

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0611-2023-0001

Status: APPROVED  
Date Approved: 09/16/2024

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## General Information

Agency or Establishment	Administration for Strategic Preparedness and Response
Record/Scheduling Group	0611 - Records of the Administration for Strategic Preparedness and Response
Records Schedule Applies To	Agency-wide
Schedule Subject	Correspondence Management System for the Administration for Strategic Preparedness and Response
Additional Schedule 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"><li>1. Originated and maintained only by ASPR offices, signed by the ASPR and/or Principal Deputy ASPR (and any ASPR Official acting on behalf of those positions), and filed in the Immediate Office of the ASPR.</li><li>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.</li><li>3. Originated responses and requests by and from the ASPR and submitted to the HHS Secretary and/or the Immediate Office of the Secretary.</li></ol> <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 ASPR that:</p> <ol style="list-style-type: none"><li>1. issue policy, prescribed procedures, or affect organizational structures;</li><li>2. provide executive direction or document major functions;</li><li>3. pertain to relations with the White House, National Security Council, Executive Office for the President, Congress, or the public;</li></ol>

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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.

Records created before June 29, 2022 are scheduled under  
DAA-0468-2019-0004

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Is There a Classified Version of This  
Schedule?

No

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Is consultation and coordination with  
Tribal Governments required?

No - the records covered by this schedule do not implicate Tribal  
interests

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## Item Count

Total number of disposition items: 5

Number of Temporary disposition items: 3

Number of Permanent disposition items: 2

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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Outline of Records Schedule Items for DAA-0611-2023-0001

<b>Item #</b>	<b>Title</b>	<b>Disposition</b>
0001	Official Correspondence Archive : ASPR Correspondence Task Overview	Permanent
0002	Official Correspondence Archive : Substantive Working Files	Temporary
0003	Official Correspondence Archive : Interagency Tasks and Information Files originated by HHS Secretary's Official Correspondence System	Temporary
0004	Official Correspondence Archive : Official Correspondence Files of the Assistant Secretary for Strategic Preparedness and Response (ASPR) and Principal Deputy Assistant Secretary for Strategic Preparedness and Response (PDASPR)	Permanent
0005	Official Correspondence Archive : General Correspondence Records	Temporary

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Records Schedule Items

<b>Group Title</b>	Official Correspondence Archive
<b>Group Description</b>	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.
DAA-0611-2023-0001-0001	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	ASPR Correspondence Task Overview
Item Description	Tracking that serves as a historical record that includes basic document information, file synopsis, notes in chronological order from the 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. These records only relate to the permanent Official Correspondence Files (item 0004).
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
<b>MANUAL CITATION</b>	
Agency Code	0611
Manual Title	ASPR Correspondence Task Overview
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Permanent
Cutoff Instructions	Cut off at end of Calendar year when the correspondence was created or received.
Are there multiple instructions for this item?	No
Transfer Instruction	Transfer to the National Archives 15 year(s) after cutoff

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<b>ADDITIONAL INFORMATION</b>	
Current Records Format	Structured data formats:9 MB
Approximate first year of records covered by this authority	2022
End year of records covered by this authority	Still being created
Date span of the initial transfer	From: 06/29/2022 To: 12/31/2023
Frequency of transfer	1
Are any of the records covered by this item subject to a FOIA exemption?	No
<b>DAA-0611-2023-0001-0002 STATUS: Active</b>	
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Substantive Working Files
Item Description	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: biosurveillance, veterinary medicine, behavioral health, medical countermeasures, response and recovery, 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.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
<b>MANUAL CITATION</b>	
Agency Code	0611
Manual Title	Substantive Working Files
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary

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Cutoff Instructions	Cut off at end of Calendar year when the correspondence was created or received.
Retention Period	Destroy 8 year(s) after cutoff
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No
<b>DAA-0611-2023-0001-0003</b>	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Interagency Tasks and Information Files originated by HHS Secretary's Official Correspondence System
Item Description	These records are not created or maintained in Item 0004 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.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
<b>MANUAL CITATION</b>	
Agency Code	0611
Manual Title	Interagency Tasks and Information Files originated by HHS Secretary's Official Correspondence System
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Cutoff Instructions	Cut off at end of Calendar year when the correspondence was created or received.
Retention Period	Destroy 15 year(s) after cutoff

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<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No
<b>DAA-0611-2023-0001-0004</b> <span style="float: right;"><b>STATUS: Active</b></span>	
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Official Correspondence Files of the Assistant Secretary for Strategic Preparedness and Response (ASPR) and Principal Deputy Assistant Secretary for Strategic Preparedness and Response (PDASPR)
Item Description	Final approved correspondence signed by the Assistant Secretary for Strategic Preparedness and Response (ASPR) or Principal Assistant Secretary for Strategic Preparedness and Response that include final memoranda, attachments, tracking records, and enclosures. These records document ASPR mission-related policies, programs, procedures, decisions, and other program-related or policy-related management correspondence (this does not include routine or administrative correspondence in item 0005 of this schedule).
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
<b>MANUAL CITATION</b>	
Agency Code	0611
Manual Title	Official Correspondence Files of the Assistant Secretary for Strategic Preparedness and Response (ASPR) and Principal Deputy Assistant Secretary for Strategic Preparedness and Response (PDASPR)
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Permanent
Cutoff Instructions	Cut off at end of Calendar year when the correspondence was created or received.
Are there multiple instructions for this item?	No
Transfer Instruction	Transfer to the National Archives 15 year(s) after cutoff
<b>ADDITIONAL INFORMATION</b>	



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Current Records Format	Structured data formats:2 GB
Approximate first year of records covered by this authority	2022
End year of records covered by this authority	Still being created
Date span of the initial transfer	From: 06/29/2022 To: 12/31/2023
Frequency of transfer	1
Are any of the records covered by this item subject to a FOIA exemption?	No
<b>DAA-0611-2023-0001-0005 STATUS: Active</b>	
<b>ITEM GENERAL INFORMATION</b>	
Item Title	General Correspondence Records
Item Description	These records include but are not limited to high level correspondence where ASPR is not the official record holder. Any request that comes from OS, would be duplicative in ASPR 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, budget decisions, human resource actions, correspondence related to miscellaneous clearances, and other various non-mission related administrative correspondence. Records that pertain to general correspondence with State and local government activities; and activities outside government (including private sector activities). Example: Inquiries about ongoing programs, general public inquiries, explanation of regulations and or policies or procedures.
Is this item media neutral?	No
Media limitation	Digital only
Is this item a Big Bucket?	No
<b>MANUAL CITATION</b>	
Agency Code	0611
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Cutoff Instructions	Cut off at end of Fiscal year when the correspondence was created or received.

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Retention Period	Destroy 5 year(s) after cutoff
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

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Signatory Information

Action	User	Date
Approve	Colleen Shogan	09/16/2024