

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2013-0013

Status: APPROVED
Date Approved: 09/04/2014

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 Investigations (OI) of the Inspector General (IG) of Health and Human Services
Additional Schedule Information	The mission of the Office of Investigations (OI) 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.
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: 2

Number of Temporary disposition items: 2

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-0468-2013-0013

Item #	Title	Disposition
0001	Investigative Case Files : Investigations of Alleged Fraud, Abuse and Irregularities or Violations of Laws and Regulations	Temporary
0002	Investigative Case Files : Allegations Not Resulting in Formal Case Files	Temporary

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Records Schedule Items

Group Title	Investigative Case Files	
Group Description	These files include criminal, civil, and administrative investigations of fraud and misconduct related to HHS programs, operations and employees.	
DAA-0468-2013-0013-0001	STATUS: INACTIVE - NOT FOR USE	
ITEM GENERAL INFORMATION		
Item Title	Investigations of Alleged Fraud, Abuse and Irregularities or Violations of Laws and Regulations	
Item Description	Formal investigative case files developed during investigations of known or alleged fraud, abuse, and irregularities or violations of laws and regulations. Cases related to HHS personnel, programs, and operations administered or financed by HHS, including contractors and others having a relationship with HHS. They include case files that were created as a result of employee and OIG Hotline complaints, and other miscellaneous complaint files such as those coming in via mail, email, telephone, or fax to the Secretary or Inspector General. These records are also known as "Formal Case Files," they are created by OI personnel.	
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 1 a.	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-0468-2024-0004-0001 on 11/12/2024.		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off at end of fiscal year in which case is closed	
Retention Period	Destroy 15 year(s) after cutoff	
ADDITIONAL INFORMATION		

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Are any of the records covered by this item national security classified?	
GAO Approval Required	No
DAA-0468-2013-0013-0002 STATUS: Active	
ITEM GENERAL INFORMATION	
Item Title	Allegations Not Resulting in Formal Case Files
Item Description	Files containing information or allegations of an investigative nature that do not result in the establishment of a formal case file. The files cover anonymous or vague allegations not warranting an investigation, matters referred to other agencies for handling, OIG Hotline complaints, "EX-File" Exclusions cases regarding health care providers who may be excluded from Federal health care programs, as well as supporting files providing general information which may prove useful in Inspector General investigations.
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
N1-468-00-1, Item 1 b.	No DAA-0468-2013-0013-0002 is superseded in part because all records except Ex-File Exclusion Cases are now covered by DAA-0468-2024-0004-0002. The remaining parts of the item (Ex-File Exclusion Case Files) may be dispositioned by this authority.
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 case 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

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Signatory Information

Action	User	Date
Approve	David Ferriero	09/04/2014