

Request for Records Disposition Authority

Records Schedule Number DAA-0468-2016-0002
 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
 Minor Subdivision Office of the Inspector General
 Schedule Subject Correspondence Control Management System
 Internal agency concurrences will be provided Yes

Background Information

The Document Control and Review (DCR) Branch of the Office of Executive Secretariat is business owner of the Correspondence Control Management (CCM) database. Executive Secretariat is part of the Office of External Affairs within the Executive Management Office of the Office of Inspector General of the Department of Health and Human Services.

The primary responsibility of DCR is to review, track, and maintain the record copy of correspondence to the Inspector General (IG) and his signed replies to Members of Congress and others; testimony and statements for congressional committees; press releases; federal rules and regulations created by OIG; and congressionally mandated reports. CCM also contains records of items signed by the IG for which DCR is not the custodian; such records are not included in this DAA.

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0468-2016-0002

Sequence Number	
1	Correspondence Control Management System (CCM)
1.1	Congressional Correspondence
1.1.1	Congressional Substantive Correspondence Disposition Authority Number: DAA-0468-2016-0002-0001
1.1.2	Congressional Routine Correspondence Disposition Authority Number: DAA-0468-2016-0002-0002
1.2	Testimony
1.2.1	Testimony Disposition Authority Number: DAA-0468-2016-0002-0003
1.3	Federal Rules and Regulations and Supporting Records Disposition Authority Number: DAA-0468-2016-0002-0004
1.4	Congressionally Mandated Reports
1.4.1	Congressionally Mandated Reports Disposition Authority Number: DAA-0468-2016-0002-0005
1.4.2	Congressionally Mandated Reports Working Papers Disposition Authority Number: DAA-0468-2016-0002-0006
1.5	Press Releases Disposition Authority Number: DAA-0468-2016-0002-0007
1.6	Policies Disposition Authority Number: DAA-0468-2016-0002-0008

Records Schedule Items

Sequence Number	
1	<p>Correspondence Control Management System (CCM) Correspondence Control Management System (CCM) is a tracking database used by Document Control and Review Branch (DCR) for tracking Inspector General signed documents, including those, such as audit and evaluation reports, for which DCR is not the records custodian.</p>
1.1	<p>Congressional Correspondence Correspondence files relating to liaison with Members of Congress that include but are not limited to copies of incoming requests and outgoing replies to Congress.</p>
1.1.1	<p>Congressional Substantive Correspondence Disposition Authority Number DAA-0468-2016-0002-0001</p> <p>Correspondence files relating to liaison with Members of Congress that include but are not limited to copies of incoming requests and outgoing replies to Congress. Inquiries are originated by Members of Congress and pertain to substantive policy issues and program functions (i.e., plans, objectives, or responsibilities that relate to congressionally mandated OIG functions). These files are maintained by the office with primary responsibility for controlling this type of congressional correspondence.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation These records are all in electronic format.</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? Yes</p> <p>GRS or Superseded Authority Citation DAA-0468-2013-0008-0003</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at end of calendar year in which OIG sent the final reply.</p> <p>Transfer to the National Archives for Accessioning Transfer to NARA 15 years after the IG separates.</p>

Additional Information

First year of records accumulation **2003**

What will be the date span of the initial transfer of records to the National Archives? **Unknown**
15 years after the IG separates

How frequently will your agency transfer these records to the National Archives? **Unknown**
15 years after the IG separates

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	4 GB	0.5 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

1.1.2

Congressional Routine Correspondence

Disposition Authority Number **DAA-0468-2016-0002-0002**

Copies of incoming and outgoing congressional correspondence that are signed by someone other than the IG. Inquiries are originated by Members of Congress or constituents concerning requests such as constituent removal from OIG's List of Excluded Individuals and Entities. These files are maintained by the office with primary responsibility for controlling this type of congressional correspondence.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **These records are in electronic format**

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? **Yes**

GRS or Superseded Authority Citation **DAA-0468-2013-0008-0004**

	Disposition Instruction	
	Cutoff Instruction	Cut off at end of the calendar year in which OIG sent the final reply.
	Retention Period	Destroy 3 years after cutoff, but longer retention is authorized if required for business use.
	Additional Information	
	GAO Approval	Not Required
1.2	Testimony	
	Written testimony 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.	
1.2.1	Testimony	
	Disposition Authority Number	DAA-0468-2016-0002-0003
	Written testimony 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?	No
	Explanation of limitation	These records are in electronic format
	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?	Yes
	GRS or Superseded Authority Citation	DAA-0468-2013-0008-0005
	Disposition Instruction	
	Cutoff Instruction	Cut off at end of calendar year in which testimonies were given to congressional committees.
	Retention Period	Destroy 3 years after Inspector General separates.
	Additional Information	
	GAO Approval	Not Required
1.3	Federal Rules and Regulations and Supporting Records	

Disposition Authority Number DAA-0468-2016-0002-0004

Rules and regulations and supporting working papers and background materials pertaining to the creation of HHS-OIG Federal regulations that are 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.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation These records are in electronic format.

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? Yes

GRS or Superseded Authority Citation DAA-0468-2013-0008-0006

Disposition Instruction

Cutoff Instruction Cut off at the end of the calendar year in which regulation is superseded.

Retention Period Destroy 3 years after cutoff, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

1.4 Congressionally Mandated Reports
Reports submitted to Congress pursuant to the IG Act

1.4.1 Congressionally Mandated Reports

Disposition Authority Number DAA-0468-2016-0002-0005

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

Final Disposition Permanent

Item Status Active

Is this item media neutral? No

Explanation of limitation These records are in electronic format

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?

Yes

GRS or Superseded Authority Citation

DAA-0468-2013-0008-0007

Disposition Instruction

Cutoff Instruction

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

Transfer to the National Archives for Accessioning

Transfer to NARA 15 years after the IG separates.

Additional Information

First year of records accumulation 2003

What will be the date span of the initial transfer of records to the National Archives?

Unknown
15 years after the IG separates

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

Unknown
15 years after the IG separates

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Electronic/Digital	4 GB	0.5 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

1.4.2

Congressionally Mandated Reports Working Papers

Disposition Authority Number DAA-0468-2016-0002-0006

Working papers of congressionally mandated reports, i.e., material submitted by OIG components about their work products that are synopsised in the congressionally mandated reports and Publication Director comments regarding that material.

1.5	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	These records are in electronic format
	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?	Yes
	GRS or Superseded Authority Citation	DAA-0468-2013-0008-0008
	Disposition Instruction	
	Cutoff Instruction	Cut off at end of the calendar year in which OIG published the report.
	Retention Period	Destroy 3 years after cutoff, but longer retention is authorized if required for business use.
	Additional Information	
	GAO Approval	Not Required
	Press Releases	
	Disposition Authority Number	DAA-0468-2016-0002-0007
	Notices to national media outlets about significant OIG events related to its fighting waste, fraud, and abuse in HHS programs.	
	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	No
Explanation of limitation	These records are in electronic format	
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?	Yes	
GRS or Superseded Authority Citation	DAA-0468-2013-0008-0002	
Disposition Instruction		

Cutoff Instruction Cut off at end of calendar year in which press release was issued.

Transfer to the National Archives for Accessioning Transfer to NARA 15 years after the IG separates.

Additional Information

First year of records accumulation 2003

What will be the date span of the initial transfer of records to the National Archives? Unknown
15 years after the IG separates

How frequently will your agency transfer these records to the National Archives? Unknown
15 years after the IG separates

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	4 GB	0.5 GB
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Hardcopy or Analog Special Media		

1.6

Policies

Disposition Authority Number DAA-0468-2016-0002-0008

Policies essential to OIG's mission, such as those for personnel management and delegations of authority within OIG. Such policies are included in the OIG Administrative Manual on the OIG Intranet.

Final Disposition Permanent

Item Status Active

Is this item media neutral? No

Explanation of limitation These records are in electronic format

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? Yes

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
06/07/2016	Certify	Elaine Pankey	HHS Office of the Secretary Records Officer	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
07/14/2016	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
08/10/2016	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
08/10/2016	Certify	Elaine Pankey	HHS Office of the Secretary Records Officer	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
08/23/2016	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
08/24/2016	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
08/24/2016	Certify	Elaine Pankey	HHS Office of the Secretary Records Officer	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer

				of the Chief Information Officer
09/08/2016	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
09/15/2016	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
09/15/2016	Certify	Elaine Pankey	HHS Office of the Secretary Records Officer	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
12/13/2016	Submit for Concurrence	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
12/14/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/15/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
12/20/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist