later. GRS 24, 4a2.
	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
04/17/2014	Certify	Tanya Bennett	Chief Records Management and Data Policy	CIO - Information Management
07/01/2014	Submit for Concurrence	David Weber	for	National Archives and Records Administration - Records Management Services
07/07/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
07/08/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
07/09/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist