

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2013-0008

Status: INACTIVE
Date Approved: 03/25/2014

General Information

Agency or Establishment	Department of Health and Human Services
Record/Scheduling Group	0468 - General Records of the Department of Health and Human Services
Records Schedule Applies To	Agency Subdivision
Major Subdivision	Office of the Secretary (OS)
Minor Subdivision	Office of the Inspector General (OIG)
Schedule Subject	Records of the Immediate Office of the Inspector General (IG) of Health and Human Services
Additional Schedule Information	<p>Note: This schedule was modified after approval in ERA Base. If information regarding the modifications was created in ERA Base it will be found in the Revision Notes in NARA only attachments.</p> <p>The Immediate Office (IO) of the Inspector General (IG) is responsible for ensuring that the Office of Inspector General (OIG) fulfills its mission, as mandated by the Inspector General Act of 1978, to promote the economy, efficiency, and effectiveness of Department of Health and Human Services (HHS) programs through prevention and detection of waste, fraud, and abuse. IO also ensures that OIG meets its responsibilities for reporting the results of its audits, evaluations, legal cases, and investigations to the Secretary of HHS and Congress.</p>
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	Predate requirement

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Item Count

Total number of disposition items: 8

Number of Temporary disposition items: 4

Number of Permanent disposition items: 4

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 8

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Outline of Records Schedule Items for DAA-0468-2013-0008

Item #	Title	Disposition
0001	Records of the Immediate Office of the Inspector General : Official Files of the Inspector General of the Department of Health and Human Services	Permanent
0002	Records of the Immediate Office of the Inspector General : Press Releases	Permanent
0003	Records of the Immediate Office of the Inspector General : Congressional Substantive Correspondence : Congressional Substantive Correspondence	Permanent
0004	Records of the Immediate Office of the Inspector General : Congressional Substantive Correspondence : Congressional Routine Correspondence	Temporary
0005	Records of the Immediate Office of the Inspector General : Testimonies	Temporary
0006	Records of the Immediate Office of the Inspector General : Federal Rules and Regulations and Supporting Records : Federal Rules and Regulations and Supporting Records	Temporary
0007	Records of the Immediate Office of the Inspector General : Congressionally Mandated Reports : Congressionally Mandated Reports	Permanent
0008	Records of the Immediate Office of the Inspector General : Congressionally Mandated Reports : Congressionally Mandated Reports Working Papers	Temporary

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Records Schedule Items

Group Title	Records of the Immediate Office of the Inspector General
Group Description	IO is responsible for supervising and coordinating the activities of OIG's component offices; setting direction, in collaboration with the components, for OIG's priorities and strategic planning; ensuring effective internal quality controls and management; and serving as a liaison with HHS, Congress, and other stakeholders. IO plans, conducts, and participates in a variety of cooperative projects, such as the Health Care Fraud Prevention and Enforcement Action Team, within HHS and with other Government agencies.
DAA-0468-2013-0008-0001	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Official Files of the Inspector General of the Department of Health and Human Services
Item Description	Record copies of daily schedules/calendars, meeting agendas, biography, and official photographs of the IG. Text or speaking points for IG speeches. Any other information appropriate for inclusion with the briefing book records of the IG.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0468-2024-0002-0001 on 01/22/2025.	
Final Disposition	Permanent
Cutoff Instructions	Other: Cut off at end of calendar year in which document was created.
Are there multiple instructions for this item?	No

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Transfer Instruction	Other: Transfer paper records to the National Archives in 4-year blocks when the most recent record in the block is 30 years old. Transfer electronic records in 4-year blocks when the earliest record in the block is 5 years old.
ADDITIONAL INFORMATION	
Approximate first year of records covered by this authority	2005
End year of records covered by this authority	Still being created
Date span of the initial transfer	From: --/--/2005 To: --/--/2009
Frequency of transfer	4
Are any of the records covered by this item subject to a FOIA exemption?	
DAA-0468-2013-0008-0002 STATUS: INACTIVE - NOT FOR USE	
ITEM GENERAL INFORMATION	
Item Title	Press Releases
Item Description	Notices to media outlets about significant OIG events related to its fighting of waste, fraud, and abuse in HHS programs.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. Superseded By: DAA-0468-2016-0002-0007 on 05/18/2023.	
Final Disposition	Permanent
Cutoff Instructions	Other: Cut off at end of calendar year in which notice is issued.
Are there multiple instructions for this item?	No
Transfer Instruction	Other: Transfer paper records to the National Archives in 4-year blocks when the most recent record in the block is 15 years old. Transfer electronic records in 4-year blocks when the earliest record in the block is 5 years old.
ADDITIONAL INFORMATION	
Approximate first year of records covered by this authority	2008

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End year of records covered by this authority	Still being created
Date span of the initial transfer	From: --/--/2008 To: --/--/2012
Frequency of transfer	4
Are any of the records covered by this item subject to a FOIA exemption?	

Group Title	Records of the Immediate Office of the Inspector General : Congressional Substantive Correspondence
Group Description	Correspondence files that relate to liaison with Members of Congress.
DAA-0468-2013-0008-0003	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Congressional Substantive Correspondence
Item Description	Correspondence files that relate to liaison with Members of Congress. Copies of incoming and outgoing congressional correspondence when the reply is signed by the IG.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. Superseded By: DAA-0468-2016-0002-0001 on 05/18/2023.	
Final Disposition	Permanent
Cutoff Instructions	Other: Cut off at end of calendar year in which OIG sent a reply.
Are there multiple instructions for this item?	No
Transfer Instruction	Other: Transfer paper records to the National Archives in 4-year blocks when the most recent record in the block is 15 years old. Transfer electronic records in 4-year blocks when the earliest record in the block is 5 years old.
ADDITIONAL INFORMATION	
Approximate first year of records covered by this authority	2011

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End year of records covered by this authority	Still being created
Date span of the initial transfer	From: --/--/2011 To: --/--/2015
Frequency of transfer	4
Are any of the records covered by this item subject to a FOIA exemption?	
DAA-0468-2013-0008-0004	
STATUS: INACTIVE - NOT FOR USE	
ITEM GENERAL INFORMATION	
Item Title	Congressional Routine Correspondence
Item Description	Copies of incoming and outgoing congressional correspondence when the reply is not signed by the IG.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded Explanation in Part?
N1-468-00-1 Item 4.e.	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. Superseded By: DAA-0468-2016-0002-0002 on 05/18/2023.	
Final Disposition	Temporary
Cutoff Instructions	Other: Cut off at end of calendar year in which OIG sent a reply.
Retention Period	Destroy 3 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

Group Title	Records of the Immediate Office of the Inspector General
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Group Description	IO is responsible for supervising and coordinating the activities of OIG's component offices; setting direction, in collaboration with the components, for OIG's priorities and strategic planning; ensuring effective internal quality controls and management; and serving as a liaison with HHS, Congress, and other stakeholders. IO plans, conducts, and participates in a variety of cooperative projects, such as the Health Care Fraud Prevention and Enforcement Action Team, within HHS and with other Government agencies.	
DAA-0468-2013-0008-0005		STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION		
Item Title	Testimonies	
Item Description	Written testimonies 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.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-468-00-1 Item 3.f.	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
DO NOT USE. Superseded By: DAA-0468-2016-0002-0003 on 05/18/2023.		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off at end of calendar year in which testimonies were given to congressional committees.	
Retention Period	Destroy 3 year(s) after separation of the IG	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

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Group Title	Records of the Immediate Office of the Inspector General : Federal Rules and Regulations and Supporting Records	
Group Description	Federal regulations created by HHS-OIG and 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.	
DAA-0468-2013-0008-0006		STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION		
Item Title	Federal Rules and Regulations and Supporting Records	
Item Description	Federal rules and regulations created by HHS-OIG and published in the Federal Register. Such rules and regulations can result from changes in the law or developments in OIG's efforts to combat fraud, waste, and abuse in HHS programs. These records include but are not limited to supporting background materials and working papers pertaining to the creation of such rules and regulations.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-468-00-1, Item 3.g.(1)	No	
N1-468-00-1, Item 3.g.(2)	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
DO NOT USE. Superseded By: DAA-0468-2016-0002-0004 on 05/18/2023.		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off at end of calendar year in which rule or regulation is superseded.	
Retention Period	Destroy 3 year(s) after separation of the IG	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

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Group Title	Records of the Immediate Office of the Inspector General : Congressionally Mandated Reports
Group Description	Reports submitted to Congress pursuant to the Inspector General Act.
DAA-0468-2013-0008-0007 STATUS: INACTIVE - NOT FOR USE	
ITEM GENERAL INFORMATION	
Item Title	Congressionally Mandated Reports
Item Description	Reports submitted to Congress pursuant to the IG Act, summarizing significant OIG activities for the 6-month periods ending March 31 and September 30 and other reports as mandated by Congress.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. Superseded By: DAA-0468-2016-0002-0005 on 05/18/2023.	
Final Disposition	Permanent
Cutoff Instructions	Other: Cut off at end of calendar year in which OIG published the report.
Are there multiple instructions for this item?	No
Transfer Instruction	Other: Transfer paper records to the National Archives in 4-year blocks when the most recent record in the block is 15 years old. Transfer electronic records in 4-year blocks when the earliest record in the block is 5 years old.
ADDITIONAL INFORMATION	
Approximate first year of records covered by this authority	2005
End year of records covered by this authority	Still being created
Date span of the initial transfer	From: --/--/2005 To: --/--/2009
Frequency of transfer	4

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Are any of the records covered by this item subject to a FOIA exemption?	
<div style="display: flex; justify-content: space-between;">DAA-0468-2013-0008-0008STATUS: INACTIVE - NOT FOR USE</div>	
ITEM GENERAL INFORMATION	
Item Title	Congressionally Mandated Reports Working Papers
Item Description	Working papers of congressionally mandated reports, which include but are not limited to materials submitted by OIG components about their work products that are synopsized in the congressionally mandated reports and publication staff comments regarding that material.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
DO NOT USE. Superseded By: DAA-0468-2016-0002-0006 on 05/18/2023.	
Final Disposition	Temporary
Cutoff Instructions	Other: Cut off at end of calendar year in which OIG published the report.
Retention Period	Destroy 3 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

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Signatory Information

Action	User	Date
Approve	David Ferriero	03/25/2014