

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2025-0001

Status: APPROVED  
Date Approved: 05/05/2026

---

## 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-wide
Schedule Subject	Records of the Office of the Counsel to the Inspector General (OCIG) of Health and Human Services
Additional Schedule Information	<p>Office of the Counsel to the Inspector General (OCIG) provides general legal services to OIG, rendering advice and opinions on HHS programs and operations and providing all legal support for OIG's internal operations. OCIG represents OIG in all civil and administrative fraud and abuse cases involving HHS programs, including False Claims Act, program exclusion, and civil monetary penalty cases. In connection with these cases, OCIG also negotiates and monitors corporate integrity agreements. OCIG renders advisory opinions, issues compliance program guidance, publishes fraud alerts, and provides other guidance to the health care industry concerning the Anti-Kickback statute and other OIG enforcement authorities. OCIG also implements exclusions from Federal health care programs.</p> <p>These files include advice and opinions on HHS programs and operations and providing all legal support for OIG's internal operations. Files are created by OCIG attorneys and staff.</p>
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	No - the records covered by this schedule do not implicate Tribal interests

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2025-0001

Status: APPROVED  
Date Approved: 05/05/2026

---

## Item Count

Total number of disposition items: 12

Number of Temporary disposition items: 12

Number of Permanent disposition items: 0

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2025-0001

Status: APPROVED  
Date Approved: 05/05/2026

Outline of Records Schedule Items for DAA-0468-2025-0001

<b>Item #</b>	<b>Title</b>	<b>Disposition</b>
0001	Advice Branch Files : Litigation Case Files	Temporary
0002	Advice Branch Files : Subpoenas	Temporary
0003	Advice Branch Files : Federal Rules and Regulations and Supporting Records	Temporary
0004	Advice Branch Files : Legal Opinions	Temporary
0005	Administrative and Civil Remedies Branch (ACRB), Affirmative Litigation Branch (ALB), Exclusions Branch (EB), and Advice Branch : Case Files	Temporary
0006	Industry Guidance Branch Case Files : Case Files	Temporary
0007	Exclusions Branch : Exclusion Case Files for Entities	Temporary
0008	Exclusions Branch : Exclusion Case Files for Deceased Individuals	Temporary
0009	Exclusions Branch : Exclusion Case Files for Reinstated Individuals	Temporary
0010	Exclusions Branch : The Office of Inspector General's List of Excluded Individuals/Entities (LEIE)	Temporary
0011	Exclusions Branch : List of Excluded Individuals/Entities Anonymized and Aggregated Data	Temporary
0012	Exclusions Branch : Ex-Files, Closures, and Withdrawals	Temporary

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2025-0001

Status: APPROVED  
Date Approved: 05/05/2026

Records Schedule Items

<b>Group Title</b>	Advice Branch Files
<b>Group Description</b>	The Advice Branch provides expert legal advice and representation to the Inspector General in the exercise of their responsibilities under the Inspector General Act of 1978, the Health Insurance Portability and Accountability Act, and other legal authorities. To this end, the Advice Branch ensures the legal sufficiency of OIG findings and recommendations, advises OIG managers on administrative matters, including obligations under Federal ethics laws, defends the OIG before administrative tribunals and Federal courts, advises investigators on subpoenas, electronic surveillance and other investigative tools, and provides legal training to OIG managers and staff. These files are used for providing advice to OIG staff.
DAA-0468-2025-0001-0001	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Litigation Case Files
Item Description	Case files accumulated by the Advice Branch to document litigation and appeals before administrative agencies and Federal courts, these case files include correspondence, discovery, legal briefs and other filings, affidavits and exhibits, decisions of administrative and federal judges, appeals, subpoenas, settlement agreements and other related materials. These files include litigation related to HHS-OIG contracts.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded    Explanation in Part?
DAA-0468-2013-0011-0001	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Cutoff Instructions	Other: Cutoff at end of fiscal year in which case is terminated.

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2025-0001

Status: APPROVED  
Date Approved: 05/05/2026

Retention Period	Destroy 10 year(s) after cutoff	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	
<b>DAA-0468-2025-0001-0002</b>		<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Subpoenas	
Item Description	Subpoenas prepared for the use of investigation commenced by OIG relating to allegations of fraud and abuse against the HHS and any Federal health care programs.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
DAA-0468-2013-0011-0002	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cutoff at end of fiscal year in which case is closed or the issue is resolved.	
Retention Period	Destroy 10 year(s) after cutoff	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	
<b>DAA-0468-2025-0001-0003</b>		<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Federal Rules and Regulations and Supporting Records	

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2025-0001

Status: APPROVED  
Date Approved: 05/05/2026

Item Description	These records include Federal rules and regulations created by HHS-OIG and published in the Federal Register. Such rules and regulations are created when there are changes in the law related to 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?	No	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
DAA-0468-2016-0002-0004	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cutoff at end of the FY after effective date of final rule; Cutoff regulations not adopted at the end of FY after decision not to adopt proposed rule.	
Retention Period	Destroy 10 year(s) after cutoff	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	
DAA-0468-2025-0001-0004	<b>STATUS: Active</b>	
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Legal Opinions	
Item Description	Legal Opinions are written documents prepared in response to a request from an OIG Senior Executive and signed by an Advice Branch manager or supervisor or an OCIG Senior Executive with management responsibilities over the Advice Branch, setting out the Advice Branch's understanding of the law, rule or regulation as applicable to a particular set of facts or the legal risks associated with a proposed course of action.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2025-0001

Status: APPROVED  
Date Approved: 05/05/2026

<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	Yes
<b>Superseded Item</b>	Superseded Items
DAA-0468-2013-0011-0003	Item Superseded in Part? No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Cutoff Instructions	Other: Cutoff at end of fiscal year in which case is closed or the issue is resolved.
Retention Period	Destroy 10 year(s) after cutoff
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

<b>Group Title</b>	Administrative and Civil Remedies Branch (ACRB), Affirmative Litigation Branch (ALB), Exclusions Branch (EB), and Advice Branch
<b>Group Description</b>	ALB and ACRB impose program exclusions and civil monetary penalties on individuals and entities deemed to have violated Federal health care statutes and regulations. ACRB also represents OIG in cases arising under the civil False Claims Act and develops and monitors corporate integrity agreements. ACRB also maintains self-disclosure protocols that can be used to report potential fraud in HHS programs including health care fraud, grant fraud, and contract fraud. ALB also represents OIG in litigation involving employees of HHS-OIG and in whistleblower investigations. In addition, ALB represents OIG in matters relating to whistleblower retaliation and Advice Branch represents OIG in litigation involving employees of OIG. ACRB, ALB, and EB also defend OIG in appeals of exclusions from Federal health care programs.
DAA-0468-2025-0001-0005	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Case Files

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2025-0001

Status: APPROVED  
Date Approved: 05/05/2026

Item Description	Case Files that consist of court pleadings, correspondence, memoranda, court decisions, settlement agreements, corporate integrity agreements, voluntary disclosures, exclusion appeals, administrative sanctions, and similar documents. These files relate to primary program areas of HHS.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation
DAA-0468-2013-0011-0004	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cutoff at close of matter.	
Retention Period	Destroy 10 year(s) after cutoff	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	

Group Title	Industry Guidance Branch Case Files	
Group Description	The mission of the Industry Guidance Branch is to provide clear, useful, and timely guidance to industry and government stakeholders on how to comply with Federal health care laws.	
DAA-0468-2025-0001-0006	<b>STATUS: Active</b>	
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Case Files	
Item Description	Case Files relating to advisory opinions, fraud alerts, safe harbors, legal updates, or similar documents.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2025-0001

Status: APPROVED  
Date Approved: 05/05/2026

Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
DAA-0468-2013-0011-0005	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Cutoff Instructions	Other: Cutoff at end of Fiscal Year in which case is closed
Retention Period	Destroy 10 year(s) after cutoff
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

Group Title	Exclusions Branch
Group Description	The OCIG Exclusions Branch implements exclusions from Federal health care programs, provides waivers to exclusions in limited circumstances, reinstates individuals and entities that apply to participate again in Federal health care programs as appropriate, and publishes and maintains the List of Excluded Individuals/Entities (“LEIE”).
DAA-0468-2025-0001-0007	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Exclusion Case Files for Entities
Item Description	Files with information regarding the basis for exclusion from Federal health care programs, applications for reinstatement, including supporting documents and correspondence for entities.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2025-0001

Status: APPROVED  
Date Approved: 05/05/2026

DAA-0468-2013-0013-0002	Yes	DAA-0468-2013-0013-0002 Investigative Case Files: Allegations Not Resulting in Formal Case Files has been superseded partially by Office of Investigations (OI) DAA-0468-2024-0004-0002, Allegations Not Resulting in Formal Case Files. Ex-File Exclusion Case Files were moved from OI to OCIG. Therefore, Ex-File Exclusion Case Files will be superseded by OCIG DAA-0468-2025-0001-0007
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cutoff at the end of the calendar year in which an excluded entity is reinstated, exclusion is stayed, or the entity is formally dissolved or otherwise ceases to exist as a legal entity.	
Retention Period	Other: Destroy files related to entities 15 years after cutoff, but longer retention is authorized for business use.	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	
DAA-0468-2025-0001-0008	<b>STATUS: Active</b>	
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Exclusion Case Files for Deceased Individuals	
Item Description	Files with information regarding the basis for exclusion from Federal health care programs, applications for reinstatement, including supporting documents and correspondence for deceased individuals.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
<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	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cutoff at the death of an excluded individual	



National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2025-0001

Status: APPROVED  
Date Approved: 05/05/2026

Item Description	<p>The LEIE is a database accessible to the public on the OIG internet site. Individuals and entities whose names appear on the LEIE have been excluded from participating in Federal health care programs because of fraud, waste, and abuse violations. 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). OCIG's Exclusions Branch is the owner of the LEIE and provides it to the OIG webmaster for publication.</p> <p>The LEIE lists individuals and entities excluded from participating in Federal health care programs. The list includes, but is not limited to, full name, business name, provider specialty, SSN, Date of Birth, addresses, NPI, exclusion date, reinstatement date, waiver date, and other data elements.</p>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
DAA-0468-2019-0001-0001	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cutoff at end of calendar year in which the LEIE is generated and published.	
Retention Period	Destroy 15 year(s) after cutoff	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	
DAA-0468-2025-0001-0011	STATUS: Active	
<b>ITEM GENERAL INFORMATION</b>		
Item Title	List of Excluded Individuals/Entities Anonymized and Aggregated Data	

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2025-0001

Status: APPROVED  
Date Approved: 05/05/2026

Item Description	Though OIG will destroy data from the List of Excluded Individuals/Entities according to The Office of Inspector General’s List of Excluded Individuals/Entities records of this policy, OIG has ongoing business needs that require maintaining certain data to assist in data analysis of fraud trends as well as other recordkeeping purposes. OIG will anonymize and aggregate the data that it retains for these purposes to protect privacy interests.
Is this item media neutral?	No
Media limitation	Digital only
Is this item a Big Bucket?	No
<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
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Cutoff Instructions	Other: Cutoff at the end of the calendar year in which the data is aggregated and anonymized for purposes of data analysis of fraud trends and other recordkeeping purposes.
Retention Period	Destroy 25 year(s) after cutoff
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No
<b>DAA-0468-2025-0001-0012</b>	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Ex-Files, Closures, and Withdrawals
Item Description	“EX-Files” are documents or referrals that have been received regarding an individual or entity that do not result in generating a case file number nor any other action (e.g., exclusion) taken by EB. Closures are documents or referrals that have been received regarding an individual or entity that do result in generating a case file number and/or case packet that did not result in an exclusion. Withdrawals are cases regarding individuals and entities where an exclusion was implemented but later withdrawn when the basis for exclusion no longer existed.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2025-0001

Status: APPROVED  
Date Approved: 05/05/2026

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	
Final Disposition	Temporary
Cutoff Instructions	Other: Cutoff at end of calendar year in which case is closed.
Retention Period	Destroy 3 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2025-0001

Status: APPROVED  
Date Approved: 05/05/2026

---

Signatory Information

Action	User	Date
Approve	Edward Forst (Acting Archivist)	05/05/2026



Office of the Chief  
Records Officer for the  
U.S. Government

This schedule was signed outside of the ERA system using Standard Form 115.

NARA staff updated ERA to reflect this approval, moving the record schedule into an approved status. The approved status allows for generation of a PDF indicating that the schedule has been approved, and allows an agency to use the schedule in ERA to create transfer requests. The approved date in the system and on the PDF version of the records schedule reflects the system actions.