

## Request for Records Disposition Authority

Records Schedule Number           DAA-0440-2015-0009

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 7- Research and Program Analysis

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
- 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>

### GAO Approval

## Outline of Records Schedule Items for DAA-0440-2015-0009

Sequence Number	
1	Research and Program Analysis: Public Use, Statistical and Summary Files
1.1	Public Use Files and Reports Disposition Authority Number: DAA-0440-2015-0009-0001
1.2	Analytic and Research Files (restricted) Disposition Authority Number: DAA-0440-2015-0009-0002
2	Research and Program Analysis: Supporting Records Disposition Authority Number: DAA-0440-2015-0009-0003

## Records Schedule Items

Sequence Number	
1	<p>Research and Program Analysis: Public Use, Statistical and Summary Files Records that formally document CMS programs and facilitate research. This includes records created to allow analysis of CMS program use, implementation, and outcomes. These public use, statistical, and summary files include those related to specific CMS programs such as Medicare Parts A and B, Medicare Part D, and Medicaid. Also included are research files for special areas of public interest, such as Chronic Conditions and physician costs; as well as general research files on overall expenditures and health care codes.</p>
1.1	<p><b>Public Use Files and Reports</b></p> <p>Disposition Authority Number      <b>DAA-0440-2015-0009-0001</b></p> <p>Records created by CMS to support research and to document the efficiency of programs. Includes public use files (PUFs) created specifically for public use, primarily for research into utilization and implementation of all CMS programs. Includes datasets for public use and data manipulation, as well as static published reports based on CMS or third-party analysis. Includes those records that do not have access restrictions</p> <p>Final Disposition                      <b>Permanent</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?          <b>No</b></p> <p>Explanation of limitation              <b>Records are exclusively electronic.</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                      <b>Yes</b></p> <p>GRS or Superseded Authority Citation      <b>DAA-0440-2012-0013 / 0002</b> <b>DAA-0440-2013-0006 / 0001</b> <b>DAA-0440-2013-0006 / 0002</b> <b>N1-440-01-02 / 3/c/1/b</b> <b>N1-440-01-02 / 3/d/1</b> <b>N1-440-09-04 / 3/a</b> <b>N1-440-93-03 / 1</b> <b>N1-440-93-03 / 2</b> <b>N1-440-93-03 / 3</b> <b>N1-440-94-02 / 1</b></p>

### Disposition Instruction

Cutoff Instruction	Cutoff at the end of the calendar year.
Transfer to the National Archives for Accessioning	Transfer to the National Archives 5 year(s) after cutoff

### Additional Information

What will be the date span of the initial transfer of records to the National Archives?	From 1999 To 2015
How frequently will your agency transfer these records to the National Archives?	Every 1 Years

1.2

### Analytic and Research Files (restricted)

Disposition Authority Number	DAA-0440-2015-0009-0002
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Records created by CMS to support research and to document the efficiency of programs. Includes research and analytic files created for research into utilization and implementation of all CMS programs. Includes datasets as well as static published reports based on CMS or third-party analysis. Includes those records that have access restrictions, primarily due to the inclusion of personally identifiable information (PII) (see item 7A1 for records without any restrictions).

Final Disposition	Permanent
Item Status	Active
Is this item media neutral?	No
Explanation of limitation	Records are exclusively electronic.
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	N1-440-09-10 / 3/a

### Disposition Instruction

Transfer to the National Archives for Accessioning	Transfer to the National Archives 20 year(s) after cutoff
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### Additional Information

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What will be the date span of the initial transfer of records to the National Archives? From 1990 To 1997

How frequently will your agency transfer these records to the National Archives? Every 1 Years

### Research and Program Analysis: Supporting Records

Disposition Authority Number DAA-0440-2015-0009-0003

Records that support research and analysis of CMS programs, including systems used for analysis and reporting, demonstration and pilot records, and records related to participation in CMS-sponsored research projects.

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  
N1-440-04-01 / 1  
N1-440-04-01 / 2  
N1-440-04-01 / 3  
N1-440-09-03 / 1/b  
N1-440-09-10 / 2/a  
N1-440-09-10 / 2/b  
N1-440-09-15 / 2  
N1-440-10-03 / 2  
N1-440-11-02 / 1  
N1-440-11-02 / 2  
N1-440-11-04 / 1/a  
N1-440-11-04 / 1/b

### Disposition Instruction

Cutoff Instruction Cutoff at the end of the calendar year.

Retention Period Destroy 10 year(s) after cutoff or when no longer needed for agency business occurs, whichever is later

### 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
03/22/2017	Return for Revision	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
03/27/2017	Return for Revision	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
03/28/2017	Submit For Certification	Carlos Simon	Records Officer	OSORA - IRISG
03/28/2017	Return to Submitter	Carlos Simon	Records Officer	OSORA - IRISG
03/29/2017	Submit For Certification	Carlos Simon	Records Officer	OSORA - IRISG
03/29/2017	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 research and program analysis. Proposed for permanent retention are public use files, and other summarized data sets related to all agency programs. Proposed for temporary retention are data sets used to create permanent records, and records related to demonstrations and program pilots. These records have temporary value because they were previously approved as temporary, and are captured elsewhere in other permanent records.

Permanent Item Numbers	0001, 0002
Federal Register Notice	Required
Publication Date	2017-03-17
Copies Requested	2
Comments Received	0