

## Request for Records Disposition Authority

Records Schedule Number DAA-0468-2015-0001  
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 Assistant Secretary for Preparedness and Response  
Schedule Subject Public Health Policy Records  
Internal agency concurrences will be provided Yes

Background Information The Assistant Secretary of Preparedness and Response (ASPR), Office of Policy and Planning (OPP), situated within the U.S. Department of Health and Human Services (HHS), advises HHS and ASPR leadership through policy options and strategic planning initiatives to support domestic and international public health emergency preparedness and response activities. OPP also leads implementation of the Pandemic and All Hazards Preparedness Reauthorization Act and develops the quadrennial National Health Security Strategy.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	2	3	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0468-2015-0001

Sequence Number	
1	Public Health Policy Records Disposition Authority Number: DAA-0468-2015-0001-0001
2	Policy Development, Background, and Informational Materials Disposition Authority Number: DAA-0468-2015-0001-0002
3	Stakeholder Engagement Policy Records Disposition Authority Number: DAA-0468-2015-0001-0003
4	Public Health Policy Group, Team, Council, and Committee Records Disposition Authority Number: DAA-0468-2015-0001-0004
5	Working Records of the Public Health Policy Group, Team, Council, and Committee Records Disposition Authority Number: DAA-0468-2015-0001-0005

## Records Schedule Items

Sequence Number	
1	<p><b>Public Health Policy Records</b></p> <p>Disposition Authority Number      DAA-0468-2015-0001-0001</p> <p>Public health policy records include all finalized health policies, strategic plans, and strategic implementation plans. These records include policies, policy frameworks, procedural issuances, policy statements, reports, deliverables, position papers, concept of operations, strategic plans and strategic implementation plans, and other records that document policy-making decisions, procedures, and long-term planning that are submitted for formal review through internal or external agencies.</p> <p>Final Disposition                      Permanent</p> <p>Item Status                              Active</p> <p>Is this item media neutral?          Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes</p> <p>Do any of the records covered by this item exist as structured electronic data?                      No</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      Cutoff at the end of the fiscal year in which the policy becomes obsolete or superseded.</p> <p>Transfer to the National Archives for Accessioning      Transfer electronic records in four year blocks when the latest records in the block are 5 years old, in accordance with NARA transfer guidance (36 CFR 1235.44/.46/.48/.50). Transfer paper records in four year blocks when the latest records in the block are 15 years old.</p> <p><b>Additional Information</b></p> <p>First year of records accumulation      2007</p> <p>What will be the date span of the initial transfer of records to the National Archives?      From 2007 To 2010</p> <p>How frequently will your agency transfer these records to the National Archives?      Every 4 Years</p>

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	MB	20 MB
Paper	2 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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**Policy Development, Background, and Informational Materials**

Disposition Authority Number      DAA-0468-2015-0001-0002

Records that document the development of public health policies. These records include standard operating procedures, drafts, notes, comments, internal correspondence, and related working papers created during the drafting of public health policy records described in 0001. These records also include internal and administrative weekly reports, and program support materials distributed to OPP employees in order to share information on special events and office-wide news.

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

**Disposition Instruction**

Cutoff Instruction                      Cut off at the end of the fiscal year in which policy or document was finalized and put into effect.

Retention Period                      Destroy 10 year(s) after cutoff

**Additional Information**

GAO Approval                          Not Required

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**Stakeholder Engagement Policy Records**

Disposition Authority Number      DAA-0468-2015-0001-0003

Workshops, conferences, focus groups and meeting materials that specifically support the generation of policy guidance, requirements, or planning for policy development. These records include presentations, agendas, webcasts, webinars, meeting materials, participant lists, publications, and listening session summaries.

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

GRS or Superseded Authority Citation DAA-0468-2013-0003-0007

Disposition Instruction

Cutoff Instruction Cut off at the end of the fiscal year in which the document is created.

Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required

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Public Health Policy Group, Team, Council, and Committee Records

Disposition Authority Number DAA-0468-2015-0001-0004

Inter-agency, intra-agency, and internal groups, teams, councils, and committees that are dedicated to the mission of establishing policy options, planning strategic initiatives to support domestic and international public health emergency preparedness and response activities, and inform decisions and policy solutions related to research funding and coordinating a science preparedness response. Records include meeting agendas, meeting minutes, member checklists, charters, summaries of conclusions and issues, talking points, audio transcripts, expert testimony, briefing materials, slide presentations, white papers, reports, recommendations and accomplishments, decision memos, and planning and decision analysis documents. Examples of groups included in this schedule include, but are not limited to, the Disaster Leadership Group, the H5N1 HPAI GOF (HHG) Review Group, and the Science Preparedness and Response Group.

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 **DAA-0468-2013-0003-0006**

**Disposition Instruction**

Cutoff Instruction **Cutoff at the end of the fiscal year in which the tenure of the appointed Assistant Secretary of Preparedness and Response ends.**

Transfer to the National Archives for Accessioning **Transfer paper records in four year blocks when the latest records in the block are 15 years old. Transfer electronic records in four year blocks when the latest record in the block is 15 years old, in accordance with NARA transfer guidance (36 CFR 1235.44/.46/.48/.50).**

**Additional Information**

First year of records accumulation **2007**

What will be the date span of the initial transfer of records to the National Archives? **From 2007 To 2010**

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	20 MB	
Paper	2 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

5

**Working Records of the Public Health Policy Group, Team, Council, and Committee Records**

Disposition Authority Number      DAA-0468-2015-0001-0005

Includes records created in support of Public Health Policy Group, Team, Council, and Committee Records. Records include correspondence, drafts, working documents, notes, standard operating procedures, and background and supporting documentation.

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

**Disposition Instruction**

Cutoff Instruction                      Cutoff at the end of the fiscal year in which the tenure of the appointed Assistant Secretary of Preparedness and Response ends.

Transfer to Inactive Storage          Transfer paper records to the Federal Records Center five years after cutoff.

Retention Period                      Destroy 8 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
11/13/2014	Certify	Elaine Pankey	HHS Office of the Secretary Records Officer	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
03/10/2015	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
04/16/2015	Submit For Certification	Amanda Pomicter	Chief, Records Management	Office of the Secretary - ASPR
04/22/2015	Certify	Elaine Pankey	HHS Office of the Secretary Records Officer	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
08/26/2015	Submit for Concurrence	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
08/27/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/27/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
08/31/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist