

Request for Records Disposition Authority

Records Schedule Number **DAA-0440-2014-0003**

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 **Health Insurance Exchange (HIX)**

Internal agency concurrences will be provided **Yes**

Background Information **The Health Insurance Exchanges were established by the Patient Protection and Affordable Care Act of 2010 as amended by the Health Care and Education Reconciliation Act of 2010 and they provide competitive marketplaces for individuals and small employers to directly compare available private health insurance options on the basis of price, quality, and other factors. The Exchanges will help enhance competition in the health insurance market, improve choice of affordable health insurance, and give small businesses the same purchasing clout as large businesses.**

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	2	3	0

GAO Approval

Outline of Records Schedule Items for DAA-0440-2014-0003

Sequence Number	
1	Federally-Facilitated Marketplace (FFM) Records
1.1	Master Files Disposition Authority Number: DAA-0440-2014-0003-0001
1.2	Formal Output Records and Public Use Files Disposition Authority Number: DAA-0440-2014-0003-0002
2	Data Services Hub (DSH) Records
2.1	Transaction Log Disposition Authority Number: DAA-0440-2014-0003-0003
3	Multidimensional Insurance Data Analytic System (MIDAS)
3.1	Master Files Disposition Authority Number: DAA-0440-2014-0003-0004
3.2	Formal Output Records and Public Use Files Disposition Authority Number: DAA-0440-2014-0003-0005

Records Schedule Items

Sequence Number	
1	<p>Federally-Facilitated Marketplace (FFM) Records The Affordable Care Act allows states to elect to establish State-based Marketplaces (SBM). In states electing not to establish and operate such a Marketplace, the Affordable Care Act requires the Federal government to establish and operate a Marketplace in the state, referred to as a Federally-facilitated Marketplace (FFM). Additionally, the FFM may complete certain functions related to a consumer gaining coverage under a health insurance plan offered through an SBM, including such tasks as: eligibility determinations for exemptions; processing appeals; ensuring accurate enrollment files; administration of financial transactions such as advanced payment tax credits, cost sharing reductions, FFM user fees, risk adjustment, reinsurance, or risk corridors. The FFM sends and receives eligibility and enrollment information through the Data Services Hub. The FFM provides information to the CMS's data analytic solution, the Multidimensional Insurance Data Analytics System, which provides operational reporting and performance metrics on the marketplaces to CMS .</p>
1 1	<p>Master Files Disposition Authority Number DAA-0440-2014-0003-0001</p> <p>All records related to the FFM programs and processes related to SBMs, including, but not limited to: establishment and maintenance of accounts with the FFM; processing of applications, eligibility determinations and enrollment in health plans, insurance affordability programs, exemptions; processing of appeals; certification and oversight of issuers and qualified health plans, agents, brokers, and web-brokers; consumer assistance; verification of information received and coverage eligibility both initially and on an ongoing basis; ensuring accurate enrollment files on an ongoing basis; administration of financial transactions such as advanced payment tax credits, cost sharing reductions, FFM user fees, risk adjustment, reinsurance, or risk corridors.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation Exclusively 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? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? No</p>

1.2

Disposition Instruction

Cutoff Instruction **Cutoff at the end of the calendar year in which the record is closed or no longer actively used, added to or otherwise modified (e.g., the final version).**

Retention Period **Destroy 10 year(s) after cutoff.**

Additional Information

GAO Approval **Not Required**

Formal Output Records and Public Use Files

Disposition Authority Number **DAA-0440-2014-0003-0002**

Formal products created from extracted information/Master File. Includes reports and statistical analysis directed to Congress, Secretary of Health and Human Services, and for ongoing studies conducted by the GAO Comptroller General. Also includes public use files created by CMS related to FFM, such as the "Marketplace Public Use Files."

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **Records are exclusively electronic.**

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 **Cutoff annually**

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 5 year blocks 15 year(s) after cutoff**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **From 2013 To 2033**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

2 **Data Services Hub (DSH) Records**
The Federal data services hub (DSH) provides an electronic connection to route information between state, federal, and commercial marketplace entities involved with HIX operations. The DSH is not a database.

2 1 **Transaction Log**
Disposition Authority Number **DAA-0440-2014-0003-0003**
Transaction log sent to the Multidimensional Insurance Data Analytics System.

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 **Delete when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.**

Additional Information

GAO Approval **Not Required**

3 **Multidimensional Insurance Data Analytic System (MIDAS)**
MIDAS centralizes and consolidates business logic into a metadata repository required to report and manage performance of the Affordable Care Act activities under CCIO; integrates data from multiple operational source systems into a single, web-based information data store; provides access to standardized reporting, ad hoc queries, and data visualization; and provides reporting on the data collected and maintains robust analytic capabilities supporting trending and prediction from the data collected and maintained.

3.1 **Master Files**

Disposition Authority Number **DAA-0440-2014-0003-0004**

All records related to MIDAS including but not limited to information extracted from the user application, the benefit collection application and the rate data collection application (e.g. financial issuer data, applications, plan agreements, application rates, benefits, appeals & state transaction logs).

Final Disposition **Temporary**

Item Status **Active**

3.2

Is this item media neutral?	No
Explanation of limitation	Exclusively 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	
Transfer to Inactive Storage	Cutoff annually.
Retention Period	Destroy 10 year(s) after cutoff.
Additional Information	
GAO Approval	Not Required
Formal Output Records and Public Use Files	
Disposition Authority Number	DAA-0440-2014-0003-0005
Final and statistical reports created from extracted information, such as those published in the public domain. Includes, but is not limited to, all formal enrollment and implementation reports (such as Issue Briefs) and public use files.	
Final Disposition	Permanent
Item Status	Active
Is this item media neutral?	No
Explanation of limitation	Records are exclusively electronic.
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	Cutoff Annually
Transfer to the National Archives for Accessioning	Transfer to the National Archives in 5 year blocks 15 year(s) after cutoff.
Additional Information	
What will be the date span of the initial transfer of records to the National Archives?	From 2013 To 2033

How frequently will your agency
transfer these records to the
National Archives?

Every 5 Years

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
01/30/2014	Certify	Lisa Townes	Management Analyst	Office of Strategic Operations and Regulatory Affairs - Issuances and Records Management Group
05/27/2015	Return for Revision	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
09/30/2015	Submit For Certification	Tony Tucker	Records Officer	Office of Strategic Operations and Regulatory Affairs - OSORA
10/02/2015	Certify	Tony Tucker	Records Officer	Office of Strategic Operations and Regulatory Affairs - OSORA
10/05/2015	Return for Revision	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
04/22/2016	Return for Revision	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
04/26/2016	Submit For Certification	Tony Tucker	Records Officer	Office of Strategic Operations and Regulatory Affairs - OSORA
04/26/2016	Certify	Tony Tucker	Records Officer	Office of Strategic Operations and Regulatory Affairs - OSORA
05/02/2016	Submit for Concurrence	Lisa Clavelli	Supervisor, ACNR Appraisal Team 2	National Archives and Records Administration - Records Management Services

05/03/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/03/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/04/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist