

Request for Records Disposition Authority

Records Schedule Number DAA-0468-2013-0013

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 Investigations (OI) of the Inspector General (IG) of Health and Human Services

Internal agency concurrences will be provided Yes

Background Information The mission of the Office of Investigations (OI) is to protect the integrity of the programs administered by the U.S. Department of Health and Human Services (HHS). OI conducts criminal, civil, and administrative investigations of fraud and misconduct related to HHS programs, operations and employees.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GAO Approval

Outline of Records Schedule Items for DAA-0468-2013-0013

Sequence Number	
1	Investigative Case Files
1.1	Investigations of Alleged Fraud, Abuse and Irregularities or Violations of Laws and Regulations Disposition Authority Number: DAA-0468-2013-0013-0001
1.2	Allegations Not Resulting in Formal Case Files Disposition Authority Number: DAA-0468-2013-0013-0002

Records Schedule Items

Sequence Number	
1	<p>Investigative Case Files These files include criminal, civil, and administrative investigations of fraud and misconduct related to HHS programs, operations and employees.</p>
1.1	<p>Investigations of Alleged Fraud, Abuse and Irregularities or Violations of Laws and Regulations</p> <p>Disposition Authority Number DAA-0468-2013-0013-0001</p> <p>Formal investigative case files developed during investigations of known or alleged fraud, abuse, and irregularities or violations of laws and regulations. Cases related to HHS personnel, programs, and operations administered or financed by HHS, including contractors and others having a relationship with HHS. They include case files that were created as a result of employee and OIG Hotline complaints, and other miscellaneous complaint files such as those coming in via mail, email, telephone, or fax to the Secretary or Inspector General. These records are also known as "Formal Case Files," they are created by OI personnel.</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 1 a.</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at end of fiscal year in which case 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 15 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
1.2	<p>Allegations Not Resulting in Formal Case Files</p>

Disposition Authority Number **DAA-0468-2013-0013-0002**

Files containing information or allegations of an investigative nature that do not result in the establishment of a formal case file. The files cover anonymous or vague allegations not warranting an investigation, matters referred to other agencies for handling, OIG Hotline complaints, "EX-File" Exclusions cases regarding health care providers who may be excluded from Federal health care programs, as well as supporting files providing general information which may prove useful in Inspector General investigations.

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 1 b.**

Disposition Instruction

Cutoff Instruction **Cut off at end of fiscal year in which case 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**

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
06/04/2014	Return for Revision	Tom Cotter	Appraiser	National Archives and Records Administration - Records Management Services
07/15/2014	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
07/15/2014	Certify	Elaine Pankey	HHS Office of the Secretary Records Officer	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
09/02/2014	Submit for Concurrence	Tom Cotter	Appraiser	National Archives and Records Administration - Records Management Services
09/03/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
09/03/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program

09/04/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist
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