

## Request for Records Disposition Authority

Records Schedule Number           DAA-0440-2015-0002

Schedule Status                    Approved

  

Agency or Establishment           Centers for Medicare and Medicaid Services

Record Group / Scheduling Group   Records of the Centers for Medicare and Medicaid Services

Records Schedule applies to       Agency-wide

Schedule Subject                    Bucket 2- Administrative Management

Internal agency concurrences will be provided   No

Background Information            CMS is proposing a big bucket approach to records scheduling and disposition, which will include the following buckets:

- Bucket 1 - Leadership and Operations
- Bucket 2 - Administrative Management
- Bucket 3 - Financial Records (programmatic)
- Bucket 4 - Enrollment Records
- Bucket 5 - Beneficiary Records
- Bucket 6 - Provider & Health Plan Records
- Bucket 7 - Research and Program Analysis (programmatic)
- Bucket 8 - Public Outreach and Engagement
- Bucket 9 - Compliance and Integrity

A crosswalk is provided documenting the relationship of these buckets with previously approved disposition authorities.

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of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

### GAO Approval

## Outline of Records Schedule Items for DAA-0440-2015-0002

Sequence Number	
1	Administrative Management Records Disposition Authority Number: DAA-0440-2015-0002-0001
2	Routine Administrative Records Disposition Authority Number: DAA-0440-2015-0002-0002

## Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 870 411"><b>Administrative Management Records</b></p> <p data-bbox="345 436 1149 468">Disposition Authority Number      <b>DAA-0440-2015-0002-0001</b></p> <p data-bbox="345 493 1489 638">Non-substantive records that support leadership and/or general administration of all CMS programs. Includes background files related to records in other buckets as well as records of leadership positions below the Administrator and other principals. See crosswalk for additional detail.</p> <p data-bbox="345 663 919 695">Final Disposition                      <b>Temporary</b></p> <p data-bbox="345 720 850 751">Item Status                              <b>Active</b></p> <p data-bbox="345 777 818 808">Is this item media neutral?          <b>Yes</b></p> <p data-bbox="345 833 805 865">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>No</b></p> <p data-bbox="345 968 1170 1946">GRS or Superseded Authority Citation      <b>DAA-0440-2012-0008 / 0001 DAA-0440-2013-0008 / 0001 DAA-0440-2013-0008 / 0002 N1-440-01-03 / 1/e N1-440-05-02 / 1/b N1-440-05-02 / 2 N1-440-05-02 / 4 N1-440-09-02 / 1 N1-440-09-19 / 2/a N1-440-10-04 / 1/b N1-440-10-04 / 2/a N1-440-10-04 / 3 N1-440-10-05 / 1 N1-440-10-05 / 2 N1-440-10-05 / 3 N1-440-10-05 / 4 N1-440-10-05 / 5 N1-440-10-05 / 6 N1-440-10-05 / 7 NC1-440-79-01 / 7 NC1-440-79-02 / 1 NC1-440-79-02 / 11/a NC1-440-79-02 / 11/b NC1-440-82-04 / 3 NC1-440-82-04 / 8 NC1-440-82-04 / 10</b></p>

	NC1-440-82-04 / 11 NC1-440-82-04 / 29/a N1-440-94-01 / 2 NC1-440-82-04 / 29/b
Disposition Instruction	
Cutoff Instruction	Cutoff at the end of the calendar year.
Retention Period	Destroy no sooner than 7 year(s) after cutoff but longer retention is authorized
Additional Information	
GAO Approval	Not Required
<b>Routine Administrative Records</b>	
Disposition Authority Number	DAA-0440-2015-0002-0002
<b>Routine program records supporting leadership and/or general administration of all programs. See crosswalk for additional detail.</b>	
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
GRS or Superseded Authority Citation	N1-440-01-03 / 1/d N1-440-02-02 / 1/b N1-440-07-01 / 3/a N1-440-07-01 / 3/b N1-440-07-01 / 7 N1-440-07-01 / 8/b N1-440-10-04 / 2/b N1-440-10-05 / 7 N1-440-11-01 / 1 NC1-440-79-01 / 1/b NC1-440-79-02 / 3 NC1-440-79-02 / 8 NC1-440-82-04 / 1 NC1-440-82-04/ 2/a N1-440-95-01 / 5/b N1-440-95-01 / 6/b N1-440-96-01 / 3 NC1-440-82-04 / 2/c NC1-440-79-02 1 2/b

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Disposition Instruction

Cutoff Instruction

Cutoff at the end of the calendar year.

Retention Period

Destroy no sooner than 3 year(s) after cutoff but longer retention is authorized

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
04/13/2015	Certify	Tony Tucker	Records Officer	Office of Strategic Operations and Regulatory Affairs - OSORA
05/02/2017	Return for Revision	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
05/04/2017	Submit For Certification	Carlos Simon	Records Officer	OSORA - IRISG
05/04/2017	Certify	Carlos Simon	Records Officer	OSORA - IRISG
08/08/2017	Submit for Concurrence	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
08/14/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/14/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/15/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

## Executive Summary

### Summary

The Centers for Medicare & Medicaid Services, Department of Health and Human Services, requests disposition authority for records related to program administration and operations. Proposed for temporary retention are non-substantive rulemaking records, lower-level leadership records, program-related agreements, and general program administrative records. These records have temporary value because they were previously approved as temporary, and do not document significant actions of Federal officials.

### Permanent Item Numbers

### Federal Register Notice

Required

### Publication Date

2017-04-03

### Copies Requested

1

### Comments Received

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