

Request for Records Disposition Authority

Records Schedule Number DAA-0440-2015-0001
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 Agency-wide
Schedule Subject Bucket 1- Leadership and Operations
Internal agency concurrences will be provided No

Background Information CMS is proposing a big bucket approach to records scheduling and disposition, which will include the following buckets:

- Bucket 1 - Leadership and Operations
- Bucket 2 - Administrative Management
- Bucket 3 - Financial Records (programmatic)
- Bucket 4 - Enrollment Records
- Bucket 5 - Beneficiary Records
- Bucket 6 - Provider & Health Plan Records
- Bucket 7 - Research and Program Analysis (programmatic)
- Bucket 8 - Public Outreach, Grants, and Engagement
- Bucket 9 - Compliance and Integrity

A crosswalk is provided documenting the relationship of these buckets with previously approved disposition authorities.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
1	1	0	0

GAO Approval

Outline of Records Schedule Items for DAA-0440-2015-0001

Sequence Number

1

Leadership and Operations Records

Disposition Authority Number: DAA-0440-2015-0001-0001

Records Schedule Items

Sequence Number	
1	<p data-bbox="363 427 850 459">Leadership and Operations Records</p> <p data-bbox="363 476 1130 508">Disposition Authority Number DAA-0440-2015-0001-0001</p> <p data-bbox="363 527 1471 815">Records that document policy and mission-related functions of CMS. This includes records of senior leadership actions and activities, as well as records that formally document the policies of CMS and its programs. These records include, but is not limited to, policies and regulations; senior level records, such as correspondence, briefing books, calendars, biographies, speeches, and telephone logs; formal issuances and directives; Operational Studies; non FACA Committee Records; Organizational Charts and Functional Statements and reports to Congress. See crosswalk for additional detail."</p> <p data-bbox="363 836 911 868">Final Disposition Permanent</p> <p data-bbox="363 887 846 919">Item Status Active</p> <p data-bbox="363 938 813 970">Is this item media neutral? Yes</p> <p data-bbox="363 989 800 1021">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 data-bbox="363 1125 1130 1157">GRS or Superseded Authority DAA-0440-2013-0004-0001</p> <p data-bbox="363 1157 1130 1189">Citation DAA-0440-2012-0001-0001</p> <p data-bbox="756 1200 1036 1232">N1-440-02-002 / 1/A</p> <p data-bbox="756 1236 1036 1268">N1-440-05-002 / 1/A</p> <p data-bbox="756 1272 1003 1304">N1-440-07-001 / 1</p> <p data-bbox="756 1308 1003 1340">N1-440-07-001 / 2</p> <p data-bbox="756 1344 1003 1376">N1-440-07-001 / 4</p> <p data-bbox="756 1381 1003 1412">N1-440-07-001 / 9</p> <p data-bbox="756 1417 1036 1449">N1-440-09-019 / 3/A</p> <p data-bbox="756 1453 1036 1485">N1-440-09-019 / 3/B</p> <p data-bbox="756 1489 1024 1521">N1-440-10-005 / 8/A</p> <p data-bbox="756 1525 1024 1557">N1-440-10-005 / 8/B</p> <p data-bbox="756 1561 1084 1593">N1-440-79-002 / 2/A/1/A</p> <p data-bbox="756 1598 1003 1630">N1-440-79-002 / 4</p> <p data-bbox="756 1634 1003 1666">N1-440-79-002 / 6</p> <p data-bbox="756 1670 1003 1702">N1-440-79-002 / 7</p> <p data-bbox="756 1706 1036 1738">N1-440-95-001 / 5/A</p> <p data-bbox="756 1742 1036 1774">N1-440-95-001 / 6/A</p> <p data-bbox="756 1779 1003 1810">N1-440-07-001 / 5</p> <p data-bbox="363 1849 659 1881">Disposition Instruction</p>

Cutoff Instruction	Cutoff at the end of the calender year.
Transfer to the National Archives for Accessioning	Transfer to the National Archives 15 year(s) after cutoff
Additional Information	
What will be the date span of the initial transfer of records to the National Archives?	Unknown Date span is unknown.
How frequently will your agency transfer these records to the National Archives?	Every 1 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
11/06/2014	Certify	Lisa Townes	Management Analyst	Office of Strategic Operations and Regulatory Affairs - Issuances and Records Management Group
11/02/2015	Return for Revision	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
10/28/2016	Submit For Certification	Tony Tucker	Records Officer	Office of Strategic Operations and Regulatory Affairs - OSORA
10/28/2016	Certify	Tony Tucker	Records Officer	Office of Strategic Operations and Regulatory Affairs - OSORA
11/16/2016	Submit for Concurrence	Lisa Clavelli	Supervisor, ACNR Appraisal Team 2	National Archives and Records Administration - Records Management Services
11/16/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/21/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
11/22/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

DAA-0440-2015-0001**Bucket 1 - Leadership and Operations**

1. Description: Records that document policy and mission-related functions of CMS. This includes records of senior leadership actions and activities, as well as records that formally document the policies of CMS and its programs. These records include, but is not limited to, policies and regulations; senior level records, such as correspondence, briefing books, calendars, biographies, speeches, and telephone logs; formal issuances and directives; non-FACA committee files; and reports to Congress. See crosswalk for additional detail.

Sub-bucket	Series	Superseded Item Title	Original Authorities	Original Retention	Office of Record	Change
1.1 Policy and Regulations: Record-copy. Any records documenting the policy of CMS, including policy and regulations; substantial cases related to rulemaking records; formal manuals, directives and handbooks; procedures; forms management instructions; record-keeping copy of forms, and other instructional material used to carry out the mission of CMS. Includes all related finding aids.	1.1.1 Policy & Precedent Files	Policy & precedent files	DAA-0440-2012-0001/0001	Permanent	Office of Strategic Operations and Regulatory Affairs (OSORA)	Reduction from 30 years
	1.1.2 Rulemaking Records for Regulations: Substantial Cases	Rulemaking records for regulations: Substantial cases	N1-440-05-02/1a	Permanent	Office of Strategic Operations and Regulatory Affairs (OSORA)	Reduction from 30 years
	1.1.3 Manuals, Directives, Handbooks, and Instructional Files	Manuals, Directives, Handbooks, Procedures	NC1-440-79-02/7	Permanent	Office of Strategic Operations and Regulatory Affairs (OSORA)	Increase from 10 years
		Instructional Material, Formal Memoranda	NC1-440-79-02/7	Permanent	Office of Strategic Operations and Regulatory Affairs (OSORA)	Increase from 10 years

		Hearings, Instruction Files	N1-440-02-02/1a	Permanent	Office of Strategic Operations and Regulatory Affairs (OSORA)	Increase from 10 years
		Forms Management, Instruction Files	N1-440-79-02/7	Permanent	Office of Strategic Operations and Regulatory Affairs (OSORA)	Increase from 10 years
	1.1.4 Record Copy of Forms	Record copy of forms	N1-440-79-02/6	Permanent	Office of Strategic Operations and Regulatory Affairs (OSORA)	No change Current language includes 5 year blocking.
1.2 Senior Leadership Records (Administrator). Any records documenting the involvement of senior leadership in the mission of CMS, including Administrator biographies, formal correspondence, speeches, telephone logs, briefing books, and calendars. Limited to the records of the Office of the Administrator, including principals serving in an Acting capacity.	1.2.1 Biographies: Files containing personal data sketches, photographs, newspaper clippings, and similar materials pertaining to CMS senior leaders. Primarily Administrator, Principal Deputy Administrator, Deputy Administrator for Innovation and Quality (Chief Medical Officer), Chief of Staff, and Chief Operating Officer.	Biographies	N1-440-07-01/5	Permanent	Office of Administrator	Reduction from 20 years

1.2.2 Correspondence: all correspondence of the Administrator. Also includes significant correspondence of Center/Consortia Administrators or other senior leadership not reflected in the Administrator's correspondence.	Correspondence	N1-440-07-01/9; N1-440-10-05/8a; N1-440-10-05/8b	Permanent	Office of Administrator	Reduction from 20 years
	SWIFT Reports	N1-440-09-19/3a and 3b	Permanent	Office of Administrator	Current language is to transfer with related records (correspondence, congressional reports).
1.2.3 Speeches: formal speeches of senior leadership, including the Administrator, Principal Deputy Administrator, and Chief Operating Officer.	Speeches	N1-440-07-01-4	Permanent	Office of Administrator	Reduction from 20 years
1.2.4 Telephone Logs: Administrator, Principal Deputy Administrator, and Chief Operating Officer.	Telephone Logs	N1-440-07-01/2	Permanent	Office of Administrator	Reduction from 20 years

	1.2.5 Briefing Books: briefing books for senior leadership, including Administrator, Deputy Principal Administrator, Deputy Administrator for Innovation and Quality (Chief Medical Officer), Chief of Staff, Chief Operating Officer, and Deputy Chief Operating Officer.	Briefing Books	DAA-0440-2013-0004/0001	Permanent	Office of Administrator	Reduction from 20 years
	1.2.6 Calendars	Calendars	N1-440-07-01/1	Permanent	Office of Administrator	Reduction from 20 years
	1.2.7 Organization Charts and Functional Statements	Organization Charts and Functional Statements	N1-440-79-02/4	Permanent	Office of the Administrator	Increase from 10 years.
1.3: Formal Reports and Studies: All reports formally produced by CMS, including Operational Studies and Reports sent to Congress. These may be required by law, requested by Congress, or produced/sent as standard operations. Included are finding aids, summary reports, or equivalents (indexing, metadata, etc.)	1.3 Formal Reports and Studies	Reports to Congress	N1-440-95-01/6a	Permanent	Office of the Administrator	Reduction from 20 years
		Operational Studies	N1-440-95-01/5a	Permanent	Office of the Administrator	Reduction from 20 years
		SWIFT Reports	N1-440-09-19/3a and 3b	Permanent	Office of the Administrator	Current language is to transfer with related records (correspondence, congressional reports).

<p>1.4: Committee Files (non FACA): Records relating to establishing, operating, and dissolving committees which consider, advise, take action, and report on specifically assigned functions of CMS. Included are proposals, approvals to establish the committee, charters, notices, agendas, minutes, and reports of committee meetings, and related documents. NOTE: FACA records will continue to be managed in accordance with the GRS.</p>	<p>1.4 Committee Files (non FACA)</p>	<p>Committee Files</p>	<p>N1-440-79-02/2a1a</p>	<p>Permanent</p>	<p>Office with responsibility or secretariat role (primarily Office of Administrator)</p>	<p>No change.</p>
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