

Request for Records Disposition Authority

Records Schedule Number DAA-0468-2019-0001

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 / Office of Investigations (OI)

Schedule Subject List of Excluded Individuals and Entities

Internal agency concurrences will be provided Yes

Background Information The mission of the Office of Investigations (OI) of the Office of the Inspector General 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.

The List of Excluded Individuals and Entities or "LEIE," is a database accessible to the public on the HHS-OIG internet site. Individuals whose names appear on the LEIE have been excluded from participating in federal health care programs because of fraud, waste, and abuse violations committed by them and/or by an entity, they control.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GAO Approval

Outline of Records Schedule Items for DAA-0468-2019-0001

Sequence Number	
1	List of Excluded Individuals and Entities (LEIE)
1.1	List of Excluded Individuals and Entities Database Disposition Authority Number: DAA-0468-2019-0001-0001

Records Schedule Items

Sequence Number																			
1	<p>List of Excluded Individuals and Entities (LEIE) The List of Excluded Individuals and Entities or "LEIE," is a database accessible to the public on the HHS-OIG internet site. Individuals whose names appear on the LEIE have been excluded from participating in federal health care programs because of fraud, waste, and abuse violations committed by them and/or by an entity, they control. The LEIE was created to meet the requirements to notify the public, beneficiaries and others established in Section 1128 of the Social Security Act. The data used to create the LEIE is extracted from the Investigative Reporting and Information System (IRIS). The Office of Investigations - Exclusion Branch is the owner of the LEIE and provides it to the OIG webmaster monthly for publication. The downloadable LEIE/monthly supplements were available on our website in 1995. The on-line searchable database became available in 1997.</p>																		
1.1	<p>List of Excluded Individuals and Entities Database Disposition Authority Number DAA-0468-2019-0001-0001</p> <p>The LEIE is a database extracted from IRIS on a monthly basis and generated as a .CVS file format. The LEIE lists individuals and entities excluded from participating in federal health care programs and the list includes, but is not limited to, case number, full name, business name, provider specialty, SSN, Date of Birth, addresses, NPI, exclusion date, reinstatement date, waiver date, and other data elements. The LEIE is provided to the OIG webmaster monthly for publication.</p> <table> <tr> <td>Final Disposition</td> <td>Temporary</td> </tr> <tr> <td>Item Status</td> <td>Active</td> </tr> <tr> <td>Is this item media neutral?</td> <td>No</td> </tr> <tr> <td>Explanation of limitation</td> <td>Records exist in electronic format only</td> </tr> <tr> <td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td> <td>Yes</td> </tr> <tr> <td>Do any of the records covered by this item exist as structured electronic data?</td> <td>Yes</td> </tr> <tr> <td colspan="2">Disposition Instruction</td> </tr> <tr> <td>Cutoff Instruction</td> <td>Cut off at end of fiscal year in which the LEIE is generated and published</td> </tr> <tr> <td>Retention Period</td> <td>Destroy 15 year(s) after cutoff</td> </tr> </table>	Final Disposition	Temporary	Item Status	Active	Is this item media neutral?	No	Explanation of limitation	Records exist in electronic format only	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	Disposition Instruction		Cutoff Instruction	Cut off at end of fiscal year in which the LEIE is generated and published	Retention Period	Destroy 15 year(s) after cutoff
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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
02/21/2019	Certify	Karen Ballesteros	Management Analyst	Office of the Secretary - Assistant Secretary for Administration
08/06/2019	Submit for Concurrence	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
08/07/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/13/2019	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
08/15/2019	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist