

Request for Records Disposition Authority

Records Schedule Number **DAA-0440-2013-0007**
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 **Pre-Existing Condition Insurance Plan - State-Based Programs**
Internal agency concurrences will be provided **Yes**

Background Information **Retention guidelines for records created by CMS and State and State-Designated nonprofit entities operating a Pre-Existing Condition Insurance Plan (PCIP) under contract with CMS**

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 4 | 3 | 1 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0440-2013-0007

| Sequence Number | |
|-----------------|--|
| 1 | Technical Approach Proposals Disposition Authority Number DAA-0440-2013-0007-0001 |
| 2 | Contracts Disposition Authority Number DAA-0440-2013-0007-0002 |
| 3 | Data Reports and Statistical Models Disposition Authority Number DAA-0440-2013-0007-0003 |
| 4 | States and State-Designated Nonprofit Entities Records Disposition Authority Number DAA-0440-2013-0007-0004 |

Records Schedule Items

| Sequence Number | |
|-----------------|---|
| 1 | <p>Technical Approach Proposals</p> <p>Disposition Authority Number DAA-0440-2013-0007-0001</p> <p>Formal technical approach proposals submitted to CMS by States and State-Designated Nonprofit Entities These records document the method each State and State-Designated Nonprofit Entity proposed to establish and administer PCIP in accordance with the Patient Protection and Affordable Care Act. These records provide substantial information, including but not limited to administrative processes related to eligibility determinations and enrollment procedures, coverage and benefits, premium administration and billing, appeals, customer service, case management, payment of health and prescription drug claims, marketing and outreach, anti-dumping procedures, and fraud, waste and abuse. Records include all versions approved by CMS.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation Official recordkeeping copy is electronic</p> <p>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>Disposition Instruction</p> <p>Cutoff Instruction Cutoff at the end of the program</p> <p>Transfer to the National Archives for Accessioning One time transfer, 5 years after cutoff</p> <p>Additional Information</p> <p>What will be the date span of the initial transfer of records to the National Archives? From 2010 To 2013</p> <p>How frequently will your agency transfer these records to the National Archives? Unknown One time transfer</p> |
| 2 | <p>Contracts</p> <p>Disposition Authority Number DAA-0440-2013-0007-0002</p> |

Formal fully executed contract documents between the Department of Health and Human Services/CMS and States and State-designated entities to establish and operate PCIP to provide coverage for eligible individuals beginning in 2010 and ending on December 31, 2013. These records include the terms and conditions of the contract, including but not limited to specific service and delivery tasks, program requirements, data use agreements and contractor/HHS responsibility

| | |
|---|--|
| Final Disposition | Permanent |
| Item Status | Active |
| Is this item media neutral? | No |
| Explanation of limitation | Official recordkeeping version is electronic |
| Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | No |

Disposition Instruction

| | |
|--|---|
| Cutoff Instruction | Cutoff at contract termination |
| Transfer to the National Archives for Accessioning | One time transfer, 5 years after cutoff |

Additional Information

| | |
|---|------------------------------|
| What will be the date span of the initial transfer of records to the National Archives? | From 2010 To 2013 |
| How frequently will your agency transfer these records to the National Archives? | Unknown One time transfer |

Data Reports and Statistical Models

| | |
|------------------------------|-------------------------|
| Disposition Authority Number | DAA-0440-2013-0007-0003 |
|------------------------------|-------------------------|

Formal data and financial audit reports submitted to CMS by States and State-Designated Nonprofit Entities and statistical models used by CMS for data analysis and other reports. These records document metrics related to the administration of PCIP, including application and enrollment, plan premiums billed and collected, administrative expenses, and incurred and paid claims. Records include monthly data reports along with "Guide for States on Reporting" documentation, financial audit reports, annual PCIP report, and statistical models

| | |
|-----------------------------|-----------|
| Final Disposition | Permanent |
| Item Status | Active |
| Is this item media neutral? | No |

3

Explanation of limitation **Official recordkeeping version is electronic**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Disposition Instruction

Cutoff Instruction **Cutoff at contract termination**

Transfer to the National Archives for Accessioning **One time transfer, 5 years after cutoff**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **From 2010 To 2013**

How frequently will your agency transfer these records to the National Archives? **Unknown
One time transfer**

4

States and State-Designated Nonprofit Entities Records

Disposition Authority Number **DAA-0440-2013-0007-0004**

Records created and maintained by States and State-Designated Nonprofit Entities operating PCIP under contract with CMS. These records include application and supporting documentation for enrollment, eligibility and benefit appeals, claims and payment data, and program financial information

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**

Disposition Instruction

Cutoff Instruction **Cutoff at contract termination**

Retention Period **Destroy 6 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 |
|------------|------------------------|------------------|---|--|
| 07/12/2013 | Certify | Victoria Robey | Records Officer | Office of Strategic Operations and Regulatory Affairs - Issuances and Records Management Group |
| 12/17/2013 | Submit for Concurrency | Sean Curry | Senior Records Analyst | National Archives and Records Administration - Agency Services |
| 01/02/2014 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - Records Management Services |
| 01/08/2014 | Concur | Laurence Brewer | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 01/09/2014 | Approve | David Ferrero | Archivist of the United States | Office of the Archivist - Office of the Archivist |