

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-440-09-1A	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 9-24-2009	
1. FROM (Agency or establishment) Department of Health and Human Services		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Centers for Medicare and Medicaid Services (CMS)			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Vickie Robey, CMS Records Officer	5. TELEPHONE NUMBER 410-786-7883	DATE 17 Aug 10	ARCHIVIST OF THE UNITED STATES
6. 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 on the attached <u>2</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 09/23/2009	SIGNATURE OF AGENCY REPRESENTATIVE S:// Yvonne K. Wilson		TITLE HHS Records Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<u>CMS Strategic Work Information Folder Transfer (SWIFT) Freedom of Information Act (FOIA, or the Act) Module</u> See attached.		

Attachment to SF-115, for CMS Electronic Systems Schedule

Strategic Work Information Folder Transfer (SWIFT)

SWIFT is a workflow/document management system for the Agency's inquiries. Includes but not limited to tracking and controlling Executive correspondence, Reports to Congress, invitations received by the Administrator's Office to make public appearances and attend meetings received on or after June 1, 2008; supports CMS offices and contractors function of complying with legal requirements in the administration of public requests for records under the FOIA necessary for the various workflow processes inherent in the tracking, searching, retrieving, redacting, and releasing of FOIA-requested records received on or after January 1 2009.

1. Input/Source Records

~~1a. Description of incoming correspondence (date of letter, addressee and sender's name, address, organization), folder creation date, CMS Coordinator's name, Status of assignment, due date, document details (subject/synopsis description); document category (e.g., White House, Congressional, Private Sector, lawyers, etc.); Reports to Congress; Closing Details (signed by, signature type, response type, closing office, closing remarks, date signed, date mailed, date closed)~~

DISPOSITION:

~~1a1. Paper Documents (Recordkeeping Copy). PERMANENT: Cutoff annually. Transfer to the National Archives and Records Administration in 5-year blocks in accordance with 36 CFR 1228.270. (Current Disposition Authority: N1-440-07-1, Item 9 for Executive Correspondence and N1-440-95-1, Item 6 for Congressional Reports).~~

~~1a2. Electronic Records. Temporary. Cutoff annually. Destroy/delete 1 year after cutoff, or when no longer needed for Agency business, whichever is longer.~~

~~1b. Electronic and paper FOIA requests—Includes but are not limited to: names and addresses of requesters, scanned copies of incoming requests, types of records requested, FOIA-specified categories of requesters, notes regarding the efforts of staff / contractors to fulfill records requests, estimated and actual cost data to fulfill requests, current status of requests, types of fees assessed, names of program offices and contractors involved in the fulfillment of requests, etc.~~

~~Temporary. Destroy/delete after information has been converted to an electronic medium and verified (GRS 20, Item 2a4).~~

2. Master files:

~~Includes but not limited to: Executive Correspondence/Reports/Requests for Meetings received on or after June 1, 2008 and FOIA requests and appeals received on or after January 1, 2009. System contains data elements for submission to the Department of Health and Human Services reflective of CMS FOIA activity for inclusion in a Department-wide annual report submitted to the U.S. Department of Justice and Congress, as required in the FOIA.~~

INACTIVE - ALL ITEMS SUPERSEDED

Disposition:

~~a. Executive Correspondence/Reports/Meeting Requests - Temporary. Cutoff closed and/or inactive jobs annually. Destroy/delete 2 years after cutoff or when no longer needed for agency business, whichever is longer.~~

~~b. FOIA Completed/Inactive Requests - Temporary. Cutoff annually and destroy/delete 2 years after cutoff. (GRS 14, item 13)~~

~~c. FOIA Denials/Appeals - Temporary. Cutoff annually and destroy 6 years after the final decision/appeal. (GRS 14, Item 13).~~

Superseded by:

DAA-0440-2015-0001-0001

DATE (MM/DD/YYYY):

01/15/2017

3. Outputs

~~3a. Summary Reports, Electronic - electronic copies of reports for all executive correspondence and Congressional Reports tracked by the SWIFT system, including all fields.~~

~~DISPOSITION: PERMANENT. Produce electronic report(s) of closed and/or inactive jobs at time master file is cutoff. Transfer electronic copy in an acceptable format (following current CFR guidelines) to the National Archives 3 years after master file is cutoff.~~

~~3b. Summary Reports, Hardcopy - hardcopy copies of reports for all executive correspondence and congressional reports tracked by the SWIFT system, including all fields, arranged by close date.~~

~~DISPOSITION: PERMANENT. Produce hardcopy report(s) annually of closed and/or inactive jobs. Transfer copy during transfer of textual records that the report corresponds to (authorized by jobs N1-440-07-1, item 9 for Executive Correspondence and N1-440-95-1, item 6 for Congressional Reports).~~

~~3c. Reports - Other reports not covered above, i.e., FOIA Correspondence/FOIA status Reports, Activity Reports, Reports on the overall performance of FOIA activities and work processes within CMS. Statistical FOIA data for submission to HHS for inclusion in the annual report of FOIA activity. CMS FOIA activity data used to evaluate overall performance of FOIA work processes within the agency. (GRS 20, item 12)~~

~~DISPOSITION: Temporary. Cutoff annually. Destroy/delete 2 years after cutoff.~~

~~3d. Ad Hoc Reports~~

~~DISPOSITION: Temporary. Cutoff annually. Destroy/delete 1 year after cutoff, or when no longer need for Agency business, whichever is later. (GRS 20, item 12)~~

Superseded by job / item number:

DAA-0440-2015-0001-0001

Date (MM/DD/YYYY):

11/22/2016