

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2013-0010

Status: APPROVED
Date Approved: 04/25/2014

General Information

Agency or Establishment	Department of Health and Human Services
Record/Scheduling Group	0468 - General Records of the Department of Health and Human Services
Records Schedule Applies To	Agency Subdivision
Major Subdivision	Office of the Secretary (OS)
Minor Subdivision	Office of the Inspector General (OIG)
Schedule Subject	Records of the Office of Audit Services (OAS) of the Inspector General (IG) of Health and Human Services
Additional Schedule Information	The Office of Audit Services (OAS) examines the performance of HHS programs and HHS grantees and contractors in implementing their responsibilities and provides independent assessments of HHS programs and operations. The recommendations that OIG makes as a result of these assessments help reduce waste, abuse, and mismanagement and promote economy and efficiency throughout HHS. For example, if a hospital has received more Federal money than it was owed, our audit would determine the amount to be paid back to the Federal Government. OAS conducts audits using its own resources and oversees audit work done by others. It conducts its work in accordance with Government Auditing Standards issued by the Comptroller General of the United States; the Single Audit Act Amendments of 1996; applicable Office of Management and Budget circulars; and other legal, regulatory, and administrative requirements.
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	Predate requirement

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Item Count

Total number of disposition items: 3

Number of Temporary disposition items: 2

Number of Permanent disposition items: 1

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 1

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Outline of Records Schedule Items for DAA-0468-2013-0010

Item #	Title	Disposition
0001	Audit Reports : Final Audit Reports	Temporary
0002	Audit Reports : Audit Working Papers	Temporary
0003	Audit Reports : Significant Final Audit Reports	Permanent

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Records Schedule Items

Group Title	Audit Reports	
Group Description	Audit reports prepared by auditors trained to examine agency performance, describe strengths and weaknesses, and provide recommendations to management for improvement. Audit staff prepares a concise final report which is incorporated, along with the working papers, into the report file on completion of each audit.	
DAA-0468-2013-0010-0001		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Final Audit Reports	
Item Description	Final audit reports are issued to the agency, contractor, or grantee about which the report is written. Reports include the criteria, such as laws and agency guidelines, by which auditors have measured agency performance; findings, such as Federal Government funds that should be paid back; and recommendations to improve agency performance. Reports of “internal” audits (covering HHS programs, operations, and procedures) and of “external” audits (covering contractors and grantees that have been funded by HHS programs).	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-468-00-1 Item 2 a. and b.	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off at end of fiscal year in which audit is closed.	
Retention Period	Destroy 8 year(s) after cutoff	
ADDITIONAL INFORMATION		

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Are any of the records covered by this item national security classified?		
GAO Approval Required		No
DAA-0468-2013-0010-0002		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title		Audit Working Papers
Item Description		Records created or acquired during the course of an audit and the development of the final audit report, including correspondence, notes, and related work files.
Is this item media neutral?		Yes
Is this item a Big Bucket?		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?		Yes
		Superseded Items
Superseded Item	Item Superseded in Part?	Explanation
N1-468-00-1, Item 2 a. and b.	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition		Temporary
Cutoff Instructions		Other: Cut off at end of fiscal year in which audit is closed
Retention Period		Destroy 8 year(s) after cutoff
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required		No
DAA-0468-2013-0010-0003		STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION		
Item Title		Significant Final Audit Reports
Item Description		Final audit reports that are included in HHS-OIG's Semiannual Report to Congress.
Is this item media neutral?		Yes
Is this item a Big Bucket?		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		

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Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0468-2024-0002-0006 on 01/22/2025.	
Final Disposition	Permanent
Cutoff Instructions	Other: Cut off files at end of fiscal year in which audit is closed.
Are there multiple instructions for this item?	No
Transfer Instruction	Transfer to the National Archives 15 year(s) after cutoff
ADDITIONAL INFORMATION	
Approximate first year of records covered by this authority	2005
End year of records covered by this authority	Still being created
Date span of the initial transfer	From: --/--/2005 To: --/--/2009
Frequency of transfer	4
Are any of the records covered by this item subject to a FOIA exemption?	

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Signatory Information

Action	User	Date
Approve	David Ferriero	04/25/2014