

Request for Records Disposition Authority

Records Schedule Number DAA-0440-2015-0004

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 3 - Financial Records

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of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GAO Approval

Outline of Records Schedule Items for DAA-0440-2015-0004

Sequence Number

1

Financial Records (Programmatic)

Disposition Authority Number: DAA-0440-2015-0004-0001

Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 829 411">Financial Records (Programmatic)</p> <p data-bbox="345 432 1149 464">Disposition Authority Number DAA-0440-2015-0004-0001</p> <p data-bbox="345 485 1476 600">Financial Records (non-GRS), regardless of CMS Program. Includes Medicare Part A, Part B, Part C, and Part D; Medicaid; CHIP; Affordable Health Care Act. See crosswalk for more detail.</p> <p data-bbox="345 621 919 653">Final Disposition Temporary</p> <p data-bbox="345 674 850 705">Item Status Active</p> <p data-bbox="345 726 818 758">Is this item media neutral? Yes</p> <p data-bbox="345 779 805 810">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 data-bbox="345 915 1167 978">GRS or Superseded Authority Citation DAA-0440-2012-0007 / 0001</p> <p data-bbox="760 957 1003 989">N1-440-00-03 / 1</p> <p data-bbox="760 999 1029 1031">N1-440-01-02 / 1/a</p> <p data-bbox="760 1041 1029 1073">N1-440-01-02 / 2/a</p> <p data-bbox="760 1083 1052 1115">NC1-440-79-01 / 7/2</p> <p data-bbox="760 1125 1029 1157">N1-440-04-03 / 1/a</p> <p data-bbox="760 1167 1003 1199">N1-440-09-05 / 2</p> <p data-bbox="760 1209 1003 1241">N1-440-09-08 / 2</p> <p data-bbox="760 1251 1029 1283">N1-440-09-11 / 1/b</p> <p data-bbox="760 1293 1003 1325">N1-440-09-14 / 1</p> <p data-bbox="760 1335 1003 1367">N1-440-09-16 / 2</p> <p data-bbox="760 1377 1003 1409">N1-440-10-01 / C</p> <p data-bbox="760 1419 1045 1451">NC1-440-79-01 / 17</p> <p data-bbox="760 1461 1045 1493">NC1-440-79-01 / 18</p> <p data-bbox="760 1503 1045 1535">NC1-440-79-01 / 25</p> <p data-bbox="760 1545 1045 1577">NC1-440-79-01 / 30</p> <p data-bbox="760 1587 1045 1619">NC1-440-79-01 / 35</p> <p data-bbox="760 1629 1045 1661">NC1-440-79-01 / 37</p> <p data-bbox="760 1671 1045 1703">NC1-440-79-01 / 38</p> <p data-bbox="760 1713 1045 1745">NC1-440-79-01 / 39</p> <p data-bbox="760 1755 1045 1787">NC1-440-79-01 / 47</p> <p data-bbox="760 1797 1045 1829">NC1-440-79-01 / 48</p> <p data-bbox="760 1839 1045 1871">NC1-440-79-01 / 50</p> <p data-bbox="760 1881 1045 1913">NC1-440-79-01 / 55</p> <p data-bbox="760 1923 1045 1955">NC1-440-79-01 / 57</p> <p data-bbox="760 1965 1045 1997">NC1-440-82-04 / 22</p> <p data-bbox="760 2007 1045 2039">NC1-440-83-01 / 2/a</p>

NC1-440-83-01 / 2b
NC1-440-83-02 / 1
NC1-440-84-01 / K
NC1-440-85-01 / 1
N1-440-87-01 / 1
N1-440-91-01 / 1
N1-440-91-02 / 1
N1-440-96-01 / 1
N1-440-94-01 / 1
N1-440-94-01 / 2
N1-440-95-01 / 14
N1-440-95-01 / 1
N1-440-95-01 / 3
N1-440-95-01 / 8
N1-440-99-02 / 2/a
NC1-440-79-01 / 7/26
N1-440-01-02 / 3/a
N1-440-01-02 / 3/b
N1-440-01-02 / 3/c/1/a
N1-440-01-02 / 3/c/1/c
N1-440-01-02 / 3/c/2

Disposition Instruction

Retention Period

Destroy no sooner than 7 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
04/28/2017	Return for Revision	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
05/01/2017	Submit For Certification	Carlos Simon	Records Officer	OSORA - IRISG
05/01/2017	Certify	Carlos Simon	Records Officer	OSORA - IRISG
07/06/2017	Submit for Concurrence	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
07/11/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/11/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/13/2017	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 the financial operations of all agency programs. Proposed for temporary retention are claims, checks, banking records, pricing records, payment processing systems, and loan records. These records have temporary value because they were previously approved as temporary, do not document significant actions of Federal officials, and are captured elsewhere in permanent records.

Permanent Item Numbers

Federal Register Notice

Required

Publication Date

2017-04-03

Copies Requested

1

Comments Received

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