

Request for Records Disposition Authority

Records Schedule Number DAA-0468-2013-0008

Schedule Status Approved

Agency or Establishment Department of Health and Human Services

Record Group / Scheduling Group General Records of the Department of Health and Human Services

Records Schedule applies to Major Subdivision

Major Subdivision Office of the Secretary (OS)

Minor Subdivision Office of the Inspector General (OIG)

Schedule Subject Records of the Immediate Office of the Inspector General (IG) of Health and Human Services

Internal agency concurrences will be provided Yes

Background Information The Immediate Office (IO) of the Inspector General (IG) is responsible for ensuring that the Office of Inspector General (OIG) fulfills its mission, as mandated by the Inspector General Act of 1978, to promote the economy, efficiency, and effectiveness of Department of Health and Human Services (HHS) programs through prevention and detection of waste, fraud, and abuse. IO also ensures that OIG meets its responsibilities for reporting the results of its audits, evaluations, legal cases, and investigations to the Secretary of HHS and Congress.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
8	4	4	0

GAO Approval

Outline of Records Schedule Items for DAA-0468-2013-0008

Sequence Number	
1	Records of the Immediate Office of the Inspector General
1.1	Official Files of the Inspector General of the Department of Health and Human Services Disposition Authority Number: DAA-0468-2013-0008-0001
1.2	Press Releases Disposition Authority Number: DAA-0468-2013-0008-0002
1.3	Congressional Substantive Correspondence
1.3.1	Congressional Substantive Correspondence Disposition Authority Number: DAA-0468-2013-0008-0003
1.3.2	Congressional Routine Correspondence Disposition Authority Number: DAA-0468-2013-0008-0004
1.4	Testimonies Disposition Authority Number: DAA-0468-2013-0008-0005
1.5	Federal Rules and Regulations and Supporting Records
1.5.1	Federal Rules and Regulations and Supporting Records Disposition Authority Number: DAA-0468-2013-0008-0006
1.6	Congressionally Mandated Reports
1.6.1	Congressionally Mandated Reports Disposition Authority Number: DAA-0468-2013-0008-0007
1.6.2	Congressionally Mandated Reports Working Papers Disposition Authority Number: DAA-0468-2013-0008-0008

Records Schedule Items

Sequence Number	
1	<p>Records of the Immediate Office of the Inspector General IO is responsible for supervising and coordinating the activities of OIG's component offices; setting direction, in collaboration with the components, for OIG's priorities and strategic planning; ensuring effective internal quality controls and management; and serving as a liaison with HHS, Congress, and other stakeholders. IO plans, conducts, and participates in a variety of cooperative projects, such as the Health Care Fraud Prevention and Enforcement Action Team, within HHS and with other Government agencies.</p>
1.1	<p>Official Files of the Inspector General of the Department of Health and Human Services</p> <p>Disposition Authority Number DAA-0468-2013-0008-0001</p> <p>Record copies of daily schedules/calendars, meeting agendas, biography, and official photographs of the IG. Text or speaking points for IG speeches. Any other information appropriate for inclusion with the briefing book records of the IG.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</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> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at end of calendar year in which document was created.</p> <p>Transfer to Inactive Storage Transfer paper records to a Federal Records Center (FRC) at the end of the calendar year when the IG separates.</p> <p>Transfer to the National Archives for Accessioning Transfer paper records to the National Archives in 4-year blocks when the most recent record in the block is 30 years old. Transfer electronic records in 4-year blocks when the earliest record in the block is 5 years old.</p>

Additional Information

First year of records accumulation **2005**
 What will be the date span of the initial transfer of records to the National Archives? **From 2005 To 2009**
 How frequently will your agency transfer these records to the National Archives? **Every 4 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	1 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

1.2

Press Releases

Disposition Authority Number **DAA-0468-2013-0008-0002**

Notices to media outlets about significant OIG events related to its fighting of waste, fraud, and abuse in HHS programs.

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**

Disposition Instruction

Cutoff Instruction **Cut off at end of calendar year in which notice is issued.**

Transfer to Inactive Storage **Transfer paper records to a FRC at the end of the calendar year when the IG separates.**

Transfer to the National Archives for Accessioning

Transfer paper records to the National Archives in 4-year blocks when the most recent record in the block is 15 years old. Transfer electronic records in 4-year blocks when the earliest record in the block is 5 years old.

Additional Information

First year of records accumulation 2008

What will be the date span of the initial transfer of records to the National Archives? From 2008 To 2012

How frequently will your agency transfer these records to the National Archives? Every 4 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	1 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

1.3

Congressional Substantive Correspondence
Correspondence files that relate to liaison with Members of Congress.

1.3.1

Congressional Substantive Correspondence

Disposition Authority Number DAA-0468-2013-0008-0003

Correspondence files that relate to liaison with Members of Congress. Copies of incoming and outgoing congressional correspondence when the reply is signed by the IG.

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

Disposition Instruction

Cutoff Instruction

Cut off at end of calendar year in which OIG sent a reply.

Transfer to Inactive Storage

Transfer paper records to an FRC at the end of the calendar year when the IG separates.

Transfer to the National Archives for Accessioning

Transfer paper records to the National Archives in 4-year blocks when the most recent record in the block is 15 years old. Transfer electronic records in 4-year blocks when the earliest record in the block is 5 years old.

Additional Information

First year of records accumulation 2011

What will be the date span of the initial transfer of records to the National Archives? From 2011 To 2015

How frequently will your agency transfer these records to the National Archives? Every 4 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	1 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

1.3.2

Congressional Routine Correspondence

Disposition Authority Number DAA-0468-2013-0008-0004

Copies of incoming and outgoing congressional correspondence when the reply is not signed by the IG.

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?	No
	GRS or Superseded Authority Citation	N1-468-00-1 Item 4.e.
	Disposition Instruction	
	Cutoff Instruction	Cut off at end of calendar year in which OIG sent a reply.
	Retention Period	Destroy 3 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
1.4	Testimonies	
	Disposition Authority Number	DAA-0468-2013-0008-0005
	Written testimonies of OIG officials before congressional committees. The testimonies may relate to oversight in which no specific legislation is involved or to hearings on specific legislation. Written testimonies are posted on oig.hhs.gov.	
	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?	No
	GRS or Superseded Authority Citation	N1-468-00-1 Item 3.f.
	Disposition Instruction	
	Cutoff Instruction	Cut off at end of calendar year in which testimonies were given to congressional committees.
	Transfer to Inactive Storage	Transfer paper records to an FRC at the end of the calendar year when the IG separates.

	Retention Period	Destroy 3 year(s) after separation of the IG
	Additional Information	
	GAO Approval	Not Required
1.5	Federal Rules and Regulations and Supporting Records	Federal regulations created by HHS-OIG and published in the Federal Register. Such regulations can result from changes in the law or developments in OIG's efforts to combat fraud, waste, and abuse in HHS programs.
1.5.1	Federal Rules and Regulations and Supporting Records	
	Disposition Authority Number	DAA-0468-2013-0008-0006
		Federal rules and regulations created by HHS-OIG and published in the Federal Register. Such rules and regulations can result from changes in the law or developments in OIG's efforts to combat fraud, waste, and abuse in HHS programs. These records include but are not limited to supporting background materials and working papers pertaining to the creation of such rules and regulations.
	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?	No
	GRS or Superseded Authority Citation	N1-468-00-1, Item 3.g.(1) N1-468-00-1, Item 3.g.(2)
	Disposition Instruction	
	Cutoff Instruction	Cut off at end of calendar year in which rule or regulation is superseded.
	Transfer to Inactive Storage	Transfer paper records to an FRC at the end of the calendar year when the IG separates.
	Retention Period	Destroy 3 year(s) after separation of the IG
	Additional Information	
	GAO Approval	Not Required
1.6	Congressionally Mandated Reports	Reports submitted to Congress pursuant to the Inspector General Act.

1.6.1

Congressionally Mandated Reports

Disposition Authority Number DAA-0468-2013-0008-0007

Reports submitted to Congress pursuant to the IG Act, summarizing significant OIG activities for the 6-month periods ending March 31 and September 30 and other reports as mandated by Congress.

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

Disposition Instruction

Cutoff Instruction Cut off at end of calendar year in which OIG published the report.

Transfer to Inactive Storage Transfer paper records to an FRC at the end of the calendar year when the IG separates

Transfer to the National Archives for Accessioning Transfer paper records to the National Archives in 4-year blocks when the most recent record in the block is 15 years old. Transfer electronic records in 4-year blocks when the earliest record in the block is 5 years old.

Additional Information

First year of records accumulation 2005

What will be the date span of the initial transfer of records to the National Archives? From 2005 To 2009

How frequently will your agency transfer these records to the National Archives? Every 4 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	1 Cubic feet	

Microform		
Hardcopy or Analog Special Media		

1.6.2

Congressionally Mandated Reports Working Papers

Disposition Authority Number **DAA-0468-2013-0008-0008**

Working papers of congressionally mandated reports, which include but are not limited to materials submitted by OIG components about their work products that are synopsised in the congressionally mandated reports and publication staff comments regarding that material.

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? **No**

Disposition Instruction

Cutoff Instruction **Cut off at end of calendar year in which OIG published the report.**

Retention Period **Destroy 3 year(s) after cutoff**

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
04/10/2013	Certify	Elaine Pankey	HHS Office of the Secretary Records Officer	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
09/24/2013	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
09/30/2013	Submit For Certification	Elaine Pankey	HHS Office of the Secretary Records Officer	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
09/30/2013	Certify	Elaine Pankey	HHS Office of the Secretary Records Officer	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
03/18/2014	Submit for Concurrence	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
03/21/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
03/24/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program

03/25/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist
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