

Request for Records Disposition Authority

Records Schedule Number **DAA-0468-2013-0010**

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 Office of Audit Services (OAS) of the Inspector General (IG) of Health and Human Services**

Internal agency concurrences will be provided **Yes**

Background 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.**

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	1	2	0

GAO Approval

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

Sequence Number	
1	Audit Reports
1.1	Final Audit Reports Disposition Authority Number: DAA-0468-2013-0010-0001
1.2	Audit Working Papers Disposition Authority Number: DAA-0468-2013-0010-0002
1.3	Significant Final Audit Reports Disposition Authority Number: DAA-0468-2013-0010-0003

Records Schedule Items

Sequence Number	
1	<p>Audit Reports 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.</p>
1.1	<p>Final Audit Reports</p> <p>Disposition Authority Number DAA-0468-2013-0010-0001</p> <p>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).</p> <p>Final Disposition Temporary</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>GRS or Superseded Authority Citation N1-468-00-1 Item 2 a. and b.</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at end of fiscal year in which audit is closed.</p> <p>Transfer to Inactive Storage Transfer to Federal Records Center 3 years after cutoff as necessary.</p> <p>Retention Period Destroy 8 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>

1.2

Audit Working Papers

Disposition Authority Number DAA-0468-2013-0010-0002

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.

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 2 a. and b.

Disposition Instruction

Cutoff Instruction Cut off at end of fiscal year in which audit is closed

Transfer to Inactive Storage Transfer to the Federal Records Center three years after cutoff as necessary.

Retention Period Destroy 8 year(s) after cutoff

Additional Information

GAO Approval Not Required

1.3

Significant Final Audit Reports

Disposition Authority Number DAA-0468-2013-0010-0003

Final audit reports that are included in HHS-OIG's Semiannual Report to 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 files at end of fiscal year in which audit is closed.
Transfer Electronic Records to the National Archives for Pre-Accessioning	Transfer electronic records to the National Archives for pre-accessioning 5 year(s) after cut off
Transfer to the National Archives for Accessioning	Transfer to the National Archives 15 year(s) after cutoff

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		

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
06/20/2013	Certify	Elaine Pankey	HHS Office of the Secretary Records Officer	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
01/15/2014	Return for Revision	Tom Cotter	Appraiser	National Archives and Records Administration - Records Management Services
01/24/2014	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
01/24/2014	Certify	Elaine Pankey	HHS Office of the Secretary Records Officer	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
04/17/2014	Submit for Concurrence	Tom Cotter	Appraiser	National Archives and Records Administration - Records Management Services
04/24/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
04/24/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program

04/25/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist
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