

Request for Records Disposition Authority

Records Schedule Number DAA-0440-2015-0008

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 6 - Provider and Health Plan 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0440-2015-0008

Sequence Number

1	Provider and Health Plan Records Disposition Authority Number: DAA-0440-2015-0008-0001
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Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 829 411">Provider and Health Plan Records</p> <p data-bbox="345 432 1149 464">Disposition Authority Number DAA-0440-2015-0008-0001</p> <p data-bbox="345 489 1507 674">Records related to health care providers affiliated with CMS programs. Records related to health care providers affiliated with CMS systems and programs. Includes provider applications and certifications; health plan records; program review and audit records; hearing files; and administrative records. See crosswalk for additional detail.</p> <p data-bbox="345 695 919 726">Final Disposition Temporary</p> <p data-bbox="345 747 850 779">Item Status Active</p> <p data-bbox="345 800 818 831">Is this item media neutral? Yes</p> <p data-bbox="345 852 805 978">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="345 999 1170 1946">GRS or Superseded Authority Citation DAA-0440-2012-0005 / 0001 DAA-0440-2012-0005 / 0002 DAA-0440-2012-0005 / 0009 DAA-0440-2012-0005 / 0010 DAA-0440-2012-0005 / 0012 DAA-0440-2013-0011 / 0001 DAA-0440-2013-0011 / 0002 N1-440-10-01 / E N1-440-02-02 / 1/a N1-440-02-02 / 2/b N1-440-02-02 / 3 N1-440-02-02 / 4 N1-440-01-06 / 1/f N1-440-01-01 / 1/a N1-440-01-01 / 1/b N1-440-01-01 / 1/c N1-440-01-01 / 1/d N1-440-01-01 / 1/e N1-440-01-01 / 1/f N1-440-99-02 / 1/a N1-440-99-02 / 1/b N1-440-99-02 / 3 N1-440-95-01 / 9/A/1 N1-440-95-01 / 9/A/1/a N1-440-95-01 / 9/A/2/a</p>

N1-440-95-01 / 9/A/2/b
N1-440-95-01 / 9/A/2/c
N1-440-95-01 / 9/A/2/d
N1-440-95-01 / 9/B/1/a
N1-440-95-01 / 9/B/2/a
N1-440-95-01 / 9/B/2/b
N1-440-95-01 / 15
N1-440-95-01 / 16
N1-440-93-04 / 2/c
NC1-440-81-01 / 2
NC1-440-81-01 / 3
NC1-440-80-04 / 1/A
NC1-440-80-04 / 1/B
NC1-440-80-04 / 2
NC1-440-80-04 / 3/A
NC1-440-80-04 / 3/B
NC1-440-80-04 / 4/A
NC1-440-80-04 / 4/B
NC1-440-80-04 / 5
NC1-440-80-04 / 6/A
NC1-440-79-01 / VII/15 (18)
NC1-440-79-01 / VII/II/30 (50)
NC1-440-79-01 / VII/8 (29)
NC1-440-79-01 / VII/36 (57)
NC1-440-79-01 / VII/30 (50)
NC1-440-79-01 / VI/III (80)
NC1-440-79-01 / V/II/F (28)
NC1-440-79-01 / III/HH
NC1-440-79-01 / II/IV/A (42)
NC1-440-79-01 / VII/II/14 (41)
NC1-440-79-01 / V/23 (44)
NC1-440-78-01 / A
NC1-440-78-01 / B
NC1-440-79-01 / VII/29

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
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
07/17/2017	Submit for Concurrence	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
07/24/2017	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
07/24/2017	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
07/25/2017	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 health care providers. Proposed for temporary retention are certifications, health plan records, review and audit records, records related to hearings, and general 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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