

## Request for Records Disposition Authority

Records Schedule Number DAA-0468-2013-0009  
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 Agency-wide  
Schedule Subject Official Files and Briefing Books of the OS Components i.e., Head of each OS Staff Division (STAFFDIV) of the Secretary, HHS  
Internal agency concurrences will be provided Yes

### Background Information

The Department of Health and Human Services is the principal agency for protecting the health of all Americans. It is comprised of the Office of the Secretary and 11 operating divisions (OPDIVs). The agencies perform a wide variety of tasks and services, including research, public health, food and drug safety, grants and other funding, health insurance, and many others. The subdivisions of the Office of the Secretary (OS STAFFDIVs) listed below provide direct support for the Secretary's initiatives.

The Offices of the Secretary STAFFDIVs for which this schedule applies to are:

- Assistant Secretary for Administration (ASA)
- Assistant Secretary for Financial Resources (ASFR)
- Assistant Secretary for Legislation (ASL)
- Assistant Secretary for Public Affairs (ASPA)
- Assistant Secretary for Planning and Evaluation (ASPE)
- Assistant Secretary for Preparedness and Response (ASPR)
- Center for Faith-Based and Neighborhood Partnerships (CFBNP)
- Intergovernmental External Affairs (IEA)
- Office for Civil Rights (OCR)
- Office of the General Counsel (OGC)
- Office of Global Affairs (OGA)
- Office of the Inspector General (OIG)
- Any future OS Component i.e., Head of Staff Division established under the OS umbrella

This records schedule includes the records of the OS STAFFDIV high level officials listed above including but not limited to those of the:

- Assistant Secretaries
- Deputy Assistant Secretaries

- Political Appointees

NOTE: The Offices of the Secretary STAFFDIVs for which this schedule does not apply are:

- Departmental Appeals Board (DAB) N1-468-10-0001
- Office of Medical Hearings and Appeals (OMHA)  
DAA-0468-2012-0003
- Office of the National Coordinator for Health Information Technology (ONC) DAA-0468-2011-0007
- Office of the Assistant Secretary for Health (OASH). The records will be scheduled under Record Group 514.

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-0468-2013-0009

Sequence Number	
1	Official Files of the OS STAFFDIVs High Level Officials
1.1	Official Files
	Disposition Authority Number: DAA-0468-2013-0009-0001
1.2	Routine Files
	Disposition Authority Number: DAA-0468-2013-0009-0002
1.3	Working Files
	Disposition Authority Number: DAA-0468-2013-0009-0003
2	Official Briefing Books of the OS STAFFDIVs High Level Officials
	Disposition Authority Number: DAA-0468-2013-0009-0004

## Records Schedule Items

Sequence Number	
1	<p><b>Official Files of the OS STAFFDIVs High Level Officials</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 OS STAFFDIV high level officials and any HHS official acting on behalf of any of the positions listed above.</p>
1.1	<p><b>Official Files</b></p> <p>Disposition Authority Number      DAA-0468-2013-0009-0001</p> <p>Incoming and outgoing correspondence, reports, studies, memoranda, and other documents in the OS STAFFDIVs that: (1) issue policy, prescribe procedures, or affect organizational structures; (2) provide executive direction or document major functions; (3) pertain to relations with the Immediate Office of the Secretary; (4) document the policies, programs, plans, and organizational structures established to fulfill the mission of the OS STAFFDIVs; and (5) pertain to litigation and formal legal opinions. This includes all correspondence created and signed in the Immediate Office of each OS STAFFDIV.</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>GRS or Superseded Authority Citation      NC1-235-80-1, item 100-02a</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      Cut off at the end of the calendar year in which correspondence was created or received.</p> <p>Transfer to Inactive Storage          Transfer paper records to Federal Records Center 5 years after cutoff.</p> <p>Transfer to the National Archives for Accessioning      Transfer paper records to the National Archives in 4 year blocks when the most recent records in the block are 15 years old. Transfer electronic records in</p>

4 year blocks when the earliest records in the block are 5 years old.

**Additional Information**

First year of records accumulation **2004**

What will be the date span of the initial transfer of records to the National Archives? **From 2004 To 2008**

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>170 GB</b>	
<b>Paper</b>	<b>85 Cubic feet</b>	
<b>Microform</b>		
<b>Hardcopy or Analog Special Media</b>		

1.2

**Routine Files**

Disposition Authority Number **DAA-0468-2013-0009-0002**

**These records relate to administrative support activities, to include but is not limited to staffing and procedures not directly related to the essential primary purpose of the OS STAFFDIVs, declined and cancelled invitations, training materials developed by OS STAFFDIVs, certificates of completion of training courses, and standard operating procedures that do not document the OS STAFFDIVs policies.**

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 **N1-235-80-1, Item 100-02b**

1.3

**Disposition Instruction**

Cutoff Instruction                      Cut off at the close of the calendar year in which created or received.

Retention Period                      Destroy 5 year(s) after cutoff

**Additional Information**

GAO Approval                      Not Required

**Working Files**

Disposition Authority Number      DAA-0468-2013-0009-0003

**Drafts, notes, comments, electronic mail messages, and related working papers created during the drafting of the correspondence described in item 0001 and 0002 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

**Disposition Instruction**

Cutoff Instruction                      Cut off at the end of each calendar year in which received in the Immediate Office of the OS STAFFDIV.

Retention Period.                      Destroy 3 year(s) after cutoff

**Additional Information**

GAO Approval                      Not Required

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**Official Briefing Books of the OS STAFFDIVs High Level Officials**

Disposition Authority Number      DAA-0468-2013-0009-0004

**Record copy of daily schedules/calendar, agendas, speeches, notes, speaking points, annotated speeches, background/supporting information, policies, decision papers, , letters of invitation, accepted/declined/cancelled invitations to attend, participate and/or speak at meetings, conferences, and similar events, reports, records documenting telephone calls, and any other information appropriate for filing in the briefing books of the OS STAFFDIV high-level officials, and created**

and maintained in their daily schedules to prepare them for the daily activities and to keep them informed of major policy and program developments.

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 N1-468-99-1, item 1

**Disposition Instruction**

Cutoff Instruction Cut off at the end of the calendar year in which briefing books and daily files were created.  
 Transfer to Inactive Storage Transfer paper records to the Federal Records Center 5 years after cutoff.  
 Transfer to the National Archives for Accessioning Transfer paper records to the National Archives in 4 year blocks when the most recent records in the block are 15 years old. Transfer electronic records in 4 year blocks when the earliest records in the block are 5 years old.

**Additional Information**

First year of records accumulation 2008  
 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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	170 GB	
Paper	85 Cubic feet	
Microform		

Hardcopy or Analog Special Media		
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## 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
05/01/2013	Certify	Elaine Pankey	HHS Office of the Secretary Records Officer	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
07/16/2013	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
07/31/2013	Submit For Certification	Karen Ballesteros	Management Analyst	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
07/31/2013	Certify	Elaine Pankey	HHS Office of the Secretary Records Officer	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
01/15/2014	Submit for Concurrence	Tom Cotter	Appraiser	National Archives and Records Administration - Records Management Services
03/05/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
03/05/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program

03/05/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist
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