

Request for Records Disposition Authority

Records Schedule Number DAA-0440-2015-0001

Schedule Status Modified Approved Version

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 1- Leadership and Operations

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, Grants, 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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	1	0	0

GAO Approval

Outline of Records Schedule Items for DAA-0440-2015-0001

Sequence Number

1	Leadership and Operations Records Disposition Authority Number: DAA-0440-2015-0001-0001
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Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 860 411">Leadership and Operations Records</p> <p data-bbox="345 432 1149 464">Disposition Authority Number DAA-0440-2015-0001-0001</p> <p data-bbox="345 485 1518 789">Records that document policy and mission-related functions of CMS. This includes records of senior leadership actions and activities, as well as records that formally document the policies of CMS and its programs. These records include, but is not limited to, policies and regulations; senior level records, such as correspondence, briefing books, calendars, biographies, speeches, and telephone logs; formal issuances and directives; Operational Studies; non FACA Committee Records; Organizational Charts and Functional Statements and reports to Congress. See crosswalk for additional detail."</p> <p data-bbox="345 810 922 842">Final Disposition Permanent</p> <p data-bbox="345 863 850 894">Item Status Active</p> <p data-bbox="345 915 818 947">Is this item media neutral? Yes</p> <p data-bbox="345 968 805 999">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 1115 1149 1839">GRS or Superseded Authority Citation DAA-0440-2013-0004-0001 DAA-0440-2012-0001-0001 N1-440-02-002 / 1/A N1-440-05-002 / 1/A N1-440-07-001 / 1 N1-440-07-001 / 2 N1-440-07-001 / 4 N1-440-07-001 / 9 N1-440-09-019 / 3/A N1-440-09-019 / 3/B N1-440-10-005 /8/A N1-440-10-005 / 8/B N1-440-79-002 / 2/A/1/A N1-440-79-002 / 4 N1-440-79-002 / 6 N1-440-79-002 / 7 N1-440-95-001 / 5/A N1-440-95-001 / 6/A N1-440-07-001 / 5</p> <p data-bbox="345 1871 659 1902">Disposition Instruction</p>

Cutoff Instruction	Cutoff at the end of the calender year.
Transfer to the National Archives for Accessioning	Transfer to the National Archives 15 year(s) after cutoff

Additional Information

What will be the date span of the initial transfer of records to the National Archives?	Unknown Date span is unknown.
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How frequently will your agency transfer these records to the National Archives?	Every 1 Years
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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
11/06/2014	Certify	Lisa Townes	Management Analyst	Office of Strategic Operations and Regulatory Affairs - Issuances and Records Management Group
11/02/2015	Return for Revision	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
10/28/2016	Submit For Certification	Tony Tucker	Records Officer	Office of Strategic Operations and Regulatory Affairs - OSORA
10/28/2016	Certify	Tony Tucker	Records Officer	Office of Strategic Operations and Regulatory Affairs - OSORA
11/16/2016	Submit for Concurrence	Lisa Clavelli	Supervisor, ACNR Appraisal Team 2	National Archives and Records Administration - Records Management Services
11/16/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/21/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
11/22/2016	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 leadership and operations records. This big bucket schedule includes records that document actions of senior officials and formal agency policy decisions, including policy and precedent files, correspondence, briefing material, and other significant records. These records have permanent value because they document significant actions of Federal officials.

Permanent Item Numbers

0001

Federal Register Notice

Not Required

Publication Date

Copies Requested

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Comments Received

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