

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0468-2024-0003

Status: APPROVED
Date Approved: 10/31/2024

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 (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?	No - the records covered by this schedule do not implicate Tribal interests

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Item Count

Total number of disposition items: 3

Number of Temporary disposition items: 2

Number of Permanent disposition items: 1

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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Outline of Records Schedule Items for DAA-0468-2024-0003

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

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Records Schedule Items

Group Title	Evaluation Reports
Group Description	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. 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.
DAA-0468-2024-0003-0001	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Substantive 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?	No
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded Explanation in Part?
DAA-0468-2013-0012-0002	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	Other: Destroy no sooner than 5 years and no later than 8 years from cutoff.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No
DAA-0468-2024-0003-0002	STATUS: Active
ITEM GENERAL INFORMATION	

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Item Title	Published Final Evaluation Reports	
Item Description	These records include final evaluation reports that are published on OIG's public website after being issued to HHS. Evaluation reports provide HHS, Congress, and the public with timely and reliable information on significant issues affecting HHS programs and the people those programs serve. OIG's final evaluation reports meet the standards set forth in the Council of the Inspectors General on Integrity and Efficiency (CIGIE) Quality Standards for Inspection and Evaluation. OIG also reports on these published final evaluation reports in its Semiannual Report to Congress.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
DAA-0468-2013-0012-0003	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
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		
Current Records Format	Textual data:150 MB	
Approximate first year of records covered by this authority	2020	
End year of records covered by this authority	Still being created	
Date span of the initial transfer	From: 10/01/2020 To: 09/30/2021	
Frequency of transfer	1	
Are any of the records covered by this item subject to a FOIA exemption?	No	
DAA-0468-2024-0003-0003	STATUS: Active	

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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?	No
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded in Part? Explanation
DAA-0468-2013-0012-0004	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Other: Cutoff when the file is closed.
Retention Period	Destroy 15 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

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Signatory Information

Action	User	Date
Approve	Colleen Shogan	10/31/2024