

## Request for Records Disposition Authority

Records Schedule Number **DAA-0468-2011-0006**  
Schedule Status **Approved**  
  
Agency or Establishment **Department of Health and Human Services**  
Record Group / Scheduling Group **General Records of the Department of Health and Human Services**  
Records Schedule applies to **Major Subdivision**  
Major Subdivision **Office of the Secretary**  
Minor Subdivision **Immediate Office of the Secretary**  
Schedule Subject **Official Correspondence Files of the Secretary of the Department of Health and Human Services**  
  
Internal agency concurrences will be provided **Yes**

Background Information **This records schedule updates previously approved records schedule NC1-235-80-1, item 100-01a and NC1-235-82-1, item 100-01a, HHS OS Handbook item 100-01a (Official Correspondence of the Secretary)**

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>

GAO Approval

## Outline of Records Schedule Items for DAA-0468-2011-0006

Sequence Number	
1	Official Correspondence Files of the Secretary
1 1	Official Correspondence Disposition Authority Number DAA-0468-2011-0006-0001
1 2	Working Files Disposition Authority Number DAA-0468-2011-0006-0002
2	Correspondence Management System
2 1	Master Files Disposition Authority Number DAA-0468-2011-0006-0003

## Records Schedule Items

Sequence Number	
1	<p><b>Official Correspondence Files of the Secretary</b> Official record copies of correspondence (including electronic mail), and associated background materials (copies of incoming and outgoing memorandums, comments, drafts and similar documents) of the Secretary, Secretary's Chief of Staff, Deputy Secretary to the Secretary, Executive Secretary to the Secretary, White House Liaison, Counselors to the Secretary, Directors of the Office of Disability and the Office of Health Reform (and any future Directors established under the IOS umbrella), and any HHS Official acting on behalf of any of these positions</p>
1 1	<p><b>Official Correspondence</b> Disposition Authority Number <b>DAA-0468-2011-0006-0001</b></p> <p>Incoming and outgoing correspondence, reports, studies, memoranda, and other documents in the Immediate Office of the Secretary of the Department of Health and Human Services that (1) issue policy, prescribe procedures, or affect organizational structures, (2) provide executive direction or document major functions, (3) pertain to relations with the White House, Executive Office for the President, Congress, or the public, (4) prescribe policy, (5) pertain to litigation and formal legal opinions, and (6) document the policies, programs, plans, and organizational structures established to fulfill the mission of HHS and OS Components This includes all correspondence in the Immediate Office of the Secretary, including the responses created by other offices of HHS, signed by the Secretary, and filed in the immediate office of the Secretary</p> <p>Final Disposition <b>Permanent</b></p> <p>Item Status <b>Active</b></p> <p>Is this item media neutral? <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data? <b>No</b></p> <p>GRS or Superseded Authority Citation <b>NC1-235-80-1 Items 100-01A and 100-01B</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction <b>Cut off at the end of the fiscal year in which correspondence was created or received</b></p>

	Transfer to Inactive Storage	Transfer paper records to a Federal Records Center 5 years after cutoff
	Transfer to the National Archives for Accessioning	Transfer records to the National Archives in 4 year blocks when the most recent records in the block are 15 years old
	<b>Additional Information</b>	
	First year of records accumulation	2002
	What will be the date span of the initial transfer of records to the National Archives?	From 2002 To 2017
	How frequently will your agency transfer these records to the National Archives?	Every 4 Years
1 2	<b>Working Files</b>	
	Disposition Authority Number	DAA-0468-2011-0006-0002
	Drafts, notes, comments, electronic mail messages, and related working papers created during the drafting of the correspondence described in item 0001 of this records schedule	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off at the end of each fiscal year in which received in the Immediate Office of the Secretary
	Retention Period	Destroy 3 year(s) after cutoff
	<b>Additional Information</b>	
	GAO Approval	Not Required
2	<b>Correspondence Management System</b>	

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Electronic imaging system, currently known as "Strategic Work Information and Folder Transfer (SWIFT)" system, used to maintain electronic copies (scanned images, word processing copies, electronic mail copies) of incoming correspondence, responses with the Secretary's signature, and enclosures It is an electronic system of the Immediate Office of the Secretary used to collect, route and manage the correspondence of the Secretary This system also contains metadata that serves as a tracking tool to the permanent official correspondence files of the Secretary

**Master Files**

Disposition Authority Number **DAA-0468-2011-0006-0003**

**Correspondence Tracking Data** Data elements include but are not limited to system tracking number, name assigned to the distribution/management of the documents, receipt and processing dates, subject, originator, individual assigned to the correspondence reply, name of Office of the Secretary Staff Division (STAFFDIV) and/or HHS Operating Division (OPDIV) assigned to the correspondence reply

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

GRS or Superseded Authority Citation **NC1-235-82-1, 100-02  
N1-468-99-1, item 2**

**Disposition Instruction**

Cutoff Instruction **Cut off at the end of the fiscal year in which correspondence was created or received**

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 4 year blocks immediately after cutoff**

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives? **From 2008 To 2012**

How frequently will your agency transfer these records to the National Archives? **Every 4 Years**

### Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified

### Signatory Information

Date	Action	By	Title	Organization
10/17/2011	Certify	Elaine Pankey	Records Officer	Offices of the Secretary - OCIO
03/20/2012	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
03/29/2012	Submit For Certification	Karen Ballesteros	Records Specialist	Offices of the Secretary - OCIO
03/29/2012	Certify	Elaine Pankey	Records Officer	Offices of the Secretary - OCIO
12/18/2012	Submit for Concurrence	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
12/19/2012	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
12/19/2012	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
12/27/2012	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist