

Request for Records Disposition Authority

Records Schedule Number **DAA-0440-2013-0012**
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 **Safety, Occupational Health, and Environmental Records**
Internal agency concurrences will be provided **Yes**

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
8	0	8	0

GAO Approval

Outline of Records Schedule Items for DAA-0440-2013-0012

Sequence Number	
1	Safety and Occupational Health Complaints Disposition Authority Number: DAA-0440-2013-0012-0001
2	Emergency/Disaster Planning Reports - Agency reports of operations and tests, consisting of consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency/disaster plans. Disposition Authority Number: DAA-0440-2013-0012-0002
3	Emergency/Disaster Planning Reports Disposition Authority Number: DAA-0440-2013-0012-0003
4	Preliminary Energy Audit Reports Disposition Authority Number: DAA-0440-2013-0012-0004
5	Environmental Impact Statements (EIS) Prepared by CMS Disposition Authority Number: DAA-0440-2013-0012-0005
6	Limited Impact Statements Prepared by CMS Disposition Authority Number: DAA-0440-2013-0012-0006
7	Environmental Analyses Prepared by CMS. Disposition Authority Number: DAA-0440-2013-0012-0007
8	Categorical Exclusions Disposition Authority Number: DAA-0440-2013-0012-0008

Records Schedule Items

Sequence Number	
1	<p>Safety and Occupational Health Complaints</p> <p>Disposition Authority Number DAA-0440-2013-0012-0001</p> <p>Complaint files relating to safety and health factors in CMS facilities. Files include the complaint, papers involving the processing of the complaint, the official responses to the complaint, and related materials.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</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? No</p> <p>Disposition Instruction</p> <p>Retention Period Destroy 5 year(s) after cutoff.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Emergency/Disaster Planning Reports - Agency reports of operations and tests, consisting of consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency/disaster plans.</p> <p>Disposition Authority Number DAA-0440-2013-0012-0002</p> <p>Office of Primary Responsibility</p> <p>Final Disposition Temporary</p> <p>Item Status Active</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? No</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff when superseded or obsolete.</p> <p>Transfer to Inactive Storage Retire to CMS Records Holding Area if volume warrants.</p>

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Retention Period Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Emergency/Disaster Planning Reports

Disposition Authority Number DAA-0440-2013-0012-0003

Copies not maintained by the office of primary responsibility.

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 annually.

Retention Period Destroy when superseded or obsolete.

Additional Information

GAO Approval Not Required

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Preliminary Energy Audit Reports

Disposition Authority Number DAA-0440-2013-0012-0004

Annual reports outlining energy use and conservation measures in CMS facilities. This report is submitted annually to the Department of Energy.

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 annually.

Retention Period Destroy 5 year(s) after cutoff.

Additional Information

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GAO Approval Not Required

Environmental Impact Statements (EIS) Prepared by CMS

Disposition Authority Number DAA-0440-2013-0012-0005

EISs assess the environmental impact of an action taken by CMS. The EISs are distributed to other Federal agencies, public and private groups for review and comment. Final EISs must address written comments on the draft EIS submitted by reviewers.

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 annually.

Retention Period Destroy 6 year(s) after cutoff.

Additional Information

GAO Approval Not Required

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Limited Impact Statements Prepared by CMS

Disposition Authority Number DAA-0440-2013-0012-0006

Limited impact statements assess environmental impacts that are not considered to be "significant" and therefore do not require preparation of an EIS. The documents must be available for the public upon request, but they do not require distribution.

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 annually.

Retention Period Destroy 6 year(s) after cutoff.

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Additional Information

GAO Approval **Not Required**

Environmental Analyses Prepared by CMS.

Disposition Authority Number **DAA-0440-2013-0012-0007**

Environmental analyses are the documents used to support the decision to prepare either an EIS or limited impact statement. Environmental analyses are retained either with the EIS or limited impact statements in the project file of the agency which prepares the EIS or limited impact statement.

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 annually.**

Retention Period **Destroy 6 year(s) after cutoff.**

Additional Information

GAO Approval **Not Required**

8

Categorical Exclusions

Disposition Authority Number **DAA-0440-2013-0012-0008**

Categorical exclusions are analyses that are prepared by CMS program staff which may determine that program actions are not capable of creating significant environmental impact, and therefore exclude that program activity from any further consideration of the need for an environmental analysis or environmental impact statement.

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

Retention Period

Destroy on expiration of the authority for the activity covered by the analyses, or two years after supersession by a revised analysis, whichever is earlier.

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
11/07/2013	Certify	Victoria Robey	Records Officer	Office of Strategic Operations and Regulatory Affairs - Issuances and Records Management Group
02/24/2015	Submit for Concurrency	Lisa Clavelli	Supervisor, ACNR Appraisal Team 2	National Archives and Records Administration - Records Management Services
02/24/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
02/24/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
02/26/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist