

Request for Records Disposition Authority

Records Schedule Number **DAA-0468-2013-0001**

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 **Continuity of Operation Plan (COOP) Records**

Internal agency concurrences will be provided **Yes**

Background Information **Within the Office of the Assistant Secretary for Preparedness and Response (ASPR), the Continuity Coordinator and the Continuity Program Manager are responsible for the development and implementation of the Department of Health and Human Service's continuity plan in the event of a Continuity of Operations (COOP) event. The purpose of the COOP plan is to ensure that primary mission essential functions continue to be performed during a wide range of emergencies, including localized acts of nature, accidents or attack-related emergencies**

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GAO Approval

Outline of Records Schedule Items for DAA-0468-2013-0001

Sequence Number	
1	Continuity of Operation Plan (COOP) Records
1 1	Continuity of Operation (COOP) Plans
1 1 1	HHS Continuity of Operation Plan (COOP) Guidance Records Disposition Authority Number DAA-0468-2013-0001-0001
1 1 2	HHS OPDIV and OS STAFFDIV COOP Plans Disposition Authority Number DAA-0468-2013-0001-0002
1 1 3	COOP Plan Supporting Documentation Disposition Authority Number DAA-0468-2013-0001-0003
1 2	COOP Workshops, Exercises and Briefings for Senior-Level Officials
1 2 1	COOP Workshops, Exercises and Briefings for Senior-Level Officials Files Disposition Authority Number DAA-0468-2013-0001-0004

Records Schedule Items

Sequence Number	
1	<p>Continuity of Operation Plan (COOP) Records The Continuity Coordinator and the Continuity Program Manager are responsible for the development and implementation of the Department of Health and Human Service's continuity plan in the event of a Continuity of Operations (COOP) event. The purpose of the COOP plan is to ensure that primary mission essential functions continue to be performed during a wide range of emergencies, including localized acts of nature, accidents or attack-related emergencies.</p>
1 1	<p>Continuity of Operation (COOP) Plans Records documenting continuity plans and guidance documents developed, prepared or received to determine the Department's critical functions, required resources, dependencies, alternatives, recovery particulars, devolution controls, communication issue and financial considerations in planning for a COOP event.</p>
1 1 1	<p>HHS Continuity of Operation Plan (COOP) Guidance Records Disposition Authority Number: DAA-0468-2013-0001-0001</p> <p>Continuity of Operations (COOP) guidance documents prepared and disseminated to HHS OPDIVs and HHS STAFFDIVs for the continued operation of HHS in times of emergency or disaster. Records include reports and instructions, implementation plans, vital records inventories, and devolution plans. Records are duplicated and dispersed to off-site storage, such as off-site servers, off-site locations or cloud storage environments and reviewed bi-annually.</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: Cutoff at the end of the fiscal year when records are superseded, obsolete or inactive Retention Period: Destroy 7 year(s) after cutoff Additional Information:</p>

1 1 2	<p>GAO Approval Not Required</p> <p>HHS OPDIV and OS STAFFDIV COOP Plans</p> <p>Disposition Authority Number DAA-0468-2013-0001-0002</p> <p>Records, including but not limited to COOP plans, implementation plans, vital records inventories, and devolution plans, developed by the HHS OPDIVs and OS STAFFDIVs to support the HHS continuity plan or framework. The OPDIVs and OS STAFFDIVs are the custodians of these records, which are duplicated and dispersed to off-site storage, such as off-site servers, off-site locations or cloud storage environments. COOP plans are reviewed and updated on a bi-annual basis.</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>Disposition Instruction</p> <p>Cutoff Instruction Cutoff at the end of the fiscal year when records are superseded, obsolete or inactive</p> <p>Retention Period Destroy 7 year(s) after cutoff</p> <p>Additional Information</p>
1 1 3	<p>GAO Approval Not Required</p> <p>COOP Plan Supporting Documentation</p> <p>Disposition Authority Number DAA-0468-2013-0001-0003</p> <p>Related background documents, such as correspondence, used in the development of HHS or HHS OPDIV or STAFFDIV COOP plans</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>

	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 when superseded or obsolete
	Retention Period	Destroy 3 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
1 2	COOP Workshops, Exercises and Briefings for Senior-Level Officials Records created for COOP workshops, training exercises, and briefings for senior-level officials	
1 2 1	COOP Workshops, Exercises and Briefings for Senior-Level Officials Files	
	Disposition Authority Number	DAA-0468-2013-0001-0004
	Records created for COOP workshops, training exercises, and briefings for senior-level officials. Records include background documents, instructions to members participating in exercises, such as Eagle Horizon, staffing assignments, presentations, presentation hand-outs, training documents, and executive summaries and final reports for required exercises. Senior-Level Officials include the Secretary, Deputy Secretary, Chief of Staff and the heads of each of the OPDIVs and OS STAFFDIVs. These briefings are prepared on an as requested basis.	
	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 workshop, exercise or briefing was held
	Retention Period	Destroy 7 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
11/20/2012	Certify	Elaine Pankey	Records Officer	Offices of the Secretary - OCIO
01/31/2013	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
02/22/2013	Submit For Certification	Karen Ballesteros	Records Specialist	Offices of the Secretary - OCIO
02/22/2013	Certify	Elaine Pankey	Records Officer	Offices of the Secretary - OCIO
06/04/2013	Submit for Concurrence	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
06/05/2013	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
06/06/2013	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
06/07/2013	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist