

Request for Records Disposition Authority

Records Schedule Number **DAA-0057-2019-0001**
Schedule Status **Approved**

Agency or Establishment **U.S. Geological Survey**
Record Group / Scheduling Group **Records of the U.S. Geological Survey**
Records Schedule applies to **Agency-wide**
Schedule Subject **Select Agent Records Schedules**
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.**

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
13	0	13	0

GAO Approval

Outline of Records Schedule Items for DAA-0057-2019-0001

Sequence Number	
1	1601.01 Select Agency Program Management Disposition Authority Number: DAA-0057-2019-0001-0001
2	1601.2A Testing, Drills, and Exercises Commissioning document demonstrating testing of equipment Disposition Authority Number: DAA-0057-2019-0001-0002
3	1601.2B Testing, Drills, and Exercises-All Other Testing or evaluating Files Disposition Authority Number: DAA-0057-2019-0001-0003
4	1601.3 Select Agent Required Plans and Standard Operating Plans Disposition Authority Number: DAA-0057-2019-0001-0004
5	1601.4 Select Agent Incidents Disposition Authority Number: DAA-0057-2019-0001-0005
6	1601.5 Select Agent Facility and Security Disposition Authority Number: DAA-0057-2019-0001-0006
7	1601.6 Select Agent Personnel and Training Records Disposition Authority Number: DAA-0057-2019-0001-0007
8	1601.7A Select Agent Lab Records Training Records Disposition Authority Number: DAA-0057-2019-0001-0008
9	1601.7B Select Agent Laboratory tracking, inventory, quarantine, orientation and other laboratory management related records Disposition Authority Number: DAA-0057-2019-0001-0009
10	1601.8A Select Agent Internal Audits and Inspections Disposition Authority Number: DAA-0057-2019-0001-0010
11	1601.8 External Audits and Inspections Disposition Authority Number: DAA-0057-2019-0001-0011
12	1601.9 Select Agent Identification and Transfer Disposition Authority Number: DAA-0057-2019-0001-0012
13	1601.10 Institutional Biosafety Committee Records Disposition Authority Number: DAA-0057-2019-0001-0013

Records Schedule Items

Sequence Number	
1	<p>1601.01 Select Agency Program Management</p> <p>Disposition Authority Number DAA-0057-2019-0001-0001</p> <p>Select Agent Program Management includes the documents for being in the Select Agent program including application and compliance information submitted for inclusion into the Federal Select Agent Program. This is captured in Form 1 (registration with CDC) and is updated in real time.</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 upon exiting the Federal Select Agent program and destroy 5 years after exiting the Select Agent program.</p> <p>Retention Period Destroy 5 year(s) after Exiting the Federal Select Agent Program</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>1601.2A Testing, Drills, and Exercises Commissioning document demonstrating testing of equipment</p> <p>Disposition Authority Number DAA-0057-2019-0001-0002</p> <p>These include records evaluating the effectiveness of meeting the legal requirements for the program and the results of these tests such as directional airflow testing, power failure testing, biological safety cabinet and HEPA filter certifications, waste water treatment system validation, fire alarm testing, and roof fan preventative maintenance. This also includes commissioning documents, which are a more thorough testing of equipment that must be kept for the life of the</p>

equipment. Testing, Drills, and Exercises Commissioning document demonstrating testing of equipment

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 files when equipment is excessed or transferred

Retention Period Destroy 3 year(s) after equipment is excessed or transferred

Additional Information

GAO Approval Not Required

1601.2B Testing, Drills, and Exercises-All Other Testing or evaluating Files

Disposition Authority Number DAA-0057-2019-0001-0003

These include records evaluating the effectiveness of meeting the legal requirements for the program and the results of these tests such as directional airflow testing, power failure testing, biological safety cabinet and HEPA filter certifications, waste water treatment system validation, fire alarm testing, and roof fan preventative maintenance. This also includes commissioning documents, which are a more thorough testing of equipment that must be kept for the life of the equipment. Excludes commissioning documents demonstrating testing of equipment, but consist of all other testing or evaluating files.

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

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4	Disposition Instruction	
	Cutoff Instruction	Cutoff these records at the end of the fiscal year
	Retention Period	Destroy 3 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	1601.3 Select Agent Required Plans and Standard Operating Plans	
	Disposition Authority Number	DAA-0057-2019-0001-0004
	These include records for compliance into the Select Agent program to include biosafety plans, security plans, incident response plans, select agent SOPs and instructional memoranda, file plans, and other program documentation.	
	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	
5	Disposition Instruction	
	Retention Period	Destroy when superseded or obsolete or 3 years after exiting the Federal Select Agent Program.
	Additional Information	
	GAO Approval	Not Required
	1601.4 Select Agent Incidents	
	Disposition Authority Number	DAA-0057-2019-0001-0005
	These include records documenting any allegations, security alarms, power failure, mechanical failure, inappropriate access, storage of select agents or toxins in unregistered space, and potential exposures. If the incident is a theft, loss or release as defined by the select agent program, a Form 3 is submitted to CDC. These records might contain Personally identifiable information (PII).	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes

6	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 these records at the end of the fiscal year
	Retention Period	Destroy 3 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	1601.5 Select Agent Facility and Security	
	Disposition Authority Number	DAA-0057-2019-0001-0006
	These include all records documenting security facility related records such as floor plans, security access reviews, and security access logs [sensitivities]	
	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 these records at the end of the fiscal year	
Retention Period	Destroy 3 year(s) after cutoff	
Additional Information		
GAO Approval	Not Required	
7	1601.6 Select Agent Personnel and Training Records	
	Disposition Authority Number	DAA-0057-2019-0001-0007
	These include all training requirements for being in the program: initial training, insider threat training, and refresher training requirements as well as Bioterrorism	

Security Risk Assessment Form FD-961 forms for security risk assessment clearance for the select agent program.

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 these records at the end of the fiscal year

Retention Period Destroy 7 year(s) after cutoff

Additional Information

GAO Approval Not Required

1601.7A Select Agent Lab Records Training Records

Disposition Authority Number DAA-0057-2019-0001-0008

These include records related to the Select Agent laboratory training records

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 these records at the end of the fiscal year

Retention Period Destroy 7 year(s) after cutoff

Additional Information

GAO Approval Not Required

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1601.7B Select Agent Laboratory tracking, inventory, quarantine, orientation and other laboratory management related records

Disposition Authority Number **DAA-0057-2019-0001-0009**

– These include records related to the laboratory inventory, animal tracking records, quarantine, orientation, and lab specific SOPs,

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 these records at the end of the fiscal year**

Retention Period **Destroy 3 year(s) after cutoff**

Additional Information

GAO Approval **Not Required**

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1601.8A Select Agent Internal Audits and Inspections

Disposition Authority Number **DAA-0057-2019-0001-0010**

These include annual internal inspections performed by USGS of Select Agent registered spaces.

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 completion of the inspection**

11	Retention Period	Destroy 3 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	1601.8 External Audits and Inspections	
	Disposition Authority Number	DAA-0057-2019-0001-0011
	The select agent program is inspected by CDC/APHIS every 3 years to renew our registration. CDC/APHIS also routinely performs surprise inspections.	
	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 these records at the completion of the audit or inspection	
Retention Period	Destroy 9 year(s) after cutoff	
Additional Information		
GAO Approval	Not Required	
12	1601.9 Select Agent Identification and Transfer	
	Disposition Authority Number	DAA-0057-2019-0001-0012
	These records consist of forms and internal tracking submitted to the Animal, Plant and Health Inspection Service (APHIS) and the Centers for Disease and internal tracking. When a select agent is identified during diagnostic testing, a Form 4, Reporting the Identification of a Select Agent or Toxin from a Clinical/Diagnostic Specimen is submitted to Animal Plant and Health Inspection Service (APHIS) and Centers for Disease Control (CDC). When we want to transfer a select agent to another entity or receive a select agent from another entity, a Request to Transfer Select Agents and Toxins Form 2 is submitted for approval of the transfer. Internal transfers of a select agent to a registered Primary Investigator are documented via an internal tracking form.	
	Final Disposition	Temporary
	Item Status	Active

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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

Retention Period Destroy 9 year(s) after cutoff

Additional Information

GAO Approval Not Required

1601.10 Institutional Biosafety Committee Records

Disposition Authority Number DAA-0057-2019-0001-0013

These records document work with biological agents and toxins. These records include committee reviews and responses to biosafety protocol submissions.

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 these records at the end of the fiscal year

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
12/13/2018	Certify	Christina Bartlett	Records Officer	Directors Office - Office of Enterprise Information
07/30/2020	Submit for Concur rence	Jessica Blessman	Appraisal Archivist	National Archives and Records Administration - ACRA
08/06/2020	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Services
08/11/2020	Concur	Laurence Brewer	Chief Records Office r	National Records and Archives Administration - National Records and Archives Administration
08/11/2020	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist