

Request for Records Disposition Authority

Records Schedule Number DAA-0440-2015-0006
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 4 - Enrollment 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0440-2015-0006

Sequence Number

1	Enrollment Records Disposition Authority Number: DAA-0440-2015-0006-0001
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Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 630 411">Enrollment Records</p> <p data-bbox="345 432 1149 464">Disposition Authority Number DAA-0440-2015-0006-0001</p> <p data-bbox="345 485 1505 600">Enrollment Records for all CMS Programs. 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 1166 1682">GRS or Superseded Authority Citation DAA-0440-2012-0003 / 0001 N1-440-00-01 / 1 N1-440-08-01 / A N1-440-80-01 / B N1-440-09-04 / 2/a N1-440-09-04 / 2/b N1-440-09-04 / 2/c N1-440-09-12 / 1/b N1-440-09-18 / 2 N1-440-10-01 / A/1/a N1-440-10-01 / A/1/b N1-440-10-01 / A/2 N1-440-10-01 / A/3 N1-440-10-01 / B N1-440-10-01 / D N1-440-10-01 / F N1-440-95-01 / 10 NC1-440-79-01 / 14 NC1-440-81-01 / 5 N1-440-91-02 / 1</p> <p data-bbox="345 1724 659 1755">Disposition Instruction</p> <p data-bbox="345 1776 1295 1808">Cutoff Instruction Cutoff at the end of the calendar year.</p> <p data-bbox="345 1829 1446 1902">Retention Period Destroy no sooner than 7 year(s) after cutoff but longer retention is authorized</p>

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
05/10/2017	Return for Revision	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
05/10/2017	Submit For Certification	Carlos Simon	Records Officer	OSORA - IRISG
05/10/2017	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 enrollment. Proposed for temporary retention are certifications, questionnaires, surveys, and all other records related to enrollment into entitlement programs. 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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