

## Request for Records Disposition Authority

Records Schedule Number           DAA-0468-2012-0005

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 (OS)

Minor Subdivision                 Office of the Assistant Secretary for Preparedness and Response (ASPR)

Schedule Subject                  Emergency Response Activities Records

Internal agency concurrences will be provided   Yes

  

Background Information            The Office of the Assistant Secretary for Preparedness and Response (ASPR) supports our nation’s ability to prepare for, respond to, and recover from the public health consequences of naturally occurring and man-made threats

ASPR was created by the “Pandemic and All Hazards Preparedness Act of 2006” HHS is the lead agency for the National Response Framework for Emergency Support Function (ESF) 8 The Secretary of HHS delegates to ASPR the leadership role for all health and medical services support function in a health emergency or public health event

ASPR component offices are organized by three core capabilities

- 1 Planning for, developing, and acquiring medical countmeasures
- 2 Emergency preparedness and response
- 3 Support operations

This schedule addresses records pertaining to the “emergency response activities” of “emergency preparedness and response”

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	1	3	0

GAO Approval

## Outline of Records Schedule Items for DAA-0468-2012-0005

Sequence Number	
1	Responses to Public Health Incidents Records
1 1	Public Health Responses that Engender Historical Interest Disposition Authority Number DAA-0468-2012-0005-0001
1 2	Responses to all other Public Health Incidents Disposition Authority Number DAA-0468-2012-0005-0002
2	National Special Security Events (NSSEs) Records
2 1	National Special Security Events (NSSEs) Records Disposition Authority Number DAA-0468-2012-0005-0003
3	National Infrastructure Protection Plan (NIPP) Records
3 1	National Infrastructure Protection Plan (NIPPs) Records Disposition Authority Number DAA-0468-2012-0005-0004

## Records Schedule Items

Sequence Number	
1	<p><b>Responses to Public Health Incidents Records</b> Records that document the emergency response to incidents adversely affecting public health , including but not limited to disaster-specific daily logs, situational reports, Emergency Support Function executions and alerts, activation and deactivation orders, incident action plans, advisories, medical response records (excluding records contained in the Disaster Medical Information Suite), Patient Movement Records (PMR), transportation manifests, patient transportation authorizations, and after-action analyses and reports</p>
1 1	<p><b>Public Health Responses that Engender Historical Interest</b> Disposition Authority Number      DAA-0468-2012-0005-0001</p> <p>Records that document natural and man-made disasters or other events that engender long-term, post-event review, lessons learned, and historical interest. These events are designated by such factors as 1) a Presidential declared disaster, 2) a catastrophic incident that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions, 3) the declaration of an Incident of National Significance as defined by the National Response Plan, and 4) executive, congressional or judicial orders issued to retain/freeze all records associated with the incident. This category covers, for example, records related to such disasters as September 11, 2001 and Hurricane Katrina</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><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      Cut off at the end of the fiscal year in which the incident response is closed</p> <p>Transfer to Inactive Storage            Transfer paper records to the Federal Records Center three years after cutoff</p> <p>Transfer to the National Archives for Accessioning            Transfer paper records to the National Archives in four year blocks when the most recent records</p>

in the blocks are 15 years old Transfer electronic records in four year blocks five years after cutoff in accordance with NARA transfer guidance (36 CFR 1235 44/ 46/ 48/ 50)

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives? **From 2006 To 2012**

How frequently will your agency transfer these records to the National Archives? **Every 4 Years**

1 2

**Responses to all other Public Health Incidents**

Disposition Authority Number **DAA-0468-2012-0005-0002**

**Records that document other disasters or events not described in item (0001) Also includes drafts and background materials used to create the final reports as described in item (0001)**

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 the fiscal year in which the incident response is closed**

Transfer to Inactive Storage **Transfer to the Federal Records Center three years after cutoff**

Retention Period **Destroy 6 year(s) after cutoff**

**Additional Information**

GAO Approval **Not Required**

2

**National Special Security Events (NSSEs) Records**

**Records that document ASPR's participation in NSSEs such as President's State of the Union Address, Democratic or Republican National Convention, etc)**

2 1 including but not limited to execution orders, operations orders, and after-action reports

**National Special Security Events (NSSEs) Records**

Disposition Authority Number **DAA-0468-2012-0005-0003**

Records that document ASPR's participation in NSSEs such as President's State of the Union Address, Democratic or Republican National Convention, etc including but not limited to execution orders, operations orders and after-action reports

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 the fiscal year in which the incident response is closed**

Transfer to Inactive Storage **Transfer to a Federal Records Center three years after cutoff**

Retention Period **Destroy 15 year(s) after cutoff**

**Additional Information**

GAO Approval **Not Required**

3 **National Infrastructure Protection Plan (NIPP) Records**  
Documents related to the protection of critical national public health infrastructure, including but not limited to records documenting opinions, analysis, comments, justifications, and background materials

3 1 **National Infrastructure Protection Plan (NIPPs) Records**

Disposition Authority Number **DAA-0468-2012-0005-0004**

Documents related to the protection of critical national public health infrastructure, including but not limited to records documenting opinions, analysis, comments, justifications, and background materials. These records contribute to the annual Critical Infrastructure and Key Resources (CIKR) Protection Report for the Healthcare and Public Health Sector and the NIPP Public Health and Health

**Sector Report** The NIPP and Sector Specific Plans (SSPs) are published by the Department of Homeland Security

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 the fiscal year the report or plan is closed**

Retention Period **Destroy 3 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
10/17/2011	Certify	Elaine Pankey	Records Officer	Offices of the Secretary - OCIO
04/10/2012	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
05/03/2012	Submit For Certification	Karen Ballesteros	Records Specialist	Offices of the Secretary - OCIO
05/03/2012	Certify	Elaine Pankey	Records Officer	Offices of the Secretary - OCIO
06/11/2012	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
07/17/2012	Submit For Certification	Elaine Pankey	Records Officer	Offices of the Secretary - OCIO
07/17/2012	Certify	Elaine Pankey	Records Officer	Offices of the Secretary - OCIO
08/13/2012	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
08/29/2012	Submit For Certification	Elaine Pankey	Records Officer	Offices of the Secretary - OCIO
08/29/2012	Certify	Elaine Pankey	Records Officer	Offices of the Secretary - OCIO
09/20/2012	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
09/27/2012	Submit For Certification	Karen Ballesteros	Records Specialist	Offices of the Secretary - OCIO

09/27/2012	Certify	Elaine Pankey	Records Officer	Offices of the Secretary - OCIO
01/15/2013	Submit for Concurrency	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
01/16/2013	Concur	Laurence Brewer	Director, National R ecords Management Program	National Archives and Records Administration - National Records Management Program
01/16/2013	Concur	Laurence Brewer	Director, National R ecords Management Program	National Archives and Records Administration - National Records Management Program
01/17/2013	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist