

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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
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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

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	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 Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist