

Request for Records Disposition Authority

Records Schedule Number **DAA-0440-2012-0005**
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 **Major Subdivision**
Major Subdivision **Center for Consumer Information and Insurance Oversight**
Schedule Subject **Patient Protection and Affordable Care Act - Private Health Insurance Systems**

Internal agency concurrences will be provided **Yes**

Background Information **The Private Health Insurance Systems support the implementation of the Patient Protection and Affordable Care Act. The Center for Consumer Information and Insurance Oversight (CCIIO) is charged with implementing many provisions of the Affordable Care Act, the historic health reform bill that was signed into law March 23, 2010. CCIIO oversees the implementation of the provisions related to private health insurance.**

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
8	2	6	2

GAO Approval

Outline of Records Schedule Items for DAA-0440-2012-0005

Sequence Number	
1	Health Insurance Oversight System (HIOS) Disposition Authority Number: DAA-0440-2012-0005-0001
2	Health Insurance Assistance Database (HIAD) Disposition Authority Number: DAA-0440-2012-0005-0002
3	Multidimensional Insurance Data Analytic System (MIDAS) Disposition Authority Number: DAA-0440-2012-0005-0003
4	Pre-Existing Condition Insurance Plan (PCIP)
4.1	Master Files Disposition Authority Number: DAA-0440-2012-0005-0004
4.2	Outputs (Statistical Reports) Disposition Authority Number: DAA-0440-2012-0005-0005
5	Rate and Benefit System (RBIS) Disposition Authority Number: DAA-0440-2012-0005-0008
6	Collaborative Application Lifecycle Tool (CALT) Disposition Authority Number: DAA-0440-2012-0005-0009
7	Early Retiree Reinsurance Program (ERRP) Disposition Authority Number: DAA-0440-2012-0005-0010
8	Health Care Insurance Exchange IT Investment (HIX) Disposition Authority Number: DAA-0440-2012-0005-0011
9	Case Management/ERDE System Disposition Authority Number: DAA-0440-2012-0005-0012

Records Schedule Items

Sequence Number	
1	<p>Health Insurance Oversight System (HIOS)</p> <p>Disposition Authority Number DAA-0440-2012-0005-0001</p> <p>Master Files - Product-level information from health insurance issuers across states and US territories for display on consumer websites, such as Healthcare.gov; oversight data in key financial areas, including annual limits waivers, rate review, medical loss ratio (MLR), and grants. HIOS provides caseworkers and State agencies which are recipients of the Consumer Assistance Program (CAP) grant, with a CAP tool to document and address consumer issues related to health insurance. HIOS also provides reporting capabilities on data captured in the system.</p> <p>Final Disposition Temporary</p> <p>Item Status Inactive</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>Inactive Status Explanation This item is inactive because it was superseded by New Disposition Authority Number: DAA-0440-2015-0008-0001</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at the end of the year in which record was created. NOTE: When fraud or overutilization of services is involved, the recordkeeping copy shall be retained until the resolution of the investigation plus 3 months or revert to normal disposition, whichever is longer.</p> <p>Transfer to Inactive Storage Transfer to inactive storage at the end of the year in which record was created.</p> <p>Retention Period Destroy 7 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>

2

Health Insurance Assistance Database (HIAD)

Disposition Authority Number **DAA-0440-2012-0005-0002**

Master Files - Cases files created from telephone calls received by CMS that address consumer issues related to health insurance, for states not covered by the Consumer Assistance Program (CAP) grant (see HIOS). CAP tool is used to create data is captured in HIAD.

Final Disposition **Temporary**

Item Status **Inactive**

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? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Inactive Status Explanation **This item is inactive because it was superseded by New Disposition Authority Number: DAA-0440-2015-0008-0001**

Disposition Instruction

Cutoff Instruction **Cut off at the end of each calendar year.**

Retention Period **Destroy 3 year(s) after cutoff**

Additional Information

GAO Approval **Not Required**

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Multidimensional Insurance Data Analytic System (MIDAS)

Disposition Authority Number **DAA-0440-2012-0005-0003**

Master Files - Central and historical collection of data from all Affordable Care Act systems used for reporting, analysis, trending, and measurement of the Affordable Care Act programs.

Final Disposition **Temporary**

Item Status **Withdrawn**

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? **Yes**

	<p>Do any of the records covered by this item exist as structured electronic data?</p> <p>Withdrawn Status Explanation</p> <p>Disposition Instruction</p> <p>Cutoff Instruction</p> <p>Retention Period</p> <p>Additional Information</p> <p>GAO Approval</p>	<p>Yes</p> <p>System has not been in operation long enough to give NARA the information needed for appraisal (what outputs are created, etc); item will be resubmitted as a separate schedule once additional information is recieved from the Agency, especially since system may have permanent value.</p> <p></p> <p>Cut off annually.</p> <p>Destroy 7 year(s) after cutoff</p> <p></p> <p>Not Required</p>
<p>4</p> <p>4.1</p>	<p>Pre-Existing Condition Insurance Plan (PCIP)</p> <p>The purpose of this system of record is to collect and maintain information on individuals who apply for enrollment in the program. This information will enable HHS acting through NFC, OPM, and any third-party administrator(s) to determine applicants' eligibility, enroll eligible individuals into the program, adjudicate appeals of eligibility and coverage determinations, bill and collect premium payments, and process and pay claims for covered health care items and services furnished to eligible individuals. The PCIP program began accepting applications for enrollment July 2010 and will end in December 2013. Beginning January 2014, all enrollees will be transitioned over to a health insurance exchange program.</p> <p>Master Files</p> <p>Disposition Authority Number</p> <p>Information on individuals who apply for enrollment in the program. This information will enable HHS acting through NFC, OPM, and any third-party administrator(s) to determine applicants' eligibility, enroll eligible individuals into the program, adjudicate appeals of eligibility and coverage determinations, bill and collect premium payments, and process and pay claims for covered health care items and services furnished to eligible individuals.</p> <p>Final Disposition</p> <p>Item Status</p> <p>Is this item media neutral?</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</p>	<p>DAA-0440-2012-0005-0004</p> <p></p> <p>Permanent</p> <p>Active</p> <p>Yes</p> <p>Yes</p>

	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the program (currently January 2014).
	Transfer Electronic Records to the National Archives for Pre-Accessioning	Transfer electronic records to the National Archives for pre-accessioning immediately after cutoff.
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 15 year(s) after cutoff.
	Additional Information	
	First year of records accumulation	2010
	End year of records accumulation	2014
	What will be the date span of the initial transfer of records to the National Archives?	From 2010 To 2014
	How frequently will your agency transfer these records to the National Archives?	Unknown This is a temporary program; there will only be a one time transfer.
4.2	Outputs (Statistical Reports)	
	Disposition Authority Number	DAA-0440-2012-0005-0005
	Statistical Reports, including state-by-state enrollment data & quarterly expenditure data.	
	Final Disposition	Permanent
	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?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No
	Disposition Instruction	

Cutoff Instruction Cut off at the end of the program (currently January 2014).

Transfer Electronic Records to the National Archives for Pre-Accessioning Transfer electronic records to the National Archives for pre-accessioning immediately after cutoff.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff.

Additional Information

First year of records accumulation 2010

End year of records accumulation 2014

What will be the date span of the initial transfer of records to the National Archives? From 2010 To 2014

How frequently will your agency transfer these records to the National Archives? Unknown
This is a temporary program; there will be a one time transfer.

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Rate and Benefit System (RBIS)

Disposition Authority Number DAA-0440-2012-0005-0008

Master Files - Data submissions from health insurance issuers in the individual and small group markets regarding benefit and cost sharing information on their products and plans. RBIS is comprised of a collection portal, databases, a rules engine, and a set of web services supporting HealthCare.gov "PlanFinder."

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? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

Cutoff Instruction Cut off annually.

Retention Period Destroy 7 year(s) after cutoff

Additional Information

6	GAO Approval	Not Required
	Collaborative Application Lifecycle Tool (CALT)	
	Disposition Authority Number	DAA-0440-2012-0005-0009
	Master Files - Repository for all documentation artifacts related to the state and Federal health insurance exchange implementation life cycle. Within each stage of the methodology artifacts are collected and reviewed collaboratively using the CALT system.	
	Final Disposition	Temporary
	Item Status	Inactive
	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?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Inactive Status Explanation	This item is inactive because it was superseded by New Disposition Authority Number: DAA-0440-2015-0008-0001
	Disposition Instruction	
	Cutoff Instruction	Cut off annually.
	Retention Period	Destroy 7 year(s) after cutoff
	Additional Information	
GAO Approval	Not Required	
7	Early Retiree Reinsurance Program (ERRP)	
	Disposition Authority Number	DAA-0440-2012-0005-0010
	Master Files - Facilitates the tracking and completion of all work activities, including the review and processing of application packages, processing of payment requests to determine the appropriate subsidy amounts, initiating electronic payments and remittances; and tracking all correspondence with the Plan Sponsors and other stakeholders. The ERRP Secure Web Site allows Plan Sponsors the ability to register and submit payment requests via the Internet in a secure manner.	
	Final Disposition	Temporary
	Item Status	Inactive
	Is this item media neutral?	Yes

	<p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>Inactive Status Explanation This item is inactive because it was superseded by New Disposition Authority Number: DAA-0440-2015-0008-0001</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at the end of the year in which payment/final action occurred.</p> <p>Retention Period Destroy 7 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
8	<p>Health Care Insurance Exchange IT Investment (HIX)</p> <p>Disposition Authority Number DAA-0440-2012-0005-0011</p> <p>Master Files - HIX IT activities are organized around two key systems the Exchanges and Data Services Hub. Exchange Systems support the core business functions of an Exchange including administration, health plan management, eligibility and enrollment, risk adjustment, premium tax credit administration, program integrity, and portal for customers. The Data Services Hub acts as a broker of information and will facilitate accessing and management of complex set of data from a variety of sources, including multiple Federal agencies, with exchanges, and Medicaid systems. The IT investment also includes activities aimed at coordinating integration with state exchanges.</p> <p>Final Disposition Temporary</p> <p>Item Status Withdrawn</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>Withdrawn Status Explanation This system has not been fully implemented, and is unique. The CMS Records Officer and CMS Appraisal Archivist at NARA agreed that this item</p>

		should be withdrawn to allow for additional research, and to not hold up the rest of the schedule.
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year.
	Retention Period	Destroy 7 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required

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	Case Management/ERDE System	
	Disposition Authority Number	DAA-0440-2012-0005-0012
	Master Files - Provides functionality that will allow program offices to track cases and interactions with external stakeholders, citizens, and insurance providers in a secure, hosted environment. ERDE will provide the capability to collect, evaluate, and manage insurance plan information and display it in a format that meets regulatory requirements and consumer expectations.	
	Final Disposition	Temporary
	Item Status	Inactive
	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?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Inactive Status Explanation	This item is inactive because it was superseded by New Disposition Authority Number: DAA-0440-2015-0008-0001
	Disposition Instruction	
	Cutoff Instruction	Cut off annually.
	Retention Period	Destroy 7 year(s) after cutoff.
	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
03/19/2012	Certify	Victoria Robey	Records Officer	Office of Strategic Operations and Regulatory Affairs - Issuances and Records Management Group
07/09/2012	Submit for Concurrence	Sean Curry	Senior Records Analyst	National Archives and Records Administration - Agency Services
07/10/2012	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
07/11/2012	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
07/17/2012	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist