

This document was requested and posted by AltGov2

www.altgov2.org/records-destruction-requests

KF 9/20/16



NATIONAL ARCHIVES *and* RECORDS ADMINISTRATION
8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001
www.archives.gov

Date: 9/20/2016

Appraiser: Carly Docca

Agency: Department of Health and Human Services

Subject: DAA-0468-2016-0002

INTRODUCTION

Schedule Overview

Office of the Inspector General (OIG), Correspondence Control Management System

Additional Background Information

The Immediate Office (IO) of the Inspector General is responsible for ensuring that the OIG fulfills its mission, as mandated by the Inspector General Act of 1978, to promote the economy, efficiency, and effectiveness of the Department of Health and Human Services (HHS) programs through elimination of waste, fraud, and abuse. The IO also ensures that OIG meets its responsibilities for reporting the results of its reports, legal cases, and investigations, to the Secretary of HHS and Congress, and for legislative and regulatory review, as required by the IG Act.

The Document Control and Review (DCR) Branch of the Office of the Executive Secretariat is business owner of the Correspondence Control Management (CCM) database. Executive Secretariat is part of the Office of External Affairs within the Executive Management Office of the Office of Inspector General of the HHS. The primary responsibility of DCR is to review, track, and maintain the record copy of correspondence to the Inspector General (IG) and his signed replies to members of Congress and others; testimony and statements for congressional committees; press releases; federal rules and regulations created by OIG; and congressionally mandated reports. CCM also contains records of items signed by the IG for which DCR is not the custodian; such records are not included in this schedule.

An agency visit was conducted on July 28, 2016 to appraise the permanent records proposed. During this visit I had the opportunity to meet with the appropriate OIG staff to discuss the permanent records. The former Director of the Office of the Executive Secretariat, Rose Folsom, and the current Director Ann Benner were both present and able to answer all questions regarding the different types of OIG correspondence. Tina Fuchs, the OIG Director of Web Development addressed all questions regarding the Correspondence Control Management System. We discussed their previous media neutral schedule from 2013 that covers their paper records and why this particular schedule differs and will be covering their electronic records from 2003 forward. The appraisal process resulted in the schedule increasing from 5 items to 8 items.

Overall Recommendation

I recommend approval of the attached schedule.

APPRAISAL

Records Designated for Temporary Retention

Item 0002 Congressional Routine Correspondence

Proposed Disposition: Temporary

Appropriateness of Proposal Disposition: Appropriate.

Appraisal Justification:

- Has little or no research value. These are electronic records that serve an administrative function but lack sufficient historical value to warrant their transfer to the National Archives once the business needs of the agency have been satisfied. The records include inquiries and requests that are signed by someone other than the Inspector General, such as constituent removal from the OIG's List of Excluded Individuals and Entities.
- Does not document significant actions of Federal officials.

Adequacy of Proposed Retention Periods: Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Not Approved

Item 0003 Testimony

Proposed Disposition: Temporary

Appropriateness of Proposal Disposition: Appropriate.

Appraisal Justification:

- Has little or no research value. These are electronic records that serve an administrative function but lack sufficient historical value to warrant their transfer to the National Archives once the business needs of the agency have been satisfied.
- These testimonies may relate to oversight in which no specific legislation is involved or to hearings on specific legislation.
- Written testimonies are also posted to the agency website.

Adequacy of Proposed Retention Periods: Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Not Approved

Item 0004 Federal Rules and Regulations and Supporting Records

Proposed Disposition: Temporary

Appropriateness of Proposal Disposition: Appropriate.

Appraisal Justification:

- Has little or no research value because the records consist solely of background materials pertaining to the creation of HHS-OIG Federal Regulations. The final regulations are published in the Federal Register.
- Does not document significant actions of Federal officials.

Adequacy of Proposed Retention Periods: Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Not Approved

Item 0006 Congressionally Mandated Reports Working Papers

Proposed Disposition: Temporary

Appropriateness of Proposal Disposition: Appropriate.

Appraisal Justification:

- Has little or no research value because the working papers of the reports include material that is synopsized and/or duplicated in the congressionally mandated reports.
- Does not document significant actions of Federal officials.

Adequacy of Proposed Retention Periods: Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Not Approved

Records Designated for Permanent Retention

Item 0001 Congressional Substantive Correspondence

Proposed Disposition: Permanent

Appropriateness of Proposal Disposition: Appropriate.

Appraisal Justification:

- High potential research value.
 - Provides evidence of significant policy formulation and business processes of the Government.
 - Provides evidence of Federal deliberations, decisions, and actions relating to major social, economic, and environmental issues.
 - These records are comprised of incoming requests from members of Congress and outgoing replies that are signed by the Inspector General, regarding policy issues and program functions (ie. plans, objectives, or responsibilities that relate to congressionally mandated OIG functions).
- Documents significant actions of Federal officials.

Adequacy of Proposed Retention Periods: Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Not Approved

Item 0005 Congressionally Mandated Reports

Proposed Disposition: Permanent

Appropriateness of Proposal Disposition: Appropriate.

Appraisal Justification:

- High potential research value.

- Provides evidence of significant policy formulation and business processes of the Government.
- Provides evidence of Federal deliberations, decisions, and actions relating to major social, economic, and environmental issues.
- These reports are submitted to Congress pursuant to the Inspector General Act, which summarize the OIG's activities for 6-month periods ending March 31 and September 30 and can include any other reports mandated by Congress.
- Documents significant actions of Federal officials, specifically Health and Human Services OIG officials.

Adequacy of Proposed Retention Periods: Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Not Approved

Item 0007 Press Releases

Proposed Disposition: Permanent

Appropriateness of Proposal Disposition: Appropriate.

Appraisal Justification:

- High potential research value.
 - Provides evidence of significant policy formulation and business processes of the Government.
 - Provides evidence of Federal deliberations, decisions, and actions relating to major social, economic, and environmental issues.
 - The press releases give notice to national media outlets about significant OIG events related to its fighting waste, fraud, and abuse in HHS programs.
- Documents significant actions of Federal officials, specifically Health and Human Services OIG officials.

Adequacy of Proposed Retention Periods: Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Not Approved

Item 0008 Policies

Proposed Disposition: Permanent

Appropriateness of Proposal Disposition: Appropriate.

Appraisal Justification:

- High potential research value.
 - Provides evidence of significant policy formulation and business processes of the Government.
 - Provides evidence of Federal deliberations, decisions, and actions relating to major social, economic, and environmental issues.
- Documents significant actions of Federal officials, specifically Health and Human Services OIG officials.

- These records include policies essential to the OIG's mission, such as those for personnel management and delegations of authority within OIG.

Adequacy of Proposed Retention Periods: Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Not Approved



Carly Docca
Appraiser, Appraisal Team 3
Records Appraisal and Agency Assistance (ACRA)