

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0611-2023-0002

Status: APPROVED
Date Approved: 06/22/2024

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	Official Files of ASPR High-Level Officials
Additional Schedule Information	<p>In 2022, the Administration for Strategic Preparedness and Response (ASPR) was elevated to an Operating Division within the U.S. Department of Health and Human Services (HHS). ASPR realigned functions reflect the changes mandated by the 21st Century Cures Act and the Pandemic and All-Hazards Preparedness and Advancing Innovation Act to address ever-increasing manmade and naturally occurring threats which degrade public health, access to healthcare, access to emergency medical services and national security. ASPR's organization includes but is not limited to:</p> <ul style="list-style-type: none">• The Administration for Strategic Preparedness and Response (IO/ASPR) is headed by the Assistant Secretary, who provides leadership and executive and strategic direction for the ASPR organization.• The Office of the Principal Deputy Assistant Secretary (OPDAS) is responsible for providing a well-integrated infrastructure that supports the Department's capabilities to prevent, prepare for, respond to, and recover from public health and medical threats and emergencies.• The Office of Administration provides the administrative support services necessary to maintain day-to-day operations of ASPR, including functions of human resources, United States Public Health Service (USPHS) liaison, acquisitions management to include policy and operational contracting, grants management, information technology, facilities and all financial planning and analysis.• The Office of Biomedical Advanced Research and Development Authority (BARDA), established in April 2007 in response to the Pandemic and All-Hazards Preparedness Act of 2006, serves preparedness and response roles to provide medical countermeasures (MCM) in order to mitigate the medical consequences of chemical, biological, radiological, and nuclear (CBRN) threats and agents and emerging infectious diseases, including pandemic influenza.

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- In 2022, the Secretary of HHS transitioned the DOD-HHS partnership that was formerly called Operation Warp Speed into ASPR as the HHS Coordination and Operations Response Element or H-CORE. Moving H-CORE fully into ASPR gives ASPR sole responsibility for the development, manufacture, and distribution of the nation's COVID-19 vaccines and therapeutics.
- The Office of Industrial Base Management and Supply Chain seeks to build permanent Industrial Base Expansion (IBx) capabilities, inclusive of global supply chain situational awareness, market capabilities, and rapid acquisition execution, to reinforce ASPR as the authority to coordinate the activities related to medical industrial base expansion and sustainment through the use of Defense Production Act and Emergency Support Function (ESF) 8 authorities.
- The Office of Preparedness is responsible for policy development, planning, analysis, requirements, and strategic planning. This Office also manages and operates the HHS Secretary's Operation Center (SOC), intelligence, security, information management and analysis, and is also responsible for the HHS Continuity of Operations (COOP) and the development of the ASPR COOP Plan.
- The Office of Response oversees activities required to coordinate public health and healthcare response systems and activities with relevant federal, state, tribal, territorial, local, and international communities under the National Response Framework and Emergency Support Annexes #8, #6 and #14; and the National Recovery Framework Recovery Support Function #3 Health and Social Services.
- The Strategic National Stockpile (SNS) is part of the federal medical response infrastructure and can supplement medical countermeasures needed by states, tribal nations, territories, and the largest metropolitan areas during public health emergencies.

This records schedule includes the records of the high-level officials including but not limited to those of the:

- Assistant Secretaries
- Principal Deputy Assistant Secretaries
- Deputy Assistant Secretaries
- Political Appointees
- Senior Executive Service
- Title 38 – Medical Officer (Physicians), Dentist, and Podiatrist

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- Title 42 – Experts, Scientist, and Biomedical Positions
- SBRBPAS - Senior Biomedical Research and Biomedical Product Assessment Service

Records created before June 29, 2022 are scheduled under
DAA-0468-2013-0009

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: 3

Number of Temporary disposition items: 2

Number of Permanent disposition items: 1

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-0611-2023-0002

Item #	Title	Disposition
0001	Official Files the for High-Level Officials : Official Files for the High-Level Officials	Permanent
0002	Official Files the for High-Level Officials : Routine Files for the High-Level Officials	Temporary
0003	Official Files the for High-Level Officials : Substantive Working Files	Temporary

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Records Schedule Items

Group Title	Official Files the for High-Level Officials
Group Description	<p>Official record copies of correspondence (including high-level officials not identified as Capstone officials), and associated substantive background materials (copies of incoming and outgoing memorandums, comments, final drafts and similar documents) of the high-level officials and any HHS official acting on behalf of any of the high-level positions.</p> <p>Please note: all correspondence of the ASPR and PDASPR fall under:</p> <ol style="list-style-type: none"> 1. Correspondence - DAA-0468-2019-0004 – Correspondence Management System for the Office of the Assistant Secretary for Preparedness and Response. 2. Electronic Messages – DAA-GRS-2022-0006-0001 – Email and other electronic messages of Capstone Officials.
DAA-0611-2023-0002-0001	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Official Files for the High-Level Officials
Item Description	Incoming and outgoing correspondence; final reports, studies, memoranda; and other documents related to final versions in ASPR that: (1) issue policy, prescribe procedures, or affect organizational structures; (2) provide executive direction or document major functions; (3) pertain to relations with the Immediate Office of the Secretary; (4) document the policies, programs, plans, and organizational structures established to fulfill the mission of ASPR; and (5) Pertain to litigation and formal legal opinions; (6) accepted invitations representing the agency’s policies and mission.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
MANUAL CITATION	
Agency Code	0611
Manual Title	Official Files
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	No

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Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Permanent
Cutoff Instructions	Cut off at end of Calendar year.
Are there multiple instructions for this item?	No
Transfer Instruction	Transfer to the National Archives 15 year(s) after cutoff
ADDITIONAL INFORMATION	
Current Records Format	Textual data:170 GB
Approximate first year of records covered by this authority	2022
End year of records covered by this authority	Still being created
Date span of the initial transfer	From: 06/22/2022 To: 12/31/2023
Frequency of transfer	1
Are any of the records covered by this item subject to a FOIA exemption?	No
DAA-0611-2023-0002-0002	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Routine Files for the High-Level Officials
Item Description	These records relate to administrative support activities, to include but is not limited to staffing and procedures not directly related to the essential primary purpose of ASPR, declined and cancelled invitations, training materials developed by ASPR, certificates of completion of training courses, and standard operating procedures that do not document the ASPR policies.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
MANUAL CITATION	
Agency Code	0611
Manual Title	Routine Files
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

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Cutoff Instructions	Cut off at end of Calendar year.
Retention Period	Destroy 5 year(s) after cutoff
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No
DAA-0611-2023-0002-0003	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Substantive Working Files
Item Description	Substantive drafts, notes, comments, electronic messages, and related working papers created during the drafting of the correspondence described in item 0001 and 0002 of this records schedule.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
MANUAL CITATION	
Agency Code	0611
Manual Title	Working Files
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 Calendar year when the file was created or received.
Retention Period	Destroy 3 year(s) after cutoff
ADDITIONAL INFORMATION	
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
Accept	Valerie Terray	09/25/2023
Approve	Colleen Shogan	06/22/2024