

Request for Records Disposition Authority

Records Schedule Number DAA-0440-2015-0007

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 5 - Beneficiary 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0440-2015-0007

Sequence Number

1

Beneficiary Records

Disposition Authority Number: DAA-0440-2015-0007-0001

Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 634 411">Beneficiary Records</p> <p data-bbox="345 432 1149 464">Disposition Authority Number DAA-0440-2015-0007-0001</p> <p data-bbox="345 485 1505 558">Records that facilitate the management of beneficiaries (those eligible for all CMS programs). See crosswalk for additional detail.</p> <p data-bbox="345 579 919 611">Final Disposition Temporary</p> <p data-bbox="345 632 850 663">Item Status Active</p> <p data-bbox="345 684 818 716">Is this item media neutral? Yes</p> <p data-bbox="345 737 805 768">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="345 884 1167 1146">GRS or Superseded Authority Citation DAA-0440-2012-0009 / 0001 DAA-0440-2012-0013 / 0001 N1-440-09-06 / 2 N1-440-10-07 / 2/a N1-440-10-07 / 2/b N1-440-10-07 / 2/c N1-440-10-07 / 2/d</p> <p data-bbox="345 1188 659 1220">Disposition Instruction</p> <p data-bbox="345 1241 1297 1272">Cutoff Instruction Cutoff at the end of the calendar year.</p> <p data-bbox="345 1293 1463 1367">Retention Period Destroy no sooner than 10 year(s) after cutoff but longer retention is authorized</p> <p data-bbox="345 1409 656 1440">Additional Information</p> <p data-bbox="345 1461 951 1493">GAO Approval Not Required</p>

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 beneficiaries. Proposed for temporary retention are beneficiary listings, and all other records related to those eligible for CMS 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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