

Request for Records Disposition Authority

Records Schedule Number	DAA-0468-2019-0003
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
Minor Subdivision	Assistant Secretary for Preparedness and Response
Schedule Subject	ASPR Technical Resources, Assistance Center, and Information Exchange System (ASPR TRACIE)
Internal agency concurrences will be provided	No
Background Information	<p>The U.S. Department of Health and Human Services (HHS) Office of the Assistant Secretary for Preparedness and Response (ASPR) sponsors the ASPR Technical Resources, Assistance Center, and Information Exchange (ASPR TRACIE). ASPR TRACIE was created to meet the information and technical assistance needs of regional ASPR staff, state and local healthcare preparedness grantees, healthcare coalitions, healthcare entities, healthcare providers, and others working in disaster medicine and healthcare system preparedness. ASPR TRACIE, is a special project within response and recovery but supports technical assistance needs for all of ASPR, other STAFF and Operating Divisions of HHS, the interagency, and external stakeholders.</p> <p>Formally launched in September 2015, the vision of ASPR TRACIE is to serve as a national knowledge center for healthcare preparedness. ASPR TRACIE aims to ensure that all stakeholders – at the federal, state, local, tribal, territory, non-profit and for-profit levels – have access to information and resources to improve medical and health system preparedness, response, recovery, and mitigation efforts.</p> <p>The goal of ASPR TRACIE is to better support flexible, coordinated, and consolidated responses to medical, healthcare, and public health incidents, thereby improving community resilience to all hazard disasters. ASPR TRACIE achieves this goal by supporting knowledge transfer and collaborations between state and local medical and public health authorities, Presidential initiatives, federal agencies, healthcare coalitions, NGOs, colleges/universities, and experts in the</p>

field to facilitate the sharing of information, best/promising practices, and emerging issues.

The ASPR TRACIE Team maintains a web-based library of materials on various public health, healthcare, disaster medicine, and medical emergency preparedness topics that serve the needs of federal preparedness grantees, healthcare coalitions, public health professionals, medical and healthcare professionals, and the general public. The Resource Library includes links to various materials such as evidence-based articles, fact sheets, reports, technical briefs, white papers, toolkits, webinars, plans, guidelines, best and promising practices, lessons learned, and templates.

The Resource Library is populated from two primary inputs: 1) existing databases (e.g., the NLM, Disaster Lit®), and 2) materials located, reviewed, received, and vetted by the ASPR TRACIE Team that are not already included on Disaster Lit® (i.e., “ASPR TRACIE Resources”).

The ASPR TRACIE Library hosts three types of materials:

- 1) unsolicited materials submitted by ASPR TRACIE users through email or via the IE
- 2) materials solicited through outreach and rollout campaigns; and
- 3) materials identified by the ASPR TRACIE Team or created through ASPR TRACIE.

For each resource determined appropriate for inclusion in the ASPR TRACIE Resource Library, the ASPR TRACIE Team creates a unique database record. If the resource is not already available online, the ASPR TRACIE Team requests permission from the author to make it accessible and compliant with Section 508 of the Rehabilitation Act before creating a record and housing the resource within the ASPR TRACIE Resources database and made publicly available on the ASPR TRACIE webpage.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	2	2	0

GAO Approval

Outline of Records Schedule Items for DAA-0468-2019-0003

Sequence Number	
1	ASPR TRACIE Existing Resources Disposition Authority Number: DAA-0468-2019-0003-0001
2	ASPR TRACIE Developed Resources
2.1	ASPR TRACIE Program Resources Disposition Authority Number: DAA-0468-2019-0003-0002
2.2	ASPR TRACIE Recorded Video and Audio Resources Disposition Authority Number: DAA-0468-2019-0003-0003
2.3	ASPR TRACIE Routine Resources Disposition Authority Number: DAA-0468-2019-0003-0004

Records Schedule Items

Sequence Number	
1	<p>ASPR TRACIE Existing Resources</p> <p>Disposition Authority Number DAA-0468-2019-0003-0001</p> <p>These records are published in other databases and sources as well as other materials and publications approved by ASPR TRACIE subject matter experts. These records are not created by ASPR TRACIE, they are created from other agencies, organizations, etc. hosted in the ASPR TRACIE system and are not otherwise scheduled as they cover a range of topics (e.g. access and functional needs, cybersecurity, mass casualty, pediatrics, etc.) and reach a broad audience (e.g. ASPR staff, state and local healthcare preparedness grantees, healthcare coalitions, healthcare entities, healthcare providers and others working in disaster medicine and healthcare system preparedness).</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? Yes</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff at the end of the fiscal year in which the request was created or received.</p> <p>Retention Period Destroy 7 year(s) after cutoff but longer retention is authorized if required for business use.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>ASPR TRACIE Developed Resources</p> <p>The records created by the ASPR TRACIE team include, but are not limited to: Technical Assistance products, factsheets, webinars, podcasts, trainings, and tip sheets. These publications are authored by the ASPR TRACIE team through subject matter experts, research, and working groups. The records are stored and maintained in the ASPR TRACIE system and are not otherwise scheduled as they cover a range of topics (e.g. access and functional needs, cybersecurity, mass casualty, pediatrics, etc.) and reach a broad audience (e.g. ASPR staff, state and</p>

local healthcare preparedness grantees, healthcare coalitions, healthcare entities, healthcare providers and others working in disaster medicine and healthcare system preparedness). The ASPR TRACIE Standard Operating Procedures includes the Records Management Requirements section. It notes that the ASPR TRACIE Section Chief, with input from the ASPR TRACIE Team, will determine the records that should fall under temporary and permanent disposition categories as well as the ASPR TRACIE file plan. ASPR TRACIE Developed Resources can be found on this site <https://asprtracie.hhs.gov/tracie-resources>.

2.1

ASPR TRACIE Program Resources

Disposition Authority Number **DAA-0468-2019-0003-0002**

Records include those that are the result of substantial effort and subject matter expert review, wide spread publications that draw significant interest, and/or that are developed in direct support of a declared emergency. Records include, but are not limited to: 1) Behind the Response: Experiences from the Field 2) Resources at Your Fingertips 3) The Exchange 4) The Express 5) Tip Sheets and Fact Sheets 6) Tools and Templates 7) Technical Assistance responses generated and posted in direct support of a declared emergency.

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? **Yes**

Disposition Instruction

Cutoff Instruction **Cutoff at the end of the fiscal year in which the request was created or received.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after cutoff.**

Additional Information

First year of records accumulation **2015**

What will be the date span of the initial transfer of records to the National Archives? **From 2015 To 2016**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	16.5 GB	5 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

2.2

ASPR TRACIE Recorded Video and Audio Resources

Disposition Authority Number **DAA-0468-2019-0003-0003**

Records include recorded webinars, podcasts, and videos involving Subject Matter Experts discussing a wide range of topics related to emergency preparedness.

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 request was created or received.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 5 year(s) after cutoff.**

Additional Information

First year of records accumulation **2015**

What will be the date span of the initial transfer of records to the National Archives? **From 2015 To 2016**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	6 GB	2 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

2.3

ASPR TRACIE Routine Resources

Disposition Authority Number **DAA-0468-2019-0003-0004**

Records that are created by ASPR TRACIE not captured under Item 0002 or Item 0003. Records include, but are not limited to, technical assistance responses that are not in direct support of a declared emergency, website tutorials and topic collections.

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? **Yes**

Disposition Instruction

Cutoff Instruction **Cutoff at the end of the fiscal year in which the request was created or received.**

Retention Period **Destroy 7 year(s) after cutoff but longer retention is authorized if required for business use.**

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
09/09/2019	Certify	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
11/07/2019	Return for Revision	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
03/19/2020	Submit For Certification	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
03/19/2020	Certify	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
07/02/2020	Return for Revision	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
07/09/2020	Submit For Certification	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
07/09/2020	Certify	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
07/29/2020	Return for Revision	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
08/28/2020	Submit For Certification	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
08/28/2020	Certify	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary

09/16/2020	Return for Revision	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
09/17/2020	Submit For Certification	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
09/17/2020	Certify	Karen Ballesteros	Management Analyst	Department of Health and Human Services - Office of Secretary
03/26/2021	Submit for Concurrence	Richard Green	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
04/06/2021	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
04/06/2021	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
04/06/2021	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist