

## Request for Records Disposition Authority

Records Schedule Number      DAA-0468-2013-0004

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                      Office of the Assistant Secretary for Administration, Office of Business Management and Transformation

Schedule Subject                      HHS Delegations of Authority Files

Internal agency concurrences will be provided      Yes

Background Information              The Office of Business Management and Transformation (OBMT) supports achievement of the HHS mission by identifying, developing, implementing, and evaluating efficient and effective business practices throughout the Department. In addition, OBMT acts as an internal consulting group, maximizing return on taxpayer dollars by undertaking initiatives to improve services, reduce costs, and streamline bureaucracy.

OBMT provides results-oriented strategic and analytical support for key management initiatives and coordinates the business mechanisms necessary to account for the performance of these initiatives and other objectives as deemed appropriate. OBMT

- Oversees Department-wide multi-sector workforce management activities to recognize and implement a proper strategic and cost-effective labor force,
- Provides technical assistance to the Department's Operating Divisions and Staff Divisions and evaluates the effectiveness of their business-centric programs, including the development of performance standards, and
- Coordinates the review and approval process for reorganization and delegation of authority proposals that require the Secretary's or designees' signature

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	2	2	0

GAO Approval

## Outline of Records Schedule Items for DAA-0468-2013-0004

Sequence Number	
1	HHS Delegations of Authority Files
1 1	Delegations of Authority Files Pre-dating 1995 Disposition Authority Number DAA-0468-2013-0004-0001
1 2	Delegations of Authority Files from 1995 and after Disposition Authority Number DAA-0468-2013-0004-0002
1 3	Delegations of Authority Index Disposition Authority Number DAA-0468-2013-0004-0003
1 4	Delegations of Authority Pre-Decisional Files Disposition Authority Number DAA-0468-2013-0004-0004

## Records Schedule Items

Sequence Number	
1	<p><b>HHS Delegations of Authority Files</b> The Office of Business Management and Transformation (OBMT) is the program management office for Secretarial delegations of authority covered under this schedule. However, not all delegations of authority are presently housed in OBMT. Delegations of Authority specify who is authorized to act on behalf of the Secretary or other Department of Health and Human Services (DHHS) officials for specific purposes. Delegations of Authority files contain the approved delegation. The records exist in both paper and electronic formats as OBMT is moving the records from a paper filing system to an electronic database. Paper records are organized by subject and electronic records are organized sequentially. This schedule will apply to all delegations of authority that are Secretarial in nature. This means that delegations of authority at the Operating Division or Staff Division level will be included only if they are Secretarial in nature.</p>
1 1	<p><b>Delegations of Authority Files Pre-dating 1995</b> Disposition Authority Number      <b>DAA-0468-2013-0004-0001</b></p> <p>Delegations of Authority specify who is authorized to act on behalf of the Secretary or other Department of Health and Human Services (DHHS) officials for specific purposes. Delegations of Authority files contain the approved delegation. The records are organized by subject.</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>N1-468-92-4 Item 201-03a</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      <b>Cut off Delegations of Authority when superseded or cancelled</b></p> <p>Transfer to the National Archives for Accessioning      <b>Transfer to the National Archives immediately after approval of this schedule</b></p>

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives? **From 1980 To 1994**

How frequently will your agency transfer these records to the National Archives? **Unknown  
One complete transfer to the National Archives immediately upon approval of this schedule**

	Estimated Current Volume	Annual Accumulation
<b>Electronic/Digital</b>		
<b>Paper</b>	<b>1 5 Cubic feet</b>	
<b>Microform</b>		
<b>Hardcopy or Analog Special Media</b>		

1 2

**Delegations of Authority Files from 1995 and after**

Disposition Authority Number **DAA-0468-2013-0004-0002**

**Delegations of Authority specify who is authorized to act on behalf of the Secretary or other Department of Health and Human Services (DHHS) officials for specific purposes. Delegations of Authority files contain the approved delegation. The paper records are organized by subject.**

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? **No**

GRS or Superseded Authority Citation **N1-468-92-4 Item 201-03a**

**Disposition Instruction**

Cutoff Instruction                      Cut off Delegations of Authority files at the end of the FY when superseded or cancelled

Transfer to Inactive Storage            Transfer to the Federal Records Center 5 years after cut off

Transfer to the National Archives for Accessioning    Transfer paper records to the National Archives in four year blocks when the most recent records in the block are 20 years old Transfer electronic records in four year blocks when the earliest record in the block is 5 years old

**Additional Information**

First year of records accumulation    **1995**

What will be the date span of the initial transfer of records to the National Archives?    **From 1995 To 2000**

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

	Estimated Current Volume	Annual Accumulation
<b>Electronic/Digital</b>		
<b>Paper</b>	<b>1 5 Cubic feet</b>	
<b>Microform</b>		
<b>Hardcopy or Analog Special Media</b>		

1 3

**Delegations of Authority Index**

Disposition Authority Number        **DAA-0468-2013-0004-0003**

The Delegations of Authority Index is a Microsoft Access database that allows HHS Delegations of Authority to be more understandable. Currently the database is an index of the received delegations of authority, dating back from 1960 to the present. Further work will be done to create the ideal state as described above. The database contains the following fields • ID Number • Title • Type (e g , programmatic, administrative) • Action (e g , retain, transferred to NARA) • Category (e g , EEO, Real Property) • Date • Delegator's Title • Delegator's OpDiv • Delegatee's Title • Delegatee's OpDiv • Public Law Number • Public Law Title Number • Public Law Section • Public Law Name • US Code • Executive Order • Other Authorities • May be Redelegated • Parameters • Summary • Supersedes

• Related Delegations • Superseded • Notes/Comments • Notice Only • Support Documents • Section

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?	Yes
<b>Disposition Instruction</b>	
Retention Period	Destroy when no longer needed
<b>Additional Information</b>	
GAO Approval	Not Required

1 4

**Delegations of Authority Pre-Decisional Files**

Disposition Authority Number      **DAA-0468-2013-0004-0004**

Delegations of Authority Pre-Decisional files are supporting records that describe the decision-making behind the creation of a Delegation of Authority. This might entail an email exchange between relevant parties, citation of relevant policy, or written explanation about why the delegation is proceeding as is. It is important to retain a copy of pre-decisional files because these supporting files can provide pertinent information about the relationship between delegations and also provide individuals with a better understanding of why certain delegations were necessary.

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 the FY
Retention Period	Destroy 15 year(s) after cutoff

Additional Information

GAO Approval

Not Required



### 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
02/22/2013	Certify	Elaine Pankey	Records Officer	Offices of the Secretary - OCIO
05/28/2013	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
06/06/2013	Submit For Certification	Karen Ballesteros	Management Analyst	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
06/06/2013	Certify	Elaine Pankey	HHS Office of the Secretary Records Officer	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
10/22/2013	Submit for Concurrence	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
10/22/2013	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/22/2013	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/24/2013	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist