

Request for Records Disposition Authority

Records Schedule Number DAA-0442-2019-0001
Schedule Status Approved

Agency or Establishment Centers for Disease Control and Prevention
Record Group / Scheduling Group Records of the Centers for Disease Control and Prevention
Records Schedule applies to Major Subdivision
Major Subdivision Centers for Disease Control and Prevention
Minor Subdivision Division of Select Agents and Toxins (DSAT)
Schedule Subject Select Agents and Toxins
Internal agency concurrences will be provided No

Background Information

The Federal Select Agent Program is jointly comprised of the Centers for Disease Control and Prevention/Division of Select Agents and Toxins and the Animal and Plant Health Inspection Service/ Agriculture Select Agent Services. The Federal Select Agent Program oversees the possession, use and transfer of biological select agents and toxins, which have the potential to pose a severe threat to public, animal or plant health or to animal or plant products. The Program greatly enhances oversight by:

Developing, implementing, and enforcing the select agent regulations to help ensure this research is conducted in a safe and secure manner.

Providing oversight of possession to ensure that the U.S. government has full awareness of entities in lawful possession of these potentially dangerous biological agents and toxins.

Conducting inspections and approving registrations in order to make sure that appropriate measures are in place at each registered entity to prevent the unauthorized access, theft, loss, or release of select agents and toxins.

Approving individual access to select agents and toxins to help guard against access by bioterrorists or any others who may wish to misuse the agents. All individuals who work with select agents and toxins must first undergo a security risk assessment performed by the FBI.

Receiving reports of a theft, loss, or release of a select agent or toxin to understand and help reduce risks posed by the situation, ensure proper action is taken and appropriate authorities have been notified, and help the entity identify ways to prevent it from happening in the future.

Taking appropriate enforcement actions for regulatory violations to address the risk and increase future compliance with the regulations.

Serving as a resource on compliance with the regulations by providing guidance, trainings, and outreach to help entities meet the requirements of the regulations.

Collaborating with domestic and international partners to assist others with the development and implementation of appropriate biosafety and security oversight programs.

In addition, CDC's Division of Select Agents and Toxins (DSAT) oversees the Import Permit Program. The CDC Import Permit Program (IPP) regulates the importation of infectious biological materials that could cause disease in humans in order to prevent their introduction and spread into the U.S. The program ensures that the importation of these agents is monitored and that facilities receiving permits have appropriate biosafety measures in place to work with the imported agents.

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 3 | 0 | 3 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0442-2019-0001

| Sequence Number | |
|-----------------|--|
| 1 | Program Reports Provided to the Director Disposition Authority Number: DAA-0442-2019-0001-0001 |
| 2 | Federal Select Agent Program (FSAP) Records Disposition Authority Number: DAA-0442-2019-0001-0002 |
| 3 | Import Permit Program (IPP) Disposition Authority Number: DAA-0442-2019-0001-0003 |

Records Schedule Items

| Sequence Number | |
|-----------------|--|
| 1 | <p>Program Reports Provided to the Director</p> <p>Disposition Authority Number DAA-0442-2019-0001-0001</p> <p>The program report is a compilation of the Division of Select Agents and Toxins activities. The report is provided to the Director of the Center, where the official record resides. The reports does not have a direct impact on public health efforts in the U.S. or across the world.</p> <p>Final Disposition Temporary</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 N1-442-06-001/15</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off files at the end of the fiscal year.</p> <p>Retention Period Destroy 10 year(s) after after cut off</p> <p>Additional Information</p> <p>GAO Approval Not Required</p> |
| 2 | <p>Federal Select Agent Program (FSAP) Records</p> <p>Disposition Authority Number DAA-0442-2019-0001-0002</p> <p>This item covers records related to: an entity’s application to possess, use and transfer select agents and toxins (SA&Ts); individuals who will have access to SA&Ts, including records related to background investigations; transfers of SA&Ts; identification and final disposition of any SA&Ts contained in a specimen presented for diagnosis, verification, and proficiency testing; inspections of registered entities; requests for exemptions from regulatory requirements; and reports of any theft, loss or release of SA&Ts.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> |

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
N1-442-06-001/1
N1-442-06-001/2
N1-442-06-001/3
N1-442-06-001/4
N1-442-06-001/6
N1-442-06-001/7
N1-442-06-001/8
N1-442-06-001/20

Disposition Instruction

Cutoff Instruction Cutoff at the end of the calendar year in which the application was received.

Retention Period Destroy 10 year(s) after cut off.

Additional Information

GAO Approval Not Required

Import Permit Program (IPP)

Disposition Authority Number DAA-0442-2019-0001-0003

Applicants will enter their own information through a secure portal and immediately submit the form directly to IPP for review and approval. Provides a centralized location where applicants can get status updates. Applicants will receive real-time information on the status of the permit. Users will be able to pull information previously submitted through IPP to use for new applications. Provides applicants with a historical record of permits. Moving forward, applicants will be able to find details on past permits issued, expiration dates, etc. Applicants will be able to communicate with the program through a two-way portal for submitting and sharing information.

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

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| | |
|---|---|
| Do any of the records covered by this item exist as structured electronic data? | Yes |
| GRS or Superseded Authority Citation | N1-442-06-001/5 |
| Disposition Instruction | |
| Cutoff Instruction | Cutoff at the end of the calendar year the permit was received. |
| Retention Period | Destroy 10 year(s) after cut off |
| 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 |
|------------|--------------------------|------------------|---|---|
| 05/26/2020 | Certify | Mary Wilson | CDC Records Office | CDC - Management Analysis and Services Office |
| 07/29/2020 | Return for Revision | Richard Green | Archivist Specialist | National Archives and Records Administration - ACR3, Appraisal Team 3 |
| 08/27/2020 | Submit For Certification | Mary Wilson | CDC Records Office | CDC - Management Analysis and Services Office |
| 08/31/2020 | Certify | Mary Wilson | CDC Records Office | CDC - Management Analysis and Services Office |
| 11/10/2020 | Submit for Concurrence | Richard Green | Archivist Specialist | National Archives and Records Administration - ACR3, Appraisal Team 3 |
| 11/23/2020 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - ACNR Records Management Services |
| 11/24/2020 | Concur | Laurence Brewer | Chief Records Officer | National Records and Archives Administration - National Records and Archives Administration |
| 11/24/2020 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |