

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2015-0002

Status: INACTIVE  
Date Approved: 01/04/2016

## General Information

Agency or Establishment	Department of Health and Human Services
Record/Scheduling Group	0468 - General Records of the Department of Health and Human Services
Records Schedule Applies To	Agency Subdivision
Major Subdivision	Office of the Secretary
Minor Subdivision	Office of Civil Rights
Schedule Subject	Program Information Management System (PIMS)
Additional Schedule Information	<p>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.</p> <p>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</p>

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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.

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Is There a Classified Version of This Schedule?

No

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Is consultation and coordination with Tribal Governments required?

Predate requirement

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## Item Count

Total number of disposition items: 3

Number of Temporary disposition items: 3

Number of Permanent disposition items: 0

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 3

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

Item #	Title	Disposition
0001	Program Information Management System (PIMS) : Complaint Case Files	Temporary
0002	Program Information Management System (PIMS) : Outreach Case Files	Temporary
0003	Program Information Management System (PIMS) : Administration Files	Temporary

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Records Schedule Items

Group Title	Program Information Management System (PIMS)
Group Description	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.
DAA-0468-2015-0002-0001	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Complaint Case Files
Item Description	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.

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Is this item media neutral?	No
Media limitation	Digital only
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. Superseded by DAA-0468-2023-0001-0002 on 05/13/2024.	
Final Disposition	Temporary
Cutoff Instructions	Other: Cutoff data at the close of case.
Retention Period	Other: Destroy 15 years after cutoff, but longer retention is authorized if required for business use.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No
DAA-0468-2015-0002-0002	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Outreach Case Files
Item Description	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.
Is this item media neutral?	No
Media limitation	Digital only
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No

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DISPOSITION INSTRUCTION	
DO NOT USE. Superseded by DAA-0468-2023-0001-0004 on 05/13/2024.	
Final Disposition	Temporary
Cutoff Instructions	Other: Cutoff data at the close of case
Retention Period	Other: Destroy 15 years after cutoff, but longer retention is authorized if required for business use.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No
DAA-0468-2015-0002-0003	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Administration Files
Item Description	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.
Is this item media neutral?	No
Media limitation	Digital only
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. Superseded by DAA-0468-2023-0001-0005 on 05/13/2024.	
Final Disposition	Temporary
Cutoff Instructions	Other: Cutoff data when superseded or obsolete.
Retention Period	Other: Destroy 3 years after cutoff, but longer retention is authorized if required for business use.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

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Signatory Information

Action	User	Date
Accept	Data Migration	02/10/2015
Approve	David Ferriero	01/04/2016