

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2019-0001

Status: INACTIVE  
Date Approved: 08/15/2019

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## 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   |
| Minor Subdivision  | Office of the Inspector General / Office of Investigations (OI)   |
| Schedule Subject   | List of Excluded Individuals and Entities   |
| Additional Schedule Information                                    | <p>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.</p> <p>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.</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: 1  
Number of Temporary disposition items: 1  
Number of Permanent disposition items: 0  
Number of Items with Disposition Not Approved: 0  
Number of Inactive disposition items: 1

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

| <b>Item #</b> | <b>Title</b>  | <b>Disposition</b> |
|---------------|---|--------------------|
| 0001          | List of Excluded Individuals and Entities (LEIE) : List of Excluded Individuals and Entities Database | Temporary          |

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Records Schedule Items

|   |  |
|---|--|
| <b>Group Title</b>  | List of Excluded Individuals and Entities (LEIE)   |
| <b>Group Description</b>  | <p>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.</p> <p>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> |
| DAA-0468-2019-0001-0001   | <b>STATUS: INACTIVE - NOT FOR USE</b>  |
| <b>ITEM GENERAL INFORMATION</b>                                     |  |
| <b>Item Title</b>   | List of Excluded Individuals and Entities Database   |
| <b>Item Description</b>   | 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.   |
| Is this item media neutral?   | No   |
| Media limitation  | Digital only   |
| Is this item a Big Bucket?  |  |
| <b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b> |  |
| Does this item supersede existing disposition authorities?          | No   |
| Is this item a deviation from the GRS?                              | No   |

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**DISPOSITION INSTRUCTION**

**DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0468-2025-0001-0010 on 05/05/2026.**

|                     |   |
|---------------------|---|
| Final Disposition   | Temporary   |
| Cutoff Instructions | Other: Cut off at end of fiscal year in which the LEIE is generated and published |
| Retention Period    | Destroy 15 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

| <b>Action</b> | <b>User</b>    | <b>Date</b> |
|---------------|----------------|-------------|
| Approve       | David Ferriero | 08/15/2019  |