

Request for Records Disposition Authority

Records Schedule Number	DAA-0514-2020-0002
Schedule Status	Approved
Agency or Establishment	Office of the Assistant Secretary for Health
Record Group / Scheduling Group	Records of the Office of the Assistant Secretary for Health
Records Schedule applies to	Major Subdivision
Major Subdivision	Office of the Secretary
Minor Subdivision	Office of the Assistant Secretary for Health
Schedule Subject	Correspondence Management Schedule of the Assistant Secretary for Health (OASH)
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 the Assistant Secretary for Health (OASH) and/or received by its program 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 OASH offices, signed by the ASH and/or the Principal Deputy Assistant Secretary for Health (PDASH) (and any OASH Official acting on behalf of those positions), and filed in the Immediate Office of the ASH.2. Originated responses to data calls and requests for data by and from OASH program 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 ASH. <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 ASH 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 OASH program offices for signature by the Program 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 OASH and the Immediate Office Components.

The Official Correspondence is currently maintained electronically in the "Secretary's Policy System (SPS)".

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	2	1	0

GAO Approval

Outline of Records Schedule Items for DAA-0514-2020-0002

Sequence Number	
1	Official Correspondence
1.1	Correspondence Tracking Metadata Disposition Authority Number: DAA-0514-2020-0002-0001
1.2	Official Correspondence Files Disposition Authority Number: DAA-0514-2020-0002-0002
1.3	General Correspondence Files Disposition Authority Number: DAA-0514-2020-0002-0003

Records Schedule Items

Sequence Number	
1	<p>Official Correspondence Records are currently managed in an electronic imaging system used to maintain electronic copies (scanned images, word processing copies, electronic mail copies) of incoming and outgoing correspondence and responses with the ASH and/ or PDASH's signature, attachments, and enclosures, as well as the associated metadata that serves as a tracking tool to the permanent official correspondence of the ASH and PDASH.</p>
1.1	<p>Correspondence Tracking Metadata Disposition Authority Number DAA-0514-2020-0002-0001</p> <p>Data elements include but are not limited to case number, case owner, case record type, completion date, name of the Office/Division assigned to the correspondence. All metadata will be part of the correspondence package along with files (item 1.2) associated with the correspondence.</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? Yes</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at the end of the fiscal year in which correspondence was created or received.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 15 years after cutoff.</p> <p>Additional Information</p> <p>First year of records accumulation 2010</p> <p>What will be the date span of the initial transfer of records to the National Archives? From 2010 To 2011</p>

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	15 GB	1 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

1.2

Official Correspondence Files

Disposition Authority Number **DAA-0514-2020-0002-0002**

ASH Correspondence - Included are the ASH, PDASH, and Program Office Directors , including the Surgeon General. These records consist of or relate to guidance, instructions, and decisions issued or received by OASH; pertinent correspondence with the Secretary and DHHS officials, Program Offices, PHS, Regional Health Offices, and other Federal agencies. as well as correspondence regarding budget statements, accepted and declined invitations to public events, press releases, briefings, presentations, speeches, digests, and back-ups. Final approved correspondence signed by OASH officials that include final memoranda, attachments, tracking records, and enclosures. These records document ASH policies, programs, procedures, decisions, and other program-related or policy related management correspondence. ASH Congressional/White House Correspondence – These files consist of correspondence between members of Congress, the White House and OASH. Included are incoming correspondence, suggestions for possible use in preparing a reply with supporting documentation, final reply with staff clearance obtained, along with other supporting materials.

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

N1-514-92-001 / 9a/1
N1-514-92-001 / 9b/1

Disposition Instruction

Cutoff Instruction

Cutoff at the end of each fiscal year in which correspondence was closed

Transfer to the National Archives for Accessioning

Transfer to the National Archives 15 year(s) after cutoff

Additional Information

First year of records accumulation 1993

What will be the date span of the initial transfer of records to the National Archives? From 1993 To 2005

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	50 GB	5.8 GB
Paper	460 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

1.3

General Correspondence Files

Disposition Authority Number DAA-0514-2020-0002-0003

These records include but are not limited to high level correspondence where OASH is not the official record holder. Any request that comes from OS, would be duplicative in OASH whereas OS is the Office of Record. These records relate to administrative support activities that include, routine correspondence with no decision, FOIA requests, internal speaking requests, and correspondence related to miscellaneous clearances. Records that pertain to general correspondence with State and local government activities; and activities outside government. Example: Inquiries about ongoing programs, general public inquiries, explanation of regulations and or policies or procedures.

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
GRS or Superseded Authority Citation	N1-514-92-001 / 9a/2 N1-514-92-001 / 9a/3 N1-514-92-001 / 9b/2 N1-514-92-001 / 9b/3
Disposition Instruction	
Cutoff Instruction	Cutoff at the end of each fiscal year in which correspondence was closed
Retention Period	Destroy 5 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
09/15/2020	Certify	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
11/18/2020	Return for Revision	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
12/09/2020	Submit For Certification	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
12/09/2020	Certify	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
03/09/2021	Return for Revision	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
03/10/2021	Submit For Certification	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
03/10/2021	Certify	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
11/02/2022	Submit for Concurrence	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
11/07/2022	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/07/2022	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration

				- National Records and Archives Administration
11/07/2022	Approve	Debra Wall	Deputy Archivist	National Archives and Records Administration - ND Archives I Office