

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2013-0012

Status: APPROVED
Date Approved: 11/03/2014

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 Office of Evaluation and Inspections (OEI) of the Inspector General (IG) of Health and Human Services
Additional Schedule Information	The Office of Evaluation and Inspections (OEI) performs two main functions: (1) conducts evaluations of HHS programs resulting in reports that include evaluation findings and recommendations to make HHS programs more effective and efficient and (2) oversees performance of State Medicaid Fraud Control Units (MFCU) in their mission to investigate and prosecute Medicaid fraud and patient abuse and neglect.
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: 4

Number of Temporary disposition items: 3

Number of Permanent disposition items: 1

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 3

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Outline of Records Schedule Items for DAA-0468-2013-0012

Item #	Title	Disposition
0001	Evaluation Reports : Final Evaluation Reports	Temporary
0002	Evaluation Reports : Evaluation Working Papers	Temporary
0003	Evaluation Reports : Significant Final Evaluation Reports	Permanent
0004	Medicaid Fraud Control Unit (MFCU) Program Files	Temporary

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Records Schedule Items

Group Title	Evaluation Reports
Group Description	<p>The evaluation staff prepares a concise final report which is incorporated, along with the supporting work papers, into the report file on completion of each evaluation.</p> <p>Evaluation reports are created by program analysts trained to measure effectiveness and efficiency in large-scale programs such as Medicare and recommend actions to program management for increasing program effectiveness.</p>
DAA-0468-2013-0012-0001	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Final Evaluation Reports
Item Description	These records include reports of HHS program evaluations that assist HHS agencies' management to identify, analyze, and resolve program and organizational performance or policy issues. Ideas for evaluations come from HHS agencies, Congress, and OIG staff.
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 2 a.	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Other: Cut off at end of fiscal year in which evaluation is closed.
Retention Period	Destroy 8 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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DAA-0468-2013-0012-0002		STATUS: INACTIVE - NOT FOR USE	
ITEM GENERAL INFORMATION			
Item Title	Evaluation Working Papers		
Item Description	Records such as survey questionnaires, rough draft proposals, and correspondence, created or acquired during an evaluation and the development of the final report.		
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 2 b.	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-0468-2024-0003-0001 on 10/31/2024.			
Final Disposition	Temporary		
Cutoff Instructions	Other: Cut off at end of fiscal year in which evaluation is closed		
Retention Period	Destroy 5 year(s) after cutoff		
ADDITIONAL INFORMATION			
Are any of the records covered by this item national security classified?			
GAO Approval Required	No		
DAA-0468-2013-0012-0003		STATUS: INACTIVE - NOT FOR USE	
ITEM GENERAL INFORMATION			
Item Title	Significant Final Evaluation Reports		
Item Description	These records include evaluation reports that are included in HHS-OIG's Semiannual Report to 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		

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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-0468-2024-0003-0002 on 10/31/2024.	
Final Disposition	Permanent
Cutoff Instructions	Other: Cut off files at end of fiscal year in which evaluation is closed.
Are there multiple instructions for this item?	No
Transfer Instruction	Transfer to the National Archives 15 year(s) after cutoff
ADDITIONAL INFORMATION	
Frequency of transfer	4
Are any of the records covered by this item subject to a FOIA exemption?	

DAA-0468-2013-0012-0004	STATUS: INACTIVE - NOT FOR USE
ITEM GENERAL INFORMATION	
Item Title	Medicaid Fraud Control Unit (MFCU) Program Files
Item Description	Files documenting oversight of performance of State MFCUs in their mission to investigate and prosecute Medicaid fraud and patient abuse and neglect. Files include certification and annual re-certification materials, statistical information received from MFCUs, and correspondence and other materials reflecting day-to-day oversight of MFCU performance. Each file includes these records for one State MFCU for one fiscal year. Files are created by OEI program analysts specializing in the MFCU oversight.
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-0468-2024-0003-0003 on 10/31/2024.	
Final Disposition	Temporary

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Cutoff Instructions	Other: Cut off files at end of fiscal year in which OIG receives a MFCU's final Financial Status Report, SF-425
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

Action	User	Date
Approve	David Ferriero	11/03/2014