

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2012-0003

Status: APPROVED
Date Approved: 06/26/2013

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 Medicare Hearings and Appeals (OMHA)
Schedule Subject	Correspondence and Subject Files of the Office of the Chief Judge of the Office of Medicare Hearings and Appeals (OMHA)
Additional Schedule Information	<p>The Office of Medicare Hearings and Appeals (OMHA) is a part of the U.S. Department of Health and Human Services (HHS) and reports directly to the Secretary of HHS. OMHA is responsible for adjudicating Level 3 of the Medicare claims appeal process, certain Medicare entitlement appeals, and Part B premium appeals.</p> <p>OMHA was created by the Medicare Modernization Act of 2003 to simplify the appeals process and make it more efficient. During an appeal, an OMHA Administrative Law Judge conducts a new ("de novo") review of an appellant's case and issues a decision based on the facts and the law.</p> <p>The Office consists of four field offices and a headquarters office. Each of the field office Managing Administrative Law Judges is responsible for his or her office and works under the direction of the Chief Administrative Law Judge.</p>
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	Predate requirement

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Item Count

Total number of disposition items: 6

Number of Temporary disposition items: 4

Number of Permanent disposition items: 2

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 2

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Outline of Records Schedule Items for DAA-0468-2012-0003

Item #	Title	Disposition
0001	Office of the Chief Administrative Law Judge Briefing Books : Briefing Books of the Chief Administrative Law Judge (CALJ) and Deputy Chief Administrative Law Judge (DCALJ) of the Office of Medicare Hearings and Appeals (OMHA)	Permanent
0002	Official Correspondence Files of the Chief Administrative Law Judge (CALJ) and Deputy Chief Administrative Law Judge (DCALJ) : Official Correspondence of the Chief Administrative Law Judge (CALJ) and Deputy Chief Administrative Law Judge (DCALJ) of the Office of Medicare Hearings and Appeals	Permanent
0003	Official Correspondence Files of the Chief Administrative Law Judge (CALJ) and Deputy Chief Administrative Law Judge (DCALJ) : Working Correspondence Files	Temporary
0004	OMHA Administrative Law Judge and Attorneys Files : OMHA Administrative Law Judge and Attorneys Program Files	Temporary
0005	OMHA Administrative Law Judge and Attorneys Files : OMHA Administrative Law Judge and Attorneys Administrative Files	Temporary
0006	OMHA Training Records : OMHA Training Records	Temporary

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Records Schedule Items

Group Title	Office of the Chief Administrative Law Judge Briefing Books
Group Description	Daily Official schedules, talking points, accepted invitations, travel agendas, meeting agendas, handouts of information material, annotated speeches , final copies of speeches, handwritten notes and comments, lists of meeting attendees, calendars, logs, briefing books, issue papers, information that the Chief Administrative Law Judge (CALJ) and Deputy Chief Administrative Law Judge (DCALJ) of OMHA should be made aware of, and other records documenting telephone calls and other activities of the CALJ/DCALJ of OMHA.
DAA-0468-2012-0003-0001 STATUS: Active	
ITEM GENERAL INFORMATION	
Item Title	Briefing Books of the Chief Administrative Law Judge (CALJ) and Deputy Chief Administrative Law Judge (DCALJ) of the Office of Medicare Hearings and Appeals (OMHA)
Item Description	Daily Official schedules, talking points, accepted invitations, travel agendas, meeting agendas, handouts of information material, annotated speeches , final copies of speeches, handwritten notes and comments, lists of meeting attendees, calendars, logs, briefing books, issue papers, information that the Chief Administrative Law Judge (CALJ) and Deputy Chief Administrative Law Judge (DCALJ) of OMHA should be made aware of, and other records documenting telephone calls and other activities of the CALJ/DCALJ of OMHA.
Is this item media neutral?	Yes
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	
Final Disposition	Permanent
Cutoff Instructions	Other: Cutoff at the end of each calendar year in which created or received.
Are there multiple instructions for this item?	No

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Transfer Instruction	Other: Transfer paper records to the National Archives in four year blocks when the most recent records in the block are 15 years old. Transfer electronic records in four year blocks after cutoff.
ADDITIONAL INFORMATION	
Approximate first year of records covered by this authority	2005
Date span of the initial transfer	From: --/--/2005 To: --/--/2009
Frequency of transfer	4
Are any of the records covered by this item subject to a FOIA exemption?	

Group Title	Official Correspondence Files of the Chief Administrative Law Judge (CALJ) and Deputy Chief Administrative Law Judge (DCALJ)
Group Description	Official record copies of correspondence (including electronic mail) and associated background materials (copies of incoming and outgoing memorandums, comments, drafts and similar documents) of the Chief Administrative Law Judge (CALJ) and Deputy Chief Administrative Law Judge (DCALJ). These files are maintained at the Field Office Level or above in OMHA headquarters and accumulated by Field Office and headquarters directors and their immediate staffs, documenting policy-making decisions or significant program management functions.

DAA-0468-2012-0003-0002 STATUS: Active

ITEM GENERAL INFORMATION	
Item Title	Official Correspondence of the Chief Administrative Law Judge (CALJ) and Deputy Chief Administrative Law Judge (DCALJ) of the Office of Medicare Hearings and Appeals
Item Description	Incoming and outgoing official correspondence, reports and other records that directly relate to the primary mission of OMHA and document the policies, programs and organizational structures established to fulfill the primary mission of the agency. Records date from 2005 and are maintained at the headquarters level, accumulated by the Director of Programs and Operations and their immediate staffs. This includes correspondence as it relates to Congressional Inquiries, final versions of the Delegations of Authority, Organizational Charts and Functional Statements, and related records that document the essential organization, staffing and procedures of the office.

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Is this item media neutral?	Yes
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	
Final Disposition	Permanent
Cutoff Instructions	Other: Cut off at the end of each fiscal year in which created or received.
Are there multiple instructions for this item?	No
Transfer Instruction	Other: Transfer paper records to the National Archives in four year blocks when the most recent records in the block are 15 years old. Transfer electronic records in four year blocks after cutoff.
ADDITIONAL INFORMATION	
Approximate first year of records covered by this authority	2005
Date span of the initial transfer	From: --/--/2005 To: --/--/2009
Frequency of transfer	4
Are any of the records covered by this item subject to a FOIA exemption?	
DAA-0468-2012-0003-0003	
STATUS: Active	
ITEM GENERAL INFORMATION	
Item Title	Working Correspondence Files
Item Description	Drafts, notes, comments, internal communications, and related working papers generated in the course of creation and review of the Official Correspondence, item 0002 of this schedule.
Is this item media neutral?	Yes
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	
Final Disposition	Temporary

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Cutoff Instructions	Other: Cutoff at the close of the fiscal year in which created or received.
Retention Period	Destroy 3 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

Group Title	OMHA Administrative Law Judge and Attorneys Files
Group Description	Background information, internal government communications, notes, research materials, and pre-decisional documents created by the Administrative Law Judges, attorneys and legal team staff on behalf of the Chief Administrative Law Judge (CALJ) and Deputy Chief Administrative Law Judge (DCALJ) of OMHA.
DAA-0468-2012-0003-0004 STATUS: INACTIVE - NOT FOR USE	

ITEM GENERAL INFORMATION	
Item Title	OMHA Administrative Law Judge and Attorneys Program Files
Item Description	Background information, internal government communications, notes, research materials, and pre-decisional documents created by the headquarters Administrative Law Judges, attorneys and legal team staff on behalf of the Chief Administrative Law Judge (CALJ) and Deputy Chief Administrative Law Judge (DCALJ) of OMHA that directly relate to the essential primary purpose of OMHA. (Note: Final decisional documents are transferred to the Centers for Medicare and Medicaid Services (CMS) upon issuance of OMHA's final disposition. In the event of a suspected fraud referral, the Office of Inspector General (OIG) obtains evidence from CMS. All evidence is maintained by CMS and OIG as OMHA does not retain jurisdictional authority over these records once a final decision has been issued.)
Is this item media neutral?	Yes
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

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DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0468-2023-0003-0001 on 04/11/2024.	
Final Disposition	Temporary
Cutoff Instructions	Other: Cutoff on the date that the decision letter is mailed.
Retention Period	Destroy 3 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No
DAA-0468-2012-0003-0005	
STATUS: INACTIVE - NOT FOR USE	
ITEM GENERAL INFORMATION	
Item Title	OMHA Administrative Law Judge and Attorneys Administrative Files
Item Description	Files that relate to administrative support activities, that includes but is not limited to staffing and procedures not directly related to the essential primary purpose of OMHA, includes training materials developed by OMHA staff (such as subject matter trainings developed for attorney and administrative staff), certificates of completion of training courses, and standard operating procedures that do not document OMHA policies.
Is this item media neutral?	Yes
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. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0468-2023-0003-0002 on 04/11/2024.	
Final Disposition	Temporary
Cutoff Instructions	Other: Cutoff when final records copy has been created.
Retention Period	Destroy 3 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

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Group Title	OMHA Training Records
Group Description	Record copy of manuals, syllabuses, textbooks and other training aids developed by OMHA for Administrative Law Judge, attorney and staff training related to the primary mission of OMHA. The courses provided to OMHA staff include but are not limited to continuing education training on Medicare law, management and leadership, and human capital issues.
DAA-0468-2012-0003-0006	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	OMHA Training Records
Item Description	Record copy of manuals, syllabuses, textbooks and other training aids developed by OMHA for Administrative Law Judge, attorney and staff training related to the primary mission of OMHA. The courses provided to OMHA staff include but are not limited to continuing education training on Medicare law, management and leadership, and human capital issues. This item also includes any drafts and notes created in the development of these records.
Is this item media neutral?	Yes
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	
Final Disposition	Temporary
Cutoff Instructions	Other: Cut off at end of fiscal year in which training materials are revised or superseded.
Retention Period	Destroy 3 year(s) after cutoff
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	03/08/2012
Approve	David Ferriero	06/26/2013