

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0611-2023-0015

Status: APPROVED
Date Approved: 08/06/2024

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	Emergency Preparedness Activities Records
Additional Schedule Information	The Office of the Administration for Strategic Preparedness and Response (ASPR) has major programs in the Office of Planning and Exercises that create emergency preparedness activities records.

The Planning Program

The National Planning Frameworks are part of the National Preparedness System, which consist of five Frameworks for each mission area. The National Response Framework includes the Emergency Support Functions (ESF) that describe federal coordinating structures that group resources and capabilities into functional areas most frequently needed in a national response. The Department of Health and Human Services (HHS) is the lead for ESF #8: Public Health and Medical Services and the Planning Program uses this framework as guidance to support ESF #8 activities.

The Planning Program leads, conducts, and collaborates to develop integrated, data-based deliberate, operational, and crisis action planning in coordination with HHS and federal interagency partners to prepare for and respond to medical health impacts of emergencies and disasters in support of ESF #8. The Planning Program leads strategic and operational planning for 21st Century Health Security Threats.

The Exercises, Evaluation, and After-Action Program

This program provides a formal mechanism for a coordinated, collaborative program with a primary focus to promote and validate preparedness and readiness throughout the Department; we promote through exercising the plan or process, we validate through evaluating the plan or process and using the corrective actions process we tie the two together by informing the currency in plans, processes and capabilities.

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The Exercises, Evaluation, and After-Action Program consists of three major branches:

- The After Actions component focuses on developing after action documentation and improvement plans, components within ASPR are expected to be familiar with the after-action documentation and provide the program with actionable corrective actions. The corrective action process, AARs, and Improvement Plans (IP) constitute the requirements to move the Department into being better prepared for the future.
- The Exercise Component provides the opportunity for ASPR to practice implementation of plans, organization of resources and employment of capabilities in a collaborative environment as well as participating in large scale national level exercises involving Federal, State, Local, Tribal and Territorial (SLTT), and private-sector partners, and
- The Evaluation component is tasked with providing ASPR a process with which to measure its effectiveness, efficiency and accomplishment of strategic priorities and operational goals. As required by statute, employs evaluative methods and insights to advance health care preparedness and response among health care coalitions.

Records created before June 29, 2022 are scheduled under DAA-0468-2012-0004.

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: 2

Number of Temporary disposition items: 2

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-0611-2023-0015

Item #	Title	Disposition
0001	Emergency Preparedness Activities Records	Temporary
0002	Exercises, Evaluation, and After-Action Records	Temporary

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Records Schedule Items

DAA-0611-2023-0015-0001		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Emergency Preparedness Activities Records	
Item Description	<p>The APSR Planning Program creates records that work towards modernizing and improving our disaster response plans by performing historical and contextual analysis to right-size operational response. The Planning Program uses a wide variety of medical, public health, population/demographics, human services, and response data to develop contingency and deliberate plans. These plans use science, evidence, and data analysis that describe the actions, considerations, and objectives for HHS, ASPR, and our key stakeholders across a wide range of public health and medical-related incident and event types.</p> <p>Emergency preparedness planning activities records include, but are not limited to, evidence-based data from the field, incident support plans, playbooks, public health and medical plans, briefings, standard operating procedures, concept of operations, assessments, plan templates, historical and contextual analysis, disaster science, development data products, all-hazards base plan and supporting annexes, incident-specific deliberate plans, interagency reviews, comment response matrix and adjudications, white papers, supporting documentation from the eMAP program, agendas, training documents, planning documentation, situational manuals, and the online all hazards tool resources. These records are inclusive of interactions and coordination with partners and stakeholders at the Federal, state, tribal, and territorial-level and also the private and non-profit sector.</p>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
MANUAL CITATION		
Agency Code	0611	
Manual Title	Emergency Preparedness Activities Records	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	No	
Is this item a deviation from the GRS?	No	

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DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Cut off at end of Fiscal year when the recovery response is closed.
Retention Period	Destroy 15 year(s) after cutoff
ADDITIONAL INFORMATION	
Legal citation related to record retention (if applicable)	FEMA: Planning Frameworks, Preparedness Goal, Preparedness System, and Response Framework
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0611-2023-0015-0002		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Exercises, Evaluation, and After-Action Records	
Item Description	<p>To ensure progress and timely completion of corrective actions, the CAP team routinely hosts meetings such as the ASPR Corrective Actions Working Group (CAP WG) that is comprised of key decision-makers across ASPR and the CAP Senior Leader Meetings consisting of ASPR Deputy Assistant Secretaries, Executive Office Deputy Assistant Secretaries, and Office Directors. The CAP Senior Leader Meeting meets as needed to provide status on corrective actions as they are resolved and to assess the overall IP tracking progress. The CAP WG functions as a peer review committee that ensures quality and accuracy of the corrective actions, prioritizes corrective action (CA) items that have the highest impact on response capability, elevates items that exceed the authority of the CAP WG to ASPR leadership, and oversees development and implementation of corrective actions in coordination with assigned Action Officers. The CAP WG convenes monthly and consists of specific offices to address their assigned observations, gather updates and collect completion requests.</p> <p>Exercise, evaluation, and after-action records typically include, draft and final after-action reports (AAR), draft and final quick look reports (QLR), ad hoc reports, and summaries of conclusions. These records are stored electronically and inform many programs within ASPR.</p>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	

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MANUAL CITATION	
Agency Code	0611
Manual Title	Exercises, Evaluation, and After-Action Records
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 when the recovery response is closed.
Retention Period	Destroy 8 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	Bethany Reiswig	04/08/2024
Approve	Colleen Shogan	08/06/2024