

Request for Records Disposition Authority

Records Schedule Number	DAA-0468-2012-0006
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
Schedule Subject	National Disaster Medical System (NDMS) Records
Internal agency concurrences will be provided	Yes
Background Information	<p>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 manmade threats</p> <p>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</p> <p>ASPR component offices are organized by three core capabilities</p> <ol style="list-style-type: none">1 Planning for, developing, and acquiring medical countermeasures2 Emergency preparedness and response3 Support operations <p>This schedule addresses records pertaining to the "National Disaster Medical System activities" of "emergency preparedness and response"</p> <p>The records in this schedule pertain to both preparation for an incident i.e. training , and the response to an incident</p> <p>Federal Emergency Preparedness Agency (FEMA) Records Group 0311 may document NDMS activities when it was part of FEMA, prior to the transfer of NDMS to ASPR in January 2007</p> <p>The three major activities or functions of NDMS are</p> <ol style="list-style-type: none">1 medical response

- 2 transportation of patients
- 3 definitive medical care i e completion of recommended treatment, often requiring hospitalization or surgery

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0468-2012-0006

Sequence Number	
1	Definitive Medical Care Records
1 1	Definitive Medical Care Records Disposition Authority Number DAA-0468-2012-0006-0001
2	Records of the NDMS Definitive Medical Care Claims Review Board
2 1	Records of the NDMS Definitive Medical Care Claims Review Board Disposition Authority Number DAA-0468-2012-0006-0002
3	Definitive Care Disaster-Specific Reports
3 1	Definitive Care Disaster-Specific Reports that Engender Historical Interest Disposition Authority Number DAA-0468-2012-0006-0003
3 2	All other Definitive Care Disaster Specific Reports Disposition Authority Number DAA-0468-2012-0006-0004

Records Schedule Items

Sequence Number	
1	<p>Definitive Medical Care Records Records that document NDMS providing definitive medical care during a medical response to an incident. HHS will activate NDMS during certain public health emergencies. Past activations include the response to hurricanes Katrina, Rita, Ike and Gustav, as well as for the Haitian Earthquake response. In public health emergencies that require relocation of patients to hospitals and other facilities for Definitive Medical Care, the NDMS may authorize its Definitive Medical Care component as appropriate for the specific public health emergency. The patient transportation records relating to definitive medical care are scheduled under DAA-0468-2012-0005</p>
1 1	<p>Definitive Medical Care Records Disposition Authority Number: DAA-0468-2012-0006-0001</p> <p>Records that document NDMS providing definitive medical care during a medical response to an incident, including but not limited to definitive care authorizations, incident action plans, correspondence, provider claims, transaction records and task orders. These records may be used by ASPR's Office of Preparedness and Emergency Operations to conduct studies or evaluations on whether or not medical transfer objectives were met</p> <p>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</p> <p>Disposition Instruction: Cutoff Instruction: Cut off at the end of the fiscal year in which the patient was provided definitive care Retention Period: Destroy 6 year(s) and 3 month(s) after cutoff</p> <p>Additional Information: GAO Approval: Not Required</p>
2	<p>Records of the NDMS Definitive Medical Care Claims Review Board</p>

2 1

The NDMS Definitive Medical Care Claims Review Board meets ad hoc to resolve claims disputes resulting from the activation of definitive medical care. The NDMS Definitive Medical Care Claims Review Board is an internal review board comprised of NDMS and ASPR staff. This board consists of ASPR emergency physicians, the NDMS Deputy Director of Medical Surge, the Director of NDMS, the Chief Medical Officer of NDMS, the Definitive Care Coordinator, and compliance, payment and disability representatives. The decisions reached by the review board are published in minutes with instructions for the definitive medical care contractor on how to proceed with the appealed or disputed claims.

Records of the NDMS Definitive Medical Care Claims Review Board

Disposition Authority Number DAA-0468-2012-0006-0002

The NDMS Definitive Medical Care Claims Review Board is an internal review board comprised of NDMS and ASPR staff. The records include, but are not limited to, inquiries, information on the claims that require further review and meeting minutes.

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 decision was made

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

Retention Period Destroy 6 year(s) and 3 month(s) after cutoff

Additional Information

GAO Approval Not Required

3

Definitive Care Disaster-Specific Reports

Definitive care disaster-specific reports include information on the frequency of ICD-10 codes, numbers of claims received, billed charged, claims in process, and dollar amounts approved for payments and dollar amounts of denied claims, among other information. The statistics provided in this report, particularly on the

3 1

frequency of ICD-10 codes provide insight into the frequency of diseases or other related health problems for which definitive care is being provided

Definitive Care Disaster-Specific Reports that Engender Historical Interest

Disposition Authority Number **DAA-0468-2012-0006-0003**

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.

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**

Disposition Instruction

Cutoff Instruction **Cutoff at the end of the fiscal year in which the incident response is closed**

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

Transfer to the National Archives for Accessioning **Transfer paper records to the National Archives in four year blocks when the most recent records in the block 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**

3 2

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

All other Definitive Care Disaster Specific Reports

Disposition Authority Number **DAA-0468-2012-0006-0004**

**Records that document other disasters or events not described in item (0003)
Also includes drafts and background materials used to create the final reports as described in item (0003)**

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 a Federal Records Center three years after cutoff**

Retention Period **Destroy 6 year(s) and 3 month(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 Records Management Program	National Archives and Records Administration - National Records Management Program
01/16/2013	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
01/17/2013	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist