

Request for Records Disposition Authority

Records Schedule Number	DAA-0468-2019-0004
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 Preparedness and Response
Schedule Subject	Correspondence Management System for the Office of the Assistant Secretary for Preparedness and Response
Internal agency concurrences will be provided	No
Background Information	<p>The correspondence management system is the single entry and exit point for official correspondence containing documents generated by ASPR and/or received by its component offices that require action from the HHS Secretary and other government agencies.</p> <p>This includes official records (including electronic email), associated background materials (copies of incoming and outgoing memorandums, comments, drafts, data calls, clearance, and similar documents) that are:</p> <ol style="list-style-type: none">1. Originated and maintained only by ASPR offices, signed by the ASPR and/or the Principal Deputy ASPR (and any ASPR Official acting on behalf of those positions), and filed in the Immediate Office of the ASPR.2. Originated responses to data calls and requests for data by and from ASPR offices with the private sector, internal Departmental Offices, and other government agencies, including the White House and Congress, filed in the Immediate Office of the ASPR.3. Originated responses and requests by and from the ASPR and submitted to the HHS Secretary and/or the Immediate Office of the Secretary. <p>The correspondence management system hosts incoming and outgoing correspondence, official tracking records, reports, studies, memoranda, and other documents in the Immediate Office of the Assistant Secretary for Preparedness and Response that:</p> <ol style="list-style-type: none">1. issue policy, prescribed procedures, or affect organizational structures;

2. provide executive direction or document major functions;
3. pertain to relations with the White House, National Security Council, Executive Office for the President, Congress, or the public;
4. any request for information from a representative of GAO or under the FOIA;
5. any documents to be published in the Federal Register;
6. any document requiring official clearance by the Health and Human Service's operating divisions and staff divisions or other executive branch department or agencies;
7. Congressional letters written directly to ASPR offices for signature by the Office director or designated staff;
8. prescribe policy;
9. pertain to litigation and formal legal opinions; and,
10. document the policies, programs, plans, and organizational structures established to fulfill the mission of ASPR and the Immediate Office Components.

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-0468-2019-0004

Sequence Number	
1	Official Correspondence Archive
1.1	XML Tracking Sheet Disposition Authority Number: DAA-0468-2019-0004-0001
1.2	Substantive Working Files Disposition Authority Number: DAA-0468-2019-0004-0002
1.3	Official Correspondence Files of the Assistant Secretary for Preparedness and Response (ASPR) and Principal Deputy Assistant Secretary for Preparedness and Response (PDASPR) Disposition Authority Number: DAA-0468-2019-0004-0003
1.4	Interagency Tasks and Information Files originated by HHS Secretary's Official Correspondence System Disposition Authority Number: DAA-0468-2019-0004-0004

Records Schedule Items

Sequence Number	
1	<p>Official Correspondence Archive This document library hosts and maintains the electronic records of incoming and outgoing correspondence, attachments and enclosures with the ASPR and/or PDASPR's signature. These records include but are not limited to programs, policies, procedures, decisions, and other program/policy/budget-related topics. Correspondence is with the private sector, internal Departmental Offices, and other government agencies, including the White House and Congress.</p>
1.1	<p>XML Tracking Sheet</p> <p>Disposition Authority Number DAA-0468-2019-0004-0001</p> <p>Tracking that serves as a historical record that includes basic document information, file synopsis, notes in chronological order from the correspondence tracking metadata, and all records associated with each correspondence. The historical record is a repository of each correspondence related to a topic, for example if a public health emergency declaration is requested subsequent extensions are all maintained in one XML tracking sheet.</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>Disposition Instruction</p> <p>Cutoff Instruction Cutoff at the end of each calendar year in which correspondence was created or received.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff.</p> <p>Additional Information</p> <p>First year of records accumulation 2006</p> <p>What will be the date span of the initial transfer of records to the National Archives? From 2006 To 2007</p>

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	9 MB	
Paper		
Microform		
Hardcopy or Analog Special Media		

1.2

Substantive Working Files

Disposition Authority Number **DAA-0468-2019-0004-0002**

Final drafts with attachments and enclosures, drafts, notes, comments, electronic mail messages, internal ASPR communication, status inquiries, and related working papers created during the drafting of correspondence described in the background. These records include substantive material with analysis and research specific to HHS/ASPR public health and medical services equities and missions from subject matter experts in specific fields such as, but not limited to: bio surveillance, veterinary medicine, behavioral health, medical countermeasures, logistics and response, and emerging infectious diseases. These areas of expertise inform final records such as Emergency Use Authorizations, Public Health Declarations, Congressional responses, interagency policy, and public communications.

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 each calendar year in which correspondence was created or received.**

1.3

Retention Period	Destroy 8 years after cutoff but longer retention is authorized if required for business use.
Additional Information	
GAO Approval	Not Required
Official Correspondence Files of the Assistant Secretary for Preparedness and Response (ASPR) and Principal Deputy Assistant Secretary for Preparedness and Response (PDASPR)	
Disposition Authority Number	DAA-0468-2019-0004-0003
Final approved correspondence signed by the Assistant Secretary for Preparedness and Response (ASPR) or Principal Deputy Assistant Secretary for Preparedness and Response (PDASPR) that include final memoranda, attachments, tracking records, and enclosures. These records document ASPR policies, programs, procedures, decisions, and other program-related or policy-related management correspondence.	
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
Disposition Instruction	
Cutoff Instruction	Cutoff at the end of each calendar year in which correspondence was created or received.
Transfer to the National Archives for Accessioning	Transfer to the National Archives 15 year(s) after cutoff.
Additional Information	
First year of records accumulation	2006
What will be the date span of the initial transfer of records to the National Archives?	From 2006 To 2007
How frequently will your agency transfer these records to the National Archives?	Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	2.5 GB	
Paper		
Microform		
Hardcopy or Analog Special Media		

1.4

Interagency Tasks and Information Files originated by HHS Secretary’s Official Correspondence System

Disposition Authority Number **DAA-0468-2019-0004-0004**

These records are not created or maintained in Item 0003 and are duplicate of records in the Office of the Secretary (OS) Correspondence System. Copies of tasks and documents sent from other Departments or Agencies (D/A), Operating and Staffing Divisions (OpDIV/StaffDiv), or from the Secretary that require a response or distribution to ASPR offices. These records include, but are not limited to, requests for direct replies from the Secretary, request to distribute formal memos and policies from D/As or OpDiv/StaffDiv, data calls from D/As or OpDiv/StaffDiv, Congressional Inquiries, GAO requests, FOIA requests, and interagency clearance of final draft documents that requires formal concurrence. The OS maintains the official record copy, and therefore these are temporary.

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 each calendar year in which correspondence was created or received.**

Retention Period **Destroy 15 year(s) after cutoff but longer retention is authorized if required for business use.**

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
09/24/2019	Certify	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
02/05/2020	Return for Revision	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
03/20/2020	Submit For Certification	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
03/20/2020	Certify	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
04/01/2020	Return for Revision	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
04/10/2020	Submit For Certification	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
04/10/2020	Certify	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
07/27/2020	Submit for Concurrence	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
08/04/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/06/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration

				- National Records and Archives Administration
08/10/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist