

Request for Records Disposition Authority

Records Schedule Number DAA-0440-2015-0002

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 Bucket 2- Administrative Management

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of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GAO Approval

Outline of Records Schedule Items for DAA-0440-2015-0002

Sequence Number	
1	Administrative Management Records Disposition Authority Number: DAA-0440-2015-0002-0001
2	Routine Administrative Records Disposition Authority Number: DAA-0440-2015-0002-0002

Records Schedule Items

Sequence Number	
1	<p data-bbox="342 385 873 417">Administrative Management Records</p> <p data-bbox="342 438 1157 470">Disposition Authority Number DAA-0440-2015-0002-0001</p> <p data-bbox="342 491 1495 644">Non-substantive records that support leadership and/or general administration of all CMS programs. Includes background files related to records in other buckets as well as records of leadership positions below the Administrator and other principals. See crosswalk for additional detail.</p> <p data-bbox="342 666 922 697">Final Disposition Temporary</p> <p data-bbox="342 719 854 751">Item Status Active</p> <p data-bbox="342 772 821 804">Is this item media neutral? Yes</p> <p data-bbox="342 825 805 857">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="342 974 1174 1972">GRS or Superseded Authority Citation DAA-0440-2012-0008 / 0001 DAA-0440-2013-0008 / 0001 DAA-0440-2013-0008 / 0002 N1-440-01-03 / 1/e N1-440-05-02 / 1/b N1-440-05-02 / 2 N1-440-05-02 / 4 N1-440-09-02 / 1 N1-440-09-19 / 2/a N1-440-10-04 / 1/b N1-440-10-04 / 2/a N1-440-10-04 / 3 N1-440-10-05 / 1 N1-440-10-05 / 2 N1-440-10-05 / 3 N1-440-10-05 / 4 N1-440-10-05 / 5 N1-440-10-05 / 6 N1-440-10-05 / 7 NC1-440-79-01 / 7 NC1-440-79-02 / 1 NC1-440-79-02 / 11/a NC1-440-79-02 / 11/b NC1-440-82-04 / 3 NC1-440-82-04 / 8 NC1-440-82-04 / 10</p>

NC1-440-82-04 / 11
NC1-440-82-04 / 29/a
N1-440-94-01 / 2
NC1-440-82-04 / 29/b

Disposition Instruction

Cutoff Instruction

Cutoff at the end of the calendar year.

Retention Period

Destroy no sooner than 7 year(s) after cutoff but longer retention is authorized

Additional Information

GAO Approval

Not Required

Routine Administrative Records

Disposition Authority Number

DAA-0440-2015-0002-0002

Routine program records supporting leadership and/or general administration of all programs. See crosswalk for additional detail.

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

GRS or Superseded Authority Citation

N1-440-01-03 / 1/d
N1-440-02-02 / 1/b
N1-440-07-01 / 3/a
N1-440-07-01 / 3/b
N1-440-07-01 / 7
N1-440-07-01 / 8/b
N1-440-10-04 / 2/b
N1-440-10-05 / 7
N1-440-11-01 / 1
NC1-440-79-01 / 1/b
NC1-440-79-02 / 3
NC1-440-79-02 / 8
NC1-440-82-04 / 1
NC1-440-82-04 / 2/a
N1-440-95-01 / 5/b
N1-440-95-01 / 6/b
N1-440-96-01 / 3
NC1-440-82-04 / 2/c
NC1-440-79-02 1 2/b

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Disposition Instruction

Cutoff Instruction

Cutoff at the end of the calendar year.

Retention Period

Destroy no sooner than 3 year(s) after cutoff but longer retention is authorized

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
04/13/2015	Certify	Tony Tucker	Records Officer	Office of Strategic Operations and Regulatory Affairs - OSORA
05/02/2017	Return for Revision	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
05/04/2017	Submit For Certification	Carlos Simon	Records Officer	OSORA - IRISG
05/04/2017	Certify	Carlos Simon	Records Officer	OSORA - IRISG
08/08/2017	Submit for Concurrence	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
08/14/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/14/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/15/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

DAA-0440-2015-0002

Bucket 2: Administrative Management

Item 0001, 2A. Administrative Management Records. Non-substantive records that support leadership and/or general administration of all CMS programs. Includes background files related to records in other buckets as well as records of leadership positions below the Administrator and other principals. Temporary, destroy when 7 years old, or when no longer needed for business, whichever is later.

NOTE: official final materials (rulemaking records, instructional material, etc.) are scheduled as permanent in bucket 1 (DAA-0440-2015-0001, item 0001).

Series	Superseded Series Title / Description	Original Authority	Original Retention	Change
2A1: Rulemaking Records. All records related to the rulemaking process, with the exception of those covered by bucket 1, disposition authority, DAA-0440-2015-0001, item 0001.	Non-substantial Cases, All other cases that have not met the threshold for those scheduled as permanent (bucket 1). Examples of non-substantial are those that are CMS-only notices that are delegated to the Administrator for signature, including meeting notices that announce a meeting between CMS staff and outside groups; deeming notices that inform providers of their accreditation status, and demonstration notices that solicit applications from providers for participation in specific CMS programs.	N1-440-05-02, item 1b	Temporary, 5 years	No change in final disposition. Increase in retention.
	Late Comments, File consists of comments submitted by the public, that were received in CMS after the close of the comment period and were not considered in the development of the final policy.	N1-440-05-02, item 4	Temporary, 30 days	No change in final disposition. Increase in retention.
	Rulemaking Record Background / Support Files, Rulemaking Support File consists of internal, pre-decisional documents and drafts, including clearances, drafts of the rules, internal comments received on the drafts, regulation logs, regulation specifications, preliminary actuarial estimates, internal recommendations and briefing papers. This file may also contain the memorandum to the Secretary and copies of the signed proposed rule, the memorandum to the Secretary for the final rule, and the final rule signed by the Secretary.	N1-440-05-02, item 2	Temporary, 5 years	No change in final disposition. Increase in retention.
2A3: Leadership Records, records of senior leadership outside the Administrator and Principals within the Administrator's Office. Includes Center/Office Administrators, Consortium Administrators, Regional Administrators, Center/Office Directors, Chief Technology Officer and their Deputies). Excludes those records covered in bucket 1, disposition authority DAA-0440-2015-0001, item 0001.	Calendars	N1-440-10-05, item 1	Temporary, 5 years	No change in final disposition. Increase in retention.
	Telephone Logs	N1-440-10-05, item 2	Temporary, 5 years	No change in final disposition. Increase in retention.
	Public Appearance and Meeting Requests	N1-440-10-05, item 3	Temporary, 5 years	No change in final disposition. Increase in retention.
	Speech Files	N1-440-10-05, item 4	Temporary, 5 years	No change in final disposition. Increase in retention.

	Conference and Public Hearing Files	N1-440-10-05, Item 5	Temporary, 5 years	No change in final disposition. Increase in retention.
	Lower Leadership, Itineraries of Visits	N1-440-10-05, item 6	Temporary, 5 years	No change in final disposition. Increase in retention.
	Briefing Books	N1-440-10-05, Item 7	Temporary, 5 years	No change in final disposition. Increase in retention.
	Executive Correspondence/Reports/ Meeting Requests , routine correspondence filed in the Office of the Administrator.	N1-440-09-19, item 2a	Temporary, 2 years	No change in final disposition. Increase in retention.
2A4: Agreements, Contracts, and Records Related to State Programs, Agreements and contracts between CMS and providers, contractors, intermediaries, State governments, etc. Includes records that document these relationships, including correspondence and reporting.	State Agreements and Corrective Plans , State plans are used for the States' administration of the Medicaid program includes Attorney General certifications, formal transmittals (approved, disapproved, withdrawn amendments). Superseded materials are filed separately Files are maintained by fiscal year, and State plan number.	DAA-0440-2012-0008, Item 0001	Temporary, when superseded	No change in final disposition. Increase in retention.
	Contractor Agreements. Agreements entered into with intermediaries, carriers, and providers by CMS/DHHS, by which the intermediaries and carriers agree to perform certain functions in administering Medicare, and/or providers agree to participate in certain CMS programs.	DAA-0440-2013-0008, items 0001 and 0002	Temporary, 7 years	No change.
	State Plans	NC1-440-82-04, item 29a and 29b	Temporary, 10 years	No change in final disposition. Decrease in retention.
	DATA Use Agreements, Approved Forms; SHIP forms; Master Data Files, Records which outline the terms and conditions between CMS and outside entities (e.g., contractor, private industry, academic institution, other Federal government agency, or state agency) that requests the use of CMS personal identifiable data that is covered by the Privacy Act of 1974. The agreement delineates the confidentiality requirements of the Privacy Act, security safeguards, and CMS' data use policies and procedures. The DUA serves as a control mechanism through which CMS can track the location of its data and the reason for the release of the data A DUA requires that a System of Record be in effect, which allows for the disclosure of the data being used.	N1-440-10-04, items 1b, 2a, and 3	Temporary, 5 years	No change in final disposition. Increase in retention.

State Buy-in Agreements, Agreements entered into with the State agencies under provisions of the Social Security Act.	NC1-440-79-01, item 7	Temporary, 5 years	No change in final disposition. Increase in retention.
Scanned amendments (State Plans, Medicaid). Web version of approved State plans for States' administration of the Medicaid program.	N1-440-01-03, item 1e	When superseded or obsolete	No change in final disposition. Increase in retention.
Agency Agreements (between CMS and other federal and non-federal entities), Documents relating to agreements between elements of HCFA, between HCFA and other HEW components or Federal agencies and between HCFA and other nonfederal organizations or agencies. These agreements are negotiated to provide for continued understanding between recognized organizations and HCFA for the purpose of providing or obtaining various types of support services. The services include logistic, medical, fire protection, administrative, facilities, and similar support on a one-time or continuing basis; and on a reimbursable or non-reimbursable basis. Included are agreements, amendments, review comments, and correspondence.	NC1-440-79-02, item 01	Temporary, 5 years	No change in final disposition. Increase in retention.
All State Letters (Medicaid), Printed Regional Office (RO) Issuances sent to state public welfare administrators which communicate information or requests pertaining to both administrative or program matters.	NC1-440-82-04, item 3	Temporary, 2 years	No change in final disposition. Increase in retention.
Correspondence, State Plans (Medicaid), Correspondence, memoranda, background material and other working papers relating to state plan and amendments but not part of official state plan file.	NC1-440-82-04, item 8	Temporary, 5 years	No change in final disposition. Increase in retention.
IEDS Eligibility Determination (Medicaid), State ADP Systems Plans Files (Integrated Eligibility Determination Systems or Medicaid. Related Administrative Systems). Copies of all State requests for title XIX grant monies including Advance Planning Documents and Updates, Requests for Proposals, Contracts, and correspondence including progress information from the States, and headquarters approvals. HCFA Headquarters files are used in HCFA's approval of title XIX grant money to the States for the HCFA Headquarters post-implementation reviews.	N1-440-94-01, item 2	Temporary, 3 years and 6 months	No change in final disposition. Increase in retention.

	<p>State ADP Systems and Records, (A) State ADP Systems Plans Files (MMIS or Mechanized Claims Processing Information Retrieval Systems), RO file documents all phases of planning and bid selection process for state claims payment and management information ADP systems prior to award of contract. Includes advance planning documents, HCFA RO and Headquarters approvals, requests for proposals.</p> <p>(B) States ADP Contract Case Files (MMIS or Mechanized Claims Processing Information Retrieval Systems) Copies of contracts made between state and suppliers of ADP systems used by state for claims payment and Medicaid management information. Includes all correspondence, background and briefing materials, technical reports and papers related to the development, installation and maintenance of the system. HCFA Headquarters maintains record copy of contract. RO file is used for RO approval and HCFA Headquarters certifications.</p>	NC1-440-82-04, Item 010 and Item 011	Temporary, 3 years and 6 months	No change in final disposition. Increase in retention.
	Draft Reports and Background Files related to ASER.	NC1-440-82-04, Item 29b	Temporary, 5 years	No change in final disposition. Increase in retention.
<p>2A5: Internal Operations. Records that support internal and administrative functions of the agency.</p>	<p>Administrative Simplification Enforcement Tool (ASET), The master file contains complaints and documentation to support allegations of non-compliance filed against an organization; responses from the FAE (e.g., letters, policies, contracts, copies of other appropriate corporate documents, and corrective action plans); correspondence with CMS Office of Civil Rights; CMS Contractor Enforcement Team recommendations for FAE responses; compliance reviews reports and documentation, audit reports from CMS Office of the Inspector General. The HIPAA Information Tracking System (HITS) (a sub-system of ASET) maintains complaint data for tracking HIPAA complaint/compliance enforcement and reports.</p>	NC1-440-09-02, Item 1	Temporary, 6 years	No change in final disposition. Increase in retention.
	<p>Delegation of Authority, Program and administrative delegation of continuing authority and revocation thereof. Included are approved program delegations having statutory basis in Titles II, XI, XVIII, and XIX of the Social Security Act. Also included are approved administrative delegations of authority, i.e., personnel, printing, procurement, travel, etc.</p>	NC1-440-79-02, Item 11a and NC1-440-79-02, Item 11b	Temporary, 10 years; temporary, 3 years	No change in final disposition. Decrease in retention.
<p>Item 0002, 2B. Routine Administrative Records. Routine program records supporting leadership and/or general administration of all programs. Temporary, destroy when 3 years old, or when no longer needed for agency business, whichever is later.</p>				
Series	Superseded Series Title / Description	Original Authority	Original Retention	Change

2B1: Routine Inquiries and Correspondence. Routine correspondence and requests for information. NOTE: CMS will be using the GRS for other routine correspondence, including (but not limited to) GRS 6.14, Item 10 and GRS 4.2, Item 10.	Public Inquiry Name Files, Letters, together with copies of replies referred from the offices of the President, Congressmen, and Government agencies or received directly from persons requesting general information on CMS programs	NEW	n/a	n/a
2B2: Administrator's Office, Support Documentation. Records used in the creation of the Administrator's Office's final versions of formal records, specifically those covered in bucket 1, disposition authority DAA-0440-2015-0001, item 0001.	Briefing Materials Provided by CMS Offices for Inclusion in Briefing Books	N1-440-07-01, Item 8b	Temporary, 3 years	No change.
	Briefing Books, Submissions from Regional Leadership	N1-440-10-05, Item 7	Temporary, 5 years	No change in final disposition. Decrease in retention.
	Public Appearances and Meetings Requests, Accepted	N1-440-07-01, Item 3a	Temporary, 3 years	No change.
	Public Appearances and Meetings Requests, Unaccepted	N1-440-07-01, Item 3b	Temporary, 2 years	No change in final disposition, increase in retention.
	Itineraries	N1-440-07-01, Item 7	Temporary, 3 years	No change.
2B3: General Administrative Records	Calendars, all other CMS employees, Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, EXCLUDING materials determined to be personal.	GRS 23, item 5b and N1-440-10-05, item 1a	Temporary, when no longer needed	No change in final disposition, increase in retention.
	Professional Standards Review Organization Files	NEW (N1-47-76-33, it	n/a	n/a
	Staff Visits, conducting studies (Administrative Management), Documents relating to scheduled or special visits (but exclusive of inspections, surveys, or audits) for the purpose of performing staff or technical supervision or for conducting studies. Included are requests for permission to visit, reports of visits, recommendations and other directly related documents.	NC1-440-79-02, Item	Temporary, 1 year	No change in final disposition, increase in retention.
	Policy Reference Files, reference copies of policy files	NEW (NC1-440-80-02, item 9 withdrawn)	n/a	n/a
	Technical Reference Material, Printed manuals, directives, handbooks, instructions, regulations, schedules and other formal policy and procedural issuances related to Medicaid Administration and Programs, not originated in office.	NC1-440-82-04, item 1	Temporary, when superseded	No change in final disposition, increase in retention.
	Chronological (Reading) Files, Duplicate copies of all outgoing letters and memoranda, filed chronologically and maintained for reference and as indexes.	NC1-440-82-04, ite	Temporary, 1 year	No change in final disposition, increase in retention.

<p>Contact Reports, Duplicate copies of reports documenting all staff personal or telephone contact on program issues. Original is filed in appropriate state subject file.</p>	<p>NC1-440-82-04, item 1</p>	<p>Temporary, 1 year</p>	<p>No change in final disposition, Increase in retention.</p>	
<p>Data Use Agreements, Unapproved Forms, Data Use Agreement forms (CMS Form R-0235), including Requesting Organization Name, Requesting Organization Contact, Requesting Organization address, Requesting Organization Phone Number, Requesting Organization email address, Disclosure Provision that permits disclosure of personally identifiable data, the expiration date, actual data files, custodial organization name, custodial organization contact, custodial organization address, custodial organization e-mail address, custodial organization phone number, Business Owner/System Manager authorizing use of the data that is being disclosed.</p>	<p>N1-440-10-04, item 2</p>	<p>Temporary, 2 years</p>	<p>No change in final disposition, Increase in retention.</p>	
<p>Employee Suggestions, Media-neutral collection of information (paper or electronic, including Social media) that support the exchange of information Within the Agency documenting employee suggestions, awards, and onsite agency activities/awards ceremonies Includes but not limited to correspondence, pilots, electronic forums, electronic submission, blogs, direct key-stroke entries Into system screens maintained in the management of suggestions and forms designed to collect data about the respective programs.</p>	<p>N1-440-11-01, Item 1</p>	<p>Temporary, 3 years</p>	<p>No change.</p>	
<p>Virtual Desktop Infrastructure Records (CMS MAG). Records that facilitate sharing of information and controlling access across CMS programs. Does not include the content (which are disposed of in accordance with other authorities).</p>	<p>NEW</p>	<p>n/a</p>	<p>n/a</p>	
<p>2B4: General Background, Working & Support Records. All records related to the creation of formal products, including instructional material and studies. Does not include the final products, which are covered by bucket 1, disposition authority, DAA-0440-2015-0001, item 0001.</p>	<p>Instructions Background Files (General), Records accumulated in the preparation, clearance, and publication of manuals, directives, handbooks, regulations and other formal policy and procedural issuances. Included are studies, clearance comments, recommendations, and similar records which provide a basis for publication.</p>	<p>NC1-440-79-02, Item 8</p>	<p>Temporary, 10 years</p>	<p>No change in final disposition. Decrease in retention.</p>
	<p>Instructions Background Files (Medicare), Records accumulated in the preparation, clearance, and publication of manuals, directives, handbooks, and other formal policy and procedural issuances. Included are studies, clearance comments', recommendations and similar records which provide the basis for publication.</p>	<p>NC1-440-79-01, Item 1B</p>	<p>Temporary, when superseded</p>	<p>No change in final disposition. Increase in retention.</p>
	<p>Instructions Background Files (Medigap), Records accumulated in the preparation, clearance, and publication of manuals, directives, handbooks and other formal policy and procedural issuances. Included are studies, clearance comments, recommendations, and similar records which provide basis for publication.</p>	<p>N1-440-96-01, item 3</p>	<p>Temporary, 10 years</p>	<p>No change in final disposition. Decrease in retention.</p>

Instructions Background Files (Office of Hearings) , Records accumulated in the preparation, clearance, and publication of manuals, directives, handbooks, Instructions, and other formal policy and procedural issuances. Included are studies, clearance comments, recommendations and similar records, which provide a basis for the final publication.	N1-440-02-02, item 1b	Temporary, when superseded	No change in final disposition. Increase in retention.
Operational Studies Background Files , Documents related to reviews and special studies of CMS Central Office, Regional Office and Medicare contractors to determine the degree of adherence to established policies, instructions or specifications.	N1-440-95-01, items 5b	Temporary, 5 years	No change in final disposition. Decrease in retention.
Congressional Studies, Background Files , Files consist of background material related to studies mandated by public laws and contains surveys, survey materials, working papers, correspondence, final report and related materials.	N1-440-95-01, items 6b	Temporary, 5 years	No change in final disposition. Decrease in retention.
All other committee records not covered in bucket 1 , Documents relating to establishing, operating, and dissolving committees which are not related to specific CMS programs	NC1-440-79-02, item 2b	Temporary, when no longer needed	No change in final disposition. Increase in retention.
Working Copies of State Plans	N1-440-01-03, item	Temporary, when no longer needed	No change in final disposition, Increase in retention.