

## Request for Records Disposition Authority

Records Schedule Number           DAA-0440-2015-0011

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 8 - Public Outreach and Engagement

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
- 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>

### GAO Approval

## Outline of Records Schedule Items for DAA-0440-2015-0011

Sequence Number	
1	Formal Public Outreach and Engagement Records Disposition Authority Number: DAA-0440-2015-0011-0001
2	Photographs and Videos Disposition Authority Number: DAA-0440-2015-0011-0002
3	All other Public Outreach and Engagement Records Disposition Authority Number: DAA-0440-2015-0011-0003

## Records Schedule Items

Sequence Number	
1	<p data-bbox="344 380 1062 411"><b>Formal Public Outreach and Engagement Records</b></p> <p data-bbox="344 432 1151 464">Disposition Authority Number      <b>DAA-0440-2015-0011-0001</b></p> <p data-bbox="344 485 1507 705">Records formally created and disseminated which document CMS policy, events, program information, mission activities, and the like. Includes, but is not limited to, news and press conference files, records of news and press conferences, press releases, and educational publications created for beneficiaries. Primarily final products related to public outreach and engagement. See crosswalk for additional detail.</p> <p data-bbox="344 726 922 758">Final Disposition                              <b>Permanent</b></p> <p data-bbox="344 779 850 810">Item Status                                      <b>Active</b></p> <p data-bbox="344 831 818 863">Is this item media neutral?                  <b>Yes</b></p> <p data-bbox="344 884 805 1020">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?                  <b>No</b></p> <p data-bbox="344 1041 1151 1220">GRS or Superseded Authority Citation      <b>DAA-0440-2012-0016-0001</b> <b>N1-440-07-001 / 6</b> <b>N1-440-04-001 / 4</b> <b>N1-440-02-001 / 1/A</b> <b>N1-440-02-001 / 3</b></p> <p data-bbox="344 1262 659 1293"><b>Disposition Instruction</b></p> <p data-bbox="344 1314 1297 1346">Cutoff Instruction                              <b>Cutoff at the end of the calendar year.</b></p> <p data-bbox="344 1367 1455 1440">Transfer to the National Archives for Accessioning      <b>Transfer to the National Archives 15 year(s) after cutoff</b></p> <p data-bbox="344 1482 656 1514"><b>Additional Information</b></p> <p data-bbox="344 1535 1084 1629">What will be the date span of the initial transfer of records to the National Archives?      <b>Unknown</b> <b>Date span is unknown.</b></p> <p data-bbox="344 1650 964 1745">How frequently will your agency transfer these records to the National Archives?      <b>Every 1 Years</b></p>
2	<p data-bbox="344 1839 696 1871"><b>Photographs and Videos</b></p> <p data-bbox="344 1892 1154 1923">Disposition Authority Number      <b>DAA-0440-2015-0011-0002</b></p>

**Mission-Related Still Photographs and videos:** Analog photographs (prints, negatives, contact sheets, slides, filmstrips) and digital photographs (born-digital as well as scanned digital images), along with all associated finding aids, documenting: senior agency officials and their mission-related speaking, meeting, touring activities; visiting dignitaries from political, scientific, cultural, and other realms; events, programs, initiatives, issues of significance to the agency and the health services field; and major agencies resources and facilities, including photos shot during the 1995 construction process for the agency's new headquarters building. Also all agency video productions (television commercials, broadcasts, advertisements, news releases, public service announcements, satellite broadcasts, CMS-sponsored training/seminars, etc.) and associated finding aids. See crosswalk for additional detail.

Final Disposition Permanent

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? Yes

Do any of the records covered by this item exist as structured electronic data? No

GRS or Superseded Authority Citation  
N1-440-05-001 / 1/a  
N1-440-05-001 / 1/b  
N1-440-05-001 / 2/a  
N1-440-05-001 / 2/b

#### Disposition Instruction

Transfer to the National Archives for Accessioning Transfer all photographs and videos, generated or accumulated pre-2013, and any related finding aids to the National Archives immediately upon approval of this schedule. Thereafter, cut off holdings in five-year block, and transfer along with any related finding aids to the National Archives when the oldest image in the block is five years old.

#### Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 2005 To 2013

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

3

### All other Public Outreach and Engagement Records

Disposition Authority Number      DAA-0440-2015-0011-0003

Records that support or document the dissemination of information to the public, or document CMS's interaction with the public. Includes records that support the creation of formal products, are considered reference or "ease of use" versions, or otherwise do not fall into the definitions within items 8A (0001) or 8B (0002). Includes, but is not limited to, website records, non-recordkeeping versions of educational publications, non-mission-related photography, and other records.

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?      Yes

Do any of the records covered by this item exist as structured electronic data?      Yes

GRS or Superseded Authority Citation      DAA-0440-2012-0016-0002  
GRS 3.1 / 020  
N1-440-09-013 / 1  
N1-440-09-013 / 2  
N1-440-09-013 / 3  
N1-440-09-013 / 5  
N1-440-05-001 / 3/c  
N1-440-05-001 / 3/d  
N1-440-05-002 / 3  
N1-440-01-003 / 1/e  
NC1-440-79-02 / 12  
GRS 6.4 / 050  
GRS 6.4 / 030

### Disposition Instruction

Cutoff Instruction                      Cutoff at the end of the calendar year.

Retention Period                      Destroy when 1 year old, or when no longer needed for agency business, whichever is later.

### 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
05/19/2017	Return for Revision	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
05/19/2017	Submit For Certification	Carlos Simon	Records Officer	OSORA - IRISG
05/19/2017	Certify	Carlos Simon	Records Officer	OSORA - IRISG
08/18/2017	Submit for Concurrence	Sean Curry	Senior Appraisal Archivist	National Archives and Records Administration - Agency Services
08/23/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/23/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/24/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

DAA-0440-2015-0011

Bucket 8: Outreach and Engagement: records that document the agency's interaction with the public, including public outreach and engagement records.

DISPOSITION AUTHORITY, DAA-0440-2015-0011, Item 0001

8A: Significant Public Outreach and Engagement Records. Records used to formally disseminate and document CMS policy, events, program information, mission activities, and the like. Includes, but is not limited to, news and press conference files, records of news and press conferences, press releases, and educational publications created for beneficiaries. Permanent. Transfer when 15 years old.

Sub-bucket	Series	Superseded Series Title and Description	Original Authority	Original Retention	Change	Office of Record
8A1: Press and News Conference Records: records related to formal CMS news and press conferences	News and Press Conference Files. Files related to news and press conferences, hearings, and other events where CMS is formally involved. Includes background files, including agendas, announcements, and copies of press releases.	News conference files. Consists of transcripts of the Administrator's press conferences and some related background materials. Records are maintained in binders and arranged by date of press conference.	N1-440-02-01, Item 3	Permanent	No change. Unify transfer date for all permanent records.	Office of Communications (OC), Media Relations Group (MRG)
		Conferences and Public Hearings (Administrator). Files contain information about conferences or hearings. Included are agendas, announcement of the conference and press releases.	N1-440-07-01, Item 6	Permanent	No change. Unify transfer date for all permanent records.	Office of Communications (OC), Media Relations Group (MRG)
	Press Releases. Documents relating to the preparation coordination, clearance and dissemination of information to any public communications media. Includes drafts, clearance comments, forms, press releases and related papers.	Press Releases. Documents relating to the preparation coordination, clearance and dissemination of information to any public communications media. Includes drafts, clearance comments, forms, press releases and related papers.	N1-440-02-01, Item 1a	Permanent	No change. Unify transfer date for all permanent records.	Office of Communications (OC), Media Relations Group (MRG)
8A2: Educational and Outreach Records: records related to formal CMS publications, video productions, and other communication related activities. NOTE: Posters are not covered by this schedule. Please see disposition schedules N1-440-05-01, Items 3a and 3b; N1-440-92-02, Item 1.	Educational Publications. Official recordkeeping copy of all publications used for the dissemination of official CMS program policy to beneficiaries and other interested parties CMS defines official recordkeeping copy as English, or another format when English does not exist.	Educational Publications. Official recordkeeping copy of all publications used for the dissemination of official CMS program policy to beneficiaries and other interested parties CMS defines official recordkeeping copy as English, or another format when English does not exist.	DAA-0440-2012-0016, Item 0001	Permanent	No change. Unify transfer date for all permanent records.	Office of Communications (OC), Media Relations Group (MRG)

<b>8A3: Focus Group Records.</b> Formal final products/ reports created from focus group activities.	<b>Final Reports, Focus Groups</b>	<b>Results/Final Report -</b> Topline reports which presents a high level overview of the research findings, presentations that summarize research, and policy decisions. Focus Groups and/or individual interviews conducted by the Center for Beneficiary Choices (CBC) and contractors With Medicare beneficiaries regarding various communication initiatives information collected is used for CBC research purposes.	N1-440-04-01, Item 4	Permanent	No change. Unify transfer date for all permanent records.	
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**DISPOSITION AUTHORITY, DAA-0440-2015-0001, Item 0002**

**8B: Photographs and Videos.** Mission-Related Still Photographs and videos: Analog photographs (prints, negatives, contact sheets, slides, filmstrips) and digital photographs (born-digital as well as scanned digital images), along with all associated finding aids, documenting: senior agency officials and their mission-related speaking, meeting, touring activities; visiting dignitaries from political, scientific, cultural, and other realms; events, programs, Initiatives, issues of significance to the agency and the health services field; and major agencies resources and facilities, including photos shot during the 1995 construction process for the agency's new headquarters building. Also all agency video productions (television commercials, broadcasts, advertisements, news releases, public service announcements, satellite broadcasts, CMS-sponsored training/seminars, etc.) and associated finding aids. Transfer all photographs and videos, generated or accumulated pre-2013, and any related finding aids to the National Archives immediately upon approval of this schedule. Thereafter, cut off holdings in five-year block, and transfer along with any related finding aids to the National Archives when the oldest image in the block is five years old.

Sub-bucket	Series	Superseded Series Title and Description	Original Authority	Original Retention	Change	Office of Record
<b>8B1: Mission-Related Still Photographs and videos:</b> Analog photographs (prints, negatives, contact sheets, slides, filmstrips) and digital photographs (born-digital as well as scanned digital images), along with all associated finding aids, documenting: senior agency officials and their mission-related speaking, meeting, touring activities; visiting dignitaries from political, scientific, cultural, and other realms; events, programs, Initiatives, issues of significance to the agency and the health services field; and major agencies resources and facilities, including photos shot during the 1995 construction process for the agency's new headquarters building. Also all agency video productions (television commercials, broadcasts, advertisements, news releases, public service announcements.	<b>Mission-Related Still Photographs</b>	<b>Senior Agency Officials photographs.</b> Electronic, negatives and photographs a. Senior agency officials conducting activities related to the mission of the Agency including documentary photographs shot during the construction process (in 1995) of the agency's new facility and all associated finding aids.	N1-440-05-01, Item 2a	Permanent	No change. Bucketing all related records, with new transfer instructions.	Office of Communications (OC)
		<b>Digital or electronic images of senior agency officials conducting activities related to the mission of the Agency.</b> Including documentary photographs shot during the construction process (in 1995) of the agency's new facility and all associated electronic or hard copy finding aids.	N1-440-05-01, Item 2b	Permanent	No change. Bucketing all related records, with new transfer instructions.	Office of Communications (OC)
	<b>Mission-Related Video Productions</b>	<b>Agency Video productions.</b> Agency Video Productions (television commercials, broadcasts, advertisements, news releases, public service announcements, satellite broadcasts, CMS-sponsored training/seminars, etc.) and associated finding aids.	N1-440-05-01, Item 1b	Permanent	No change. Unify transfer date for all permanent records.	Office of Communications (OC), Media Relations Group (MRG)



satellite broadcasts, CMS-sponsored training/seminars, etc.) and associated finding aids.		<b>Speeches by Administrator/CMS Officials.</b> Recordings/Productions - Audio, video, sound, filmstrip and power point productions produced by CMS or CMS contractors pertaining to official speeches, press conferences, meetings, interviews, and panel discussions of the Administrator, Deputy Administrator, or other CMS officials, and associated finding aids.	N1-440-05-01, Item 1a	Permanent	No change. Unify transfer date for all permanent records.	Office of Communications (OC), Media Relations Group (MRG)
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**DISPOSITION AUTHORITY, DAA-0440-2015-0011, Item 0003**

**8C: All other Public Outreach and Engagement Records.** Records that support or document the dissemination of information to the public, or document CMS's interaction with the public. Includes records that support the creation of formal products, are considered reference or "ease of use" versions, or otherwise do not fall into the definitions within Items 8A (0001) or 8B (0002). Includes, but is not limited to, website records, non-recordkeeping versions of educational publications, non-mission-related photography, and other records. Temporary, destroy when one year old, or when no longer needed for agency business, whichever is later.

Sub-bucket	Series	Superseded Series Title and Description	Original Authority	Original Retention	Change	Office of Record
<b>8C1: Website Records:</b> all records related to the operations and design of all CMS-owned and operated websites, including www.cms.gov, www.medicare.gov, www.medicaid.gov, www.healthcare.gov, and CMS intranet. Includes content, which is intended for reference purposes only. <b>NOTE:</b> the official record-keeping copy of all records is kept off the web; CMS websites are not used for official record-keeping purposes.		<b>Web Postings of Rulemaking Records.</b> Web postings on CMS or Food and Drug Administration (FDA) Rulemaking Website. Records consist of public comments received in the AIMS System (operated by FDA) and then posted on the CMS website. (CMS downloads comments in pdf format and places in appropriate file).	N1-440-05-02, Item 3	5 years	Reduction in retention period.	
		<b>Website content snapshot.</b> Snapshot of agency public website and intranet website taken before significant changes are implemented (i.e. change of administration, website redesign).	N1-440-09-13, Item 8	1 year or when no longer needed	No change.	
		<b>Scanned amendments (State Plans, Medicaid).</b> Web version of approved State plans for States' administration of the Medicaid program.	N1-440-01-03, Item 1e	When superseded or obsolete	Increase in retention.	

<p><b>Published web content.</b> Published Web Content - All the HTML-encoded pages, interactive applications, databases, and other information posted to the web. The agency website,(www.cms.hhs.gov), provides information to the public and agency clients about the agency and its services. Content published on the web/Intranet site is covered by the records schedule of the component organization that originated the content. The website includes but not limited to web versions of the following: 1) Information about the agency including mission statements, organizational structure, budgeting, and strategic planning. 2) Press releases and information about special events and conferences. 3) Agency policies and guidance. 4) Statistics and research conducted by the agency. 5) Grant opportunities. The website also includes but not limited to content including: 1) Information about agency programs and services. 2) Information about and/or links to online resources related to agency services and programs.</p>	<p>N1-440-09-13, Item 1</p>	<p>When superseded or obsolete</p>	<p>Increase in retention.</p>	
<p><b>CMS Intranet Content</b></p>	<p>N1-440-09-13, Item 2</p>	<p>When superseded or obsolete</p>	<p>No change.</p>	
<p><b>System Usage (website usage) Records</b></p>	<p>GRS 3.1, Item 020</p>	<p>3 years</p>	<p>Reduction in retention period.</p>	
<p><b>System Performance (website performance) Records</b></p>	<p>GRS 3.1, Item 020</p>	<p>3 years</p>	<p>Reduction in retention period.</p>	
<p><b>Website design.</b> Records produced in the process of developing and updating design and implementation of pages on the agency websites (Internet and Intranet), including design records and templates.</p>	<p>N1-440-09-13, Item 5</p>	<p>1 year or when no longer needed</p>	<p>No change.</p>	

<b>8C2: Educational and Outreach Records:</b> records related to formal CMS publications, video productions, and other communication related activities that do not fit the definition of Item 8A2. Includes background materials, non-recordkeeping versions, and other supporting documentation used in the creation and dissemination of educational material.		<b>Training Publication Files, Administrative Issuances.</b> Official file copies of manuals, textbooks, training aids, and similar materials developed in the performance of training courses, seminars and other activities. Included are documents related to the various health Care Financing Administration program matters and administration issues.	NC1-440-79-02, Item 12; GRS 6.4, Item 030	5 years after supersession	Reduction in retention period.	
		<b>Exhibits (Graphics Arts).</b>	N1-440-05-01, Item 3c	When no longer needed	Increase in retention.	
		<b>Routine artwork (Graphics Arts).</b> Routine artwork for handbills, flyers, posters, letterhead and other graphics and all associated finding aids.	N1-440-05-01, Item 3d	When no longer needed	Increase in retention.	
		<b>Educational Publications.</b> Non-recordkeeping versions of educational publications, including audio versions, different languages, etc.	DAA-0440-2012-0016, item 0002	When no longer needed	Increase in retention.	
<b>8C3: Non-Mission Related Photographs</b>		<b>Photographs of Routine Award Ceremonies, Social Events, and Activities not Related to the Mission of the Agency.</b>	GRS 6.4, Item 050	1 year	No change.	
<b>8C4: Training Records.</b> Records related to outreach and engagement through CMS training programs, for providers, beneficiaries, and other program participations. Includes systems used for registration, such as the registration for Technical Assistance Portal (REGTAP).	<b>Registration Records.</b> Records related to participants registering for any CMS training, or educational resources.	<b>Registration for Technical Assistance Portal (REGTAP).</b> REGTAP is a web-based application which assists CMS in its efforts as an outreach resource for technical assistance, training and resources for the Health Insurance Marketplaces and Marketplace Stabilization Programs. Registered REGTAP users may register for training and outreach events, view Library resources, submit questions through the Inquiry Tracking and Management System (ITMS), and view Frequently Asked Questions (FAQs). Additionally, REGTAP provides announcements of upcoming events, new FAQs, and new information related to issuers and other stakeholders participating in the Health Insurance Marketplaces. REGTAP sends and receives information through a stand-alone web-based application.	NEW	n/a	n/a	

	<b>Participant Files.</b> Files on participants to CMS training or research events.	<b>International Participants.</b> Files of participants in CMS training.	NEW	n/a	n/a	
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