

Request for Records Disposition Authority

Records Schedule Number DAA-0468-2013-0012
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 Evaluation and Inspections (OEI) of the
Inspector General (IG) of Health and Human Services

Internal agency concurrences will be provided Yes

Background Information The Office of Evaluation and Inspections (OEI) performs two main functions: (1) conducts evaluations of HHS programs resulting in reports that include evaluation findings and recommendations to make HHS programs more effective and efficient and (2) oversees performance of State Medicaid Fraud Control Units (MFCU) in their mission to investigate and prosecute Medicaid fraud and patient abuse and neglect.

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 4 | 1 | 3 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0468-2013-0012

| Sequence Number | |
|-----------------|--|
| 1 | Evaluation Reports |
| 1.1 | Final Evaluation Reports Disposition Authority Number: DAA-0468-2013-0012-0001 |
| 1.2 | Evaluation Working Papers Disposition Authority Number: DAA-0468-2013-0012-0002 |
| 1.3 | Significant Final Evaluation Reports Disposition Authority Number: DAA-0468-2013-0012-0003 |
| 2 | Medicaid Fraud Control Unit (MFCU) Program Files Disposition Authority Number: DAA-0468-2013-0012-0004 |

Records Schedule Items

| Sequence Number | |
|-----------------|--|
| 1 | <p>Evaluation Reports The evaluation staff prepares a concise final report which is incorporated, along with the supporting work papers, into the report file on completion of each evaluation. Evaluation reports are created by program analysts trained to measure effectiveness and efficiency in large-scale programs such as Medicare and recommend actions to program management for increasing program effectiveness.</p> |
| 1.1 | <p>Final Evaluation Reports Disposition Authority Number DAA-0468-2013-0012-0001</p> <p>These records include reports of HHS program evaluations that assist HHS agencies' management to identify, analyze, and resolve program and organizational performance or policy issues. Ideas for evaluations come from HHS agencies, Congress, and OIG staff.</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.</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at end of fiscal year in which evaluation is closed.</p> <p>Transfer to Inactive Storage Transfer paper records to the Federal Records Center 2 years after cutoff.</p> <p>Retention Period Destroy 8 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p> |
| 1.2 | <p>Evaluation Working Papers Disposition Authority Number DAA-0468-2013-0012-0002</p> |

Records such as survey questionnaires, rough draft proposals, and correspondence, created or acquired during an evaluation and the development of the final report.

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 b.

Disposition Instruction

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

Transfer to Inactive Storage Transfer paper records to the Federal Records Center 2 years after cutoff.

Retention Period Destroy 5 year(s) after cutoff

Additional Information

GAO Approval Not Required

1.3

Significant Final Evaluation Reports

Disposition Authority Number DAA-0468-2013-0012-0003

These records include evaluation 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 evaluation is closed.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **Unknown**
To be discussed during the NARA on-site appraisal meeting

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

2

Medicaid Fraud Control Unit (MFCU) Program Files

Disposition Authority Number **DAA-0468-2013-0012-0004**

Files documenting oversight of performance of State MFCUs in their mission to investigate and prosecute Medicaid fraud and patient abuse and neglect. Files include certification and annual re-certification materials, statistical information received from MFCUs, and correspondence and other materials reflecting day-to-day oversight of MFCU performance. Each file includes these records for one State MFCU for one fiscal year. Files are created by OEI program analysts specializing in the MFCU oversight.

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 files at end of fiscal year in which OIG receives a MFCU's final Financial Status Report, SF-425

Transfer to Inactive Storage Transfer paper records to the Federal Records Center 2 years after cutoff as necessary.

Retention Period Destroy 15 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 |
|------------|------------------------|-----------------|---|--|
| 06/21/2013 | Certify | Elaine Pankey | HHS Office of the Secretary Records Officer | Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer |
| 10/29/2014 | Submit for Concurrence | Tom Cotter | Appraiser | National Archives and Records Administration - Records Management Services |
| 10/30/2014 | Concur | Laurence Brewer | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 10/30/2014 | Concur | Laurence Brewer | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 11/03/2014 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |