

Request for Records Disposition Authority

Records Schedule Number DAA-0440-2015-0012

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 9 - Compliance and Integrity

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0440-2015-0012

Sequence Number

1	Compliance and Integrity Records Disposition Authority Number: DAA-0440-2015-0012-0001
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Records Schedule Items

Sequence Number	
1	<p data-bbox="342 380 829 411">Compliance and Integrity Records</p> <p data-bbox="342 432 1149 464">Disposition Authority Number DAA-0440-2015-0012-0001</p> <p data-bbox="342 485 1502 642">Records that support compliance and integrity activities and functions, regardless of CMS Program, including plans, agreements; administrative records, records related to surveys, reviews, and audits; reports; and legal records related to compliance and integrity operations. See crosswalk for additional detail.</p> <p data-bbox="342 653 919 684">Final Disposition Temporary</p> <p data-bbox="342 705 850 737">Item Status Active</p> <p data-bbox="342 758 818 789">Is this item media neutral? Yes</p> <p data-bbox="342 810 805 842">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="342 957 1170 1946">GRS or Superseded Authority Citation DAA-0440-2012-0011 / 0001 DAA-0440-2013-0001 / 0001 DAA-0440-2013-0009 / 0001 DAA-0440-2013-0010 / 0001 DAA-0440-2014-0001 / 0001 N1-440-01-04 / 1/a/1 N1-440-01-04 / 1/a/2 N1-440-01-04 / 1/a/3 N1-440-01-04 / 1/a/4 N1-440-01-04 / 1/b/1/a N1-440-01-04 / 1/b/1/b N1-440-01-04 / 1/c N1-440-01-04 / 1/d N1-440-01-05 / 1 N1-440-09-02 / 2 N1-440-09-09 / 1/b N1-440-10-01 / G N1-440-95-01 / 4/a N1-440-95-01 / 4/b N1-440-95-01 / 7 N1-440-95-01 / 12 N1-440-96-01 / 2/b N1-440-96-01 / 5 NC1-440-80-01 / 1 NC1-440-82-04 / 12 NC1-440-82-04 / 13</p>

NC1-440-82-04 / 14
NC1-440-82-04 / 15
NC1-440-82-04 / 16
NC1-440-82-04 / 17
NC1-440-82-04 / 20
NC1-440-82-04 / 21
NC1-440-82-04 / 23
NC1-440-82-04 / 24
NC1-440-82-04 / 25/a
NC1-440-82-04 / 25/b
NC1-440-82-04 / 26
NC1-440-82-04 / 28
NC1-440-82-04 / 2/b
NC1-440-82-04 / 5
NC1-440-82-04 / 9
N1-440-95-01 / 11/a
N1-440-95-01 / 4
NC1-440-79-01 / III/W (23)
NC1-440-79-01 / I/1 (22)
NC1-440-79-01 / II/32/a (53)
NC1-440-79-01 / II/32/b (53)
NC1-440-79-01 / III/N (54)
NC1-440-79-01 / II/18 (39)
NC1-440-79-01 / III/R
NC1-440-79-01 / II/34 (58)
NC1-440-79-02 / 5

Disposition Instruction

Cutoff Instruction

Cutoff at the end of the calendar year.

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
07/25/2017	Return for Revision	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
07/25/2017	Submit For Certification	Carlos Simon	Records Officer	OSORA - IRISG
07/25/2017	Certify	Carlos Simon	Records Officer	OSORA - IRISG
09/11/2017	Submit for Concurrence	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
09/20/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/20/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/22/2017	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 oversight, compliance, and integrity operations and processes. Proposed for temporary retention are reports, audit and review records, legal records, and administrative records. These records have temporary value because they were previously approved as temporary, and are captured elsewhere in other permanent records.

Permanent Item Numbers

Federal Register Notice

Required

Publication Date

2017-04-03

Copies Requested

1

Comments Received

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