

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0611-2023-0016

Status: APPROVED
Date Approved: 06/12/2024

General Information

| | |
|---------------------------------|---|
| Agency or Establishment | Administration for Strategic Preparedness and Response |
| Record/Scheduling Group | 0611 - Records of the Administration for Strategic Preparedness and Response |
| Records Schedule Applies To | Agency-wide |
| Schedule Subject | Continuity of Operation Plan (COOP) Records |
| Additional Schedule Information | <p>On May 4, 2007, the President signed National Security Presidential Directive (NSPD)-51/Homeland Security Presidential Directive (HSPD)-20, National Continuity Policy, to establish a comprehensive national policy for the continuity of Federal Government structures and operations, a single National Continuity Coordinator responsible for coordinating the development and implementation of Federal continuity policies, and the National Essential Functions. In conjunction with NSPD-51/HSPD-20, the White House published the National Continuity Policy Implementation Plan (NCPIP), which provided greater detail on how Departments/Agencies were to accomplish the requirements of the policy.</p> <p>In 2008, as directed in the policy, FEMA published FCD-1 to establish continuity planning requirements for Departments/Agencies. Federal Continuity Directive (FCD)-1 was most recently updated in 2017.</p> <p>On July 15, 2016, the President signed PPD-40, National Continuity Policy, which replaced NSPD-51/HSPD-20 and the NCPIP, addressing lessons learned, best practices, and the integration of new technologies and processes since 2007. Some relevant material in the NCPIP was added to PPD-40 and certain portions were adopted in this FCD.</p> <p>Proper implementation of Presidential Policy Directive (PPD)-40 will ensure that essential functions are sustained in an all-hazards environment. The complexity of this environment increases the need for comprehensive continuity programs that emphasize agility and flexibility to sustain essential functions across a broad spectrum of conditions.</p> |

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Organizations must fully integrate continuity planning and procedures into all aspects of daily operations to create a “culture of continuity”. Only with a coordinated approach to continuity can organizations effectively respond to and recover from catastrophic emergencies.

This new FCD-1 establishes minimum continuity standards for Departments/Agencies to incorporate into their daily operations to ensure seamless and immediate continuation of essential functions. All Federal Executive Branch Departments/Agencies, regardless of their size or location, shall have a viable continuity capability, based on the requirements and principles outlined herein, to ensure resiliency and continued performance of their organizations’ essential functions under all conditions.

Within the FCD-1, the Continuity Manager is responsible for many operational functions, including the identification and performance of Mission Essential Functions (MEF). The Continuity Manager for the Department of Health and Human Services (HHS) reports within the Administration for Strategic Preparedness and Response (ASPR) as the ASPR is the Continuity Coordinator for HHS.

Records created before June 29, 2022 are scheduled under DAA-0468-2013-0001

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| Is There a Classified Version of This Schedule? | No |
| Is consultation and coordination with Tribal Governments required? | No - the records covered by this schedule do not implicate Tribal interests |

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Item Count

Total number of disposition items: 1

Number of Temporary disposition items: 1

Number of Permanent disposition items: 0

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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Outline of Records Schedule Items for DAA-0611-2023-0016

| Item # | Title | Disposition |
|--------|---|-------------|
| 0001 | Department of Health and Human Services Continuity of Operations Plan (COOP). | Temporary |

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Records Schedule Items

| | | |
|-----------------------------|--|---|
| DAA-0611-2023-0016-0001 | | STATUS: Active |
| ITEM GENERAL INFORMATION | | |
| Item Title | | Department of Health and Human Services Continuity of Operations Plan (COOP). |
| Item Description | | <p>The purpose of the HHS Continuity of Operations Plan is to implement the requirements outlined in the HHS Continuity of Operations Program Policy. The plan is a guidance document to assist HHS Senior Leadership, Emergency Relocation Group (ERG) members, and all other employees in making effective decisions for their respective Operating or Staff Divisions in the face of any threat or incident. By understanding the concepts within this plan, HHS personnel will better understand the expectations and requirements for operating within a continuity environment.</p> <p>The concepts within this plan apply directly to all HHS Operating and Staff Division Heads, Continuity Managers, High Value Asset (HVA) Points of Contact (POCs), all respective continuity planners, and ERG members.</p> <p>The plan includes (but is not limited to) the following content: executive summary, scope, planning assumptions, objectives, organization and assignment of responsibilities, concept of operations, communications, budgeting and acquisitions, and annual review and certification.</p> <p>In accordance with 32 CFR Appendix A to Part 197 the HHS Continuity of Operations Plan is subject to FOIA exemptions (b)(2), (b)(3), and (b)(5), therefore the disclosure of information will be limited, to the extent possible, to those who need to know, and confidentiality must be maintained for the HHS Continuity of Operations Plan record.</p> |
| Is this item media neutral? | | Yes |
| Is this item a Big Bucket? | | No |
| MANUAL CITATION | | |
| Agency Code | | 0611 |
| Manual Title | | Department of Health and Human Services Continuity of Operations Plan (COOP). |

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| SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS | |
| Does this item supersede existing disposition authorities? | No |
| Is this item a deviation from the GRS? | No |
| DISPOSITION INSTRUCTION | |
| Final Disposition | Temporary |
| Cutoff Instructions | Cut off at end of Fiscal year after the tenure of the appointed Secretary for the Department of Health and Human Services. |
| Retention Period | Destroy 7 year(s) after cutoff |
| ADDITIONAL INFORMATION | |
| Legal citation related to record retention (if applicable) | https://www.ecfr.gov/current/title-32/subtitle-A/chapter-I/subchapter-M/part-197/appendix-Appendix%2 |
| Are any of the records covered by this item national security classified? | No |
| GAO Approval Required | No |

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Signatory Information

| Action | User | Date |
|---------|----------------|------------|
| Approve | Colleen Shogan | 06/12/2024 |