

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-311-04-5	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 4-30-2004	
1. FROM (Agency or establishment) Federal Emergency Management Agency		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION		In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Tammy Strickler	5. TELEPHONE NUMBER 202-646-2641	DATE 7/16/07	ARCHIVIST OF THE UNITED STATES Alberkaintz
6. 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 on the attached <u>1</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,			
<input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 4/27/04	SIGNATURE OF AGENCY REPRESENTATIVE <i>Theresa Anderson</i>		TITLE Chief, Records Management Branch Agency Records Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Change FEMA Manual 5400.2 to include a file category— defining all FEMA records related to the attacks made on the United States on 9/11/01 as PERMANENT records— <i>Robert S. Brock</i> Robert S. Brock General Counsel Office of General Counsel 4/27/04 (date)		

SA 7/27/07 copies sent to Agency, NWMD, NWME, NWML, NWCS, NR


7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE)
	<p>FEMA SERIES SPC - Special Collection (given a numbered and name unique to the event)</p> <p>FEMA records documenting natural and man-made disasters or other events that constitute a special collection for purposes of long-term, post-event review, lessons learned, and potential historical interest. These events are designated by the FEMA Records Officer, and may be differentiated by such factors as: 1) a Presidential declared disaster; 2) the declaration of an Incident of National Significance as defined by the National Response Plan; 3) executive, congressional or judicial orders issued to retain/freeze all records associated with the event.</p>		
1	<p>FEMA SERIES SPC-1- _____ - _____ (collection number - name)</p> <p>This includes all records categories associated with this event which have permanent dispositions in the FEMA records disposition manual. This disposition instruction is applicable to records, both paper and electronic, regardless of format or media, EXCEPT audio/visual media maintained by FEMA. (These items are maintained, for example, under AVL-3-1, AVL-3-2, AVL-4-1, AVL-8-2, AVL-16, AVL-17, AVL-18, AVL-27, and AVL-35-2).</p> <p>PERMANENT. Cut off when all activity has ceased for the particular operations area. Transfer to an FRC 1 year after cutoff. Transfer to NARA 20 years after cutoff.</p>		
2	<p>FEMA SERIES SPC-2- _____ - _____ (collection number - name)</p> <p>This includes all records categories associated with this event which have temporary dispositions in the FEMA records disposition manual.</p> <p>TEMPORARY. Cut off when all activity has ceased for the particular operations area. Transfer to an FRC 1 year after cutoff. Destroy 75 years after cutoff.</p>		
X	<p>FEMA SERIES SPC-3- _____ - _____ (collection number - name)</p> <p>This includes all records categories associated with this event which are UNSCHEDULED.</p> <p>UNSCHEDULED. Cut off when all activity has ceased for the particular operations area. Contact your local Records Liaison Officer or the Headquarters Records Office to begin a NARA-</p>		<p>This row does not contain a request for disposition authority. It is included as an FYI.</p>

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE)
	SF-115 process. Transfer to an FRC 1 year after cutoff.		
X 3	<p>FEMA SERIES SPC-4-_____ - _____ (collection number - name)</p> <p>All records associated with a domestic catastrophic event.</p> <p>A catastrophic event may be any natural or manmade incident, including terrorism, which results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions. A catastrophic event could result in sustained national impacts over a prolonged period of time; almost immediately exceeds resources normally available to State, local, tribal, and private-sector authorities in the impacted area; and significantly interrupts governmental operations and emergency services to such an extent that national security could be threatened.</p> <p>This category includes, but is not limited to, records relating to pre-response operations; the Presidential Declaration; Emergency Coordination (EC); Emergency Support (ES); Urban Search and Rescue response (US&R); Public Assistance (PA), including, but not limited to, project applications, original damage survey report, mission assignments, funding documents, project time extensions, applicant appeals, eligibility determinations, and documents on insurance requirement, policies, procedures; Individual Assistance (IA) records including, but not limited to, mission assignments, specific IA policies, and guidance/SOP(s) and correspondence with State and local officials; and Mitigation.</p> <p>This disposition instruction is applicable to records, both paper and electronic, regardless of format or media, EXCEPT audio/visual media maintained by FEMA. (These items are maintained, for example, under AVL-3-1, AVL-3-2, AVL-4-1, AVL-8-2, AVL-16, AVL-17, AVL-18, AVL-27, and AVL-35-2).</p> <p>This category covers, for example, records related to the events of September 11, 2001 and Hurricane Katrina.</p> <p>PERMANENT. Cut off when all activity has ceased for the particular operations area. Transfer to an FRC 1 year after cutoff. Transfer to NARA 20 years after cutoff.</p>		

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on below)</i>		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NARA) WASHINGTON, DC 20408		JOB NUMBER N1-311-04-5	
1. FROM (Agency or establishment) Department of Homeland Security		DATE RECEIVED originally 4/30/2004 updated 5/22/2007	
2. MAJOR SUBDIVISION Federal Emergency Management Agency		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION Agency-wide		In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved, except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4. NAME OF PERSON WITH WHOM TO CONFER Thomas Alston	5. TELEPHONE 202-646-2641	DATE	ARCHIVIST OF THE UNITED STATES

6. AGENCY CERTIFICATION
I hereby certify that I am authorized to act for this agency in the matters pertaining to the disposition of its records and that the records proposed for disposal attached _____ page(s) are not needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required; is attached; or has been requested.

DATE 5/14/07	SIGNATURE OF AGENCY REPRESENTATIVE 	TITLE Chief, Records Management & Privacy
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-attached to 5/22/07 email

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE)
	<p>FEMA SERIES SPC - Special Collection (given a numbered and name unique to the event)</p> <p>FEMA records documenting natural and man-made disasters or other events that constitute a special collection for purposes of long-term, post-event review, lessons learned, and potential historical interest. These events are designated by the FEMA Records Officer, and may be differentiated by such factors as: 1) a Presidential declared disaster; 2) the declaration of an Incident of National Significance as defined by the National Response Plan; 3) executive, congressional or judicial orders issued to retain/freeze all records associated with the event.</p>		
1	<p>FEMA SERIES SPC-1- _____ - _____ (collection number - name)</p> <p>This includes all records categories associated with this event which have permanent dispositions in the FEMA records disposition manual. This disposition instruction is applicable to records, both paper and electronic, regardless of format of media, EXCEPT audio/visual media maintained by FEMA. (These items are maintained under AVL-4-1, AVL-17, AVL-18, AVL-27, and AVL-35-2).</p> <p>PERMANENT. Cut off when all activity has ceased for the particular operations area. Transfer to an FRC 1 year after cutoff. Transfer to NARA 20 years after cutoff.</p>		
2	<p>FEMA SERIES SPC-2- _____ - _____ (collection number - name)</p> <p>This includes all records categories associated with this event which have temporary dispositions in the FEMA records disposition manual.</p> <p>TEMPORARY. Cut off when all activity has ceased for the particular operations area. Transfer to an FRC 1 year after cutoff. Destroy 75 years after cutoff.</p>		
3	<p>FEMA SERIES SPC-3- _____ - _____ (collection number - name)</p> <p>This includes all records categories associated with this event which are UNSCHEDULED.</p> <p>UNSCHEDULED. Cut off when all activity has ceased for the particular operations area. Contact your local Records Liaison Officer or the Headquarters Records Office to begin a NARA SF-115 process. Transfer to an FRC 1 year after cutoff.</p>		

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE)
4	<p>FEMA SERIES SPC-4-_____ - _____ (collection number - name)</p> <p>All records associated with a domestic catastrophic event.</p> <p>A catastrophic event may be any natural or manmade incident, including terrorism, which results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions. A catastrophic event could result in sustained national impacts over a prolonged period of time; almost immediately exceeds resources normally available to State, local, tribal, and private-sector authorities in the impacted area; and significantly interrupts governmental operations and emergency services to such an extent that national security could be threatened.</p> <p>This category includes, but is not limited to, records relating to pre-response operations; the Presidential Declaration; Emergency Coordination (EC); Emergency Support (ES); Urban Search and Rescue response (US&R); Public Assistance (PA), including, but not limited to, project applications, original damage survey report, mission assignments, funding documents, project time extensions, applicant appeals, eligibility determinations, and documents on insurance requirement, policies, procedures; Individual Assistance (IA) records including, but not limited to, mission assignments, specific IA policies, and guidance/SOP(s) and correspondence with State and local officials; and Mitigation.</p> <p>This disposition instruction is applicable to records, both paper and electronic, regardless of format or media, EXCEPT audio/visual media maintained by FEMA. (These items are maintained under AVL-4-1, AVL-17, AVL-18, AVL-27, and AVL-35-2).</p> <p>This category covers, for example, records related to the events of September 11, 2001 and Hurricane Katrina.</p> <p>PERMANENT. Cut off when all activity has ceased for the particular operations area. Transfer to an FRC 1 year after cutoff. Transfer to NARA 20 years after cutoff.</p>		

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REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on below)</i>		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NARA) WASHINGTON, DC 20408		JOB NUMBER N1-311-04-5	
1. FROM (Agency or establishment) Department of Homeland Security		DATE RECEIVED originally 4/30/2004 updated 2/21/2007	
2. MAJOR SUBDIVISION Federal Emergency Management Agency		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION Agency-wide		In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved, except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4. NAME OF PERSON WITH WHOM TO CONFER Thomas Alston	5. TELEPHONE 202-646-2641	DATE	ARCHIVIST OF THE UNITED STATES

6. AGENCY CERTIFICATION
I hereby certify that I am authorized to act for this agency in the matters pertaining to the disposition of its records and that the records proposed for disposal attached _____ page(s) are not needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required; is attached; or has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE Chief, Records Management & Privacy
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE)
	See attached.		
	*attached to 2/21/07 email to STUs		

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE)
	<p>FEMA SERIES SPC - Special Collection (given a numbered and named unique to the event)</p> <p>FEMA records documenting natural and man-made disasters or other events that constitute a special collection for purposes of long-term, post-event review, lessons learned, and potential historical interest. These events are designated by the FEMA Records Officer, and may be differentiated by such factors as: 1) a Presidential declared disaster; 2) the declaration of an Incident of National Significance as defined by the National Response Plan; 3) executive, congressional or judicial orders issued to retain/freeze all records associated with the event. This excludes administration records such as timekeeping for FEMA personnel and travel records of employees.</p>		
1	<p>FEMA SERIES SPC-1- _____ - _____ (collection number - name)</p> <p>This includes all records categories associated with this event which have permanent dispositions in the FEMA records disposition manual.</p> <p>PERMANENT. Cut off when all activity has ceased for the particular operations area. Transfer to an FRC 1 year after cutoff. Transfer to NARA 20 years after cutoff.</p>		
2	<p>FEMA SERIES SPC-2- _____ - _____ (collection number - name)</p> <p>This includes all records categories associated with this event which have temporary dispositions in the FEMA records disposition manual and documentation which may be unscheduled.</p> <p>TEMPORARY. Cut off when all activity has ceased for the particular operations area. Transfer to an FRC 1 year after cutoff. Destroy 75 years after cutoff.</p>		
3	<p>FEMA SERIES SPC-3- _____ - _____ (collection number - name)</p> <p>All records associated with a domestic catastrophic event.</p> <p>A catastrophic event may be any natural or manmade incident, including terrorism, which results in extraordinary levels of mass casualties, damage, or disruption severely</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE)
	<p>affecting the population, infrastructure, environment, economy, national morale, and/or government functions. A catastrophic event could result in sustained national impacts over a prolonged period of time; almost immediately exceeds resources normally available to State, local, tribal, and private-sector authorities in the impacted area; and significantly interrupts governmental operations and emergency services to such an extent that national security could be threatened.</p> <p>This category includes, but is not limited to, records relating to pre-response operations; the Presidential Declaration; Emergency Coordination (EC); Emergency Support (ES); Urban Search and Rescue response (US&R); Public Assistance (PA), including, but not limited to, project applications, original damage survey report, mission assignments, funding documents, project time extensions, applicant appeals, eligibility determinations, and documents on insurance requirement, policies, procedures; Individual Assistance (IA) records including, but not limited to, mission assignments, specific IA policies, and guidance/SOP(s) and correspondence with State and local officials; and Mitigation.</p> <p>This disposition instruction is applicable to records, both paper and electronic, regardless of format or media, EXCEPT photographs maintained by FEMA's digital library (these photographs are maintained under AVL-_____).</p> <p>This category covers, for example, records related to the events of September 11, 2001 and Hurricane Katrina.</p> <p>PERMANENT. Cut off when all activity has ceased for the particular operations area. Transfer to an FRC 1 year after cutoff. Transfer to NARA 20 years after cutoff.</p>		

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REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER NI-311-04-5	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 4-30-2004	
1. FROM (Agency or establishment) Federal Emergency Management Agency		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION		In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Tammy Strickler	5. TELEPHONE NUMBER 202-646-2641	DATE	ARCHIVIST OF THE UNITED STATES
6. 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 on the attached <u>1</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 4/27/04	SIGNATURE OF AGENCY REPRESENTATIVE <i>Tammy Strickler</i>		TITLE Chief, Records Management Branch Agency Records Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Change FEMA Manual 5400.2 to include a file category defining all FEMA records related to the attacks made on the United States on 9/11/01 as PERMANENT records <i>Initial Submission</i> <i>Robert S. Brock</i> Robert S. Brock General Counsel Office of General Counsel 4/27/04 (date)		

DAP-1-3

Files documenting the disaster response related to the attacks made on the United States on September 11, 2001, at the World Trade Center in New York City, New York, and at the Pentagon in Washington, DC, including the material related to the response operations at the airplane crash site in Pennsylvania. These records include but are not limited to items for immediate response with regards to National Disaster Medical System response; Urban Search and Rescue response; public assistance files to include project applications, original damage survey reports, mission assignments, funding documents, project time extensions, applicant appeals, eligibility determinations, documents on insurance requirements, floodplain management, hazard mitigation, policies and procedures, and related records; and individual assistance (IA) services to include such items as mission assignments and correspondence with State and local officials. IA programs also include, but are not limited to, the Disaster Unemployment Assistance Program, Crisis Counseling Assistance and Training Program, legal services for low-income disaster victims (through the Young Lawyers Division of the American Bar Association), provided during response to these attacks. This category does **not** include administrative files such as timekeeping for FEMA personnel or travel files of FEMA employees.

All records will be preserved in a format appropriate for transfer to the National Archives on the following schedule:

Hardcopy records: Cutoff when all activity has ceased program operations for the 9/11/01 response for a particular program area. Retire to the FRC 1 year after cutoff. Transfer to the National Archives 20 years after cutoff.

Word Processing records: Delete when recordkeeping copy has been produced.

E-Mail Records: Cutoff when all activity has ceased program operations for the 9/11/01 response for a particular program area. Transfer to the National Archives 1 year after cutoff in an approved format (request guidance from the Records Management Branch). Delete agency copy when no longer needed for reference purposes.

Photography records: Follow guidance listed in record category AVL-4.

Initial Submission