

# WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0563-2013-0007

## Request for Records Disposition Authority

Records Schedule Number      DAA-0563-2013-0007  
Schedule Status                Returned Without Action  
  
Agency or Establishment        Department of Homeland Security  
Record Group / Scheduling Group    General Records of the Department of Homeland Security  
Records Schedule applies to        Department-wide  
Schedule Subject                Training Materials  
Internal agency concurrences will be provided      No

Background Information                This schedule is to provide disposition instructions for training materials (course materials, student materials, reporting and examinations, and all related activities) for DHS, to include Headquarters and all Components (Herein called 'Department' or 'agency'). This schedule is to provide disposition instructions on course materials, student materials, reporting and examinations, and all related activities. This schedule does not include any training conducted by, or supersede any schedules providing disposition authority for the Federal Law Enforcement Training Center (FLETC). All dispositions are media neutral.

### Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 0                                 | 0                                     | 0                                     | 14                                    |

GAO Approval

# WITHDRAWN - RETURNED WITHOUT ACTION

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Request for Records Disposition Authority

Records Schedule: DAA-0563-2013-0007

## Outline of Records Schedule Items for DAA-0563-2013-0007

| Sequence Number |  |
|-----------------|--|
| 1               | <b>Student Information</b>   |
| 1.1             | Student Training Plans<br>Disposition Authority Number: DAA-0563-2013-0007-0001  |
| 1.2             | Certification or Qualification File<br>Disposition Authority Number: DAA-0563-2013-0007-0002                           |
| 2               | <b>Training Materials</b>  |
| 2.1             | <b>Mission Related Training</b>  |
| 2.1.1           | Record Copies<br>Disposition Authority Number: DAA-0563-2013-0007-0003   |
| 2.1.2           | Significant Training Materials<br>Disposition Authority Number: DAA-0563-2013-0007-0004                                |
| 2.2             | <b>Routine Training (Agency Sponsored)</b>   |
| 2.2.1           | Courseware<br>Disposition Authority Number: DAA-0563-2013-0007-0005  |
| 2.2.2           | Completed Student Exams<br>Disposition Authority Number: DAA-0563-2013-0007-0006                                       |
| 2.2.3           | Reference Materials and All other copies of specific courses.<br>Disposition Authority Number: DAA-0563-2013-0007-0007 |
| 3               | <b>General Course Administration</b>   |
| 3.1             | Course Instructor Information<br>Disposition Authority Number: DAA-0563-2013-0007-0008                                 |
| 3.2             | Course Schedules<br>Disposition Authority Number: DAA-0563-2013-0007-0009  |
| 3.3             | Awareness, Announcements, or other Publications<br>Disposition Authority Number: DAA-0563-2013-0007-0010               |
| 4               | <b>Reporting</b>   |
| 4.1             | Summary of Exercises, Courses, or Activities<br>Disposition Authority Number: DAA-0563-2013-0007-0011                  |
| 4.2             | Substantive reports<br>Disposition Authority Number: DAA-0563-2013-0007-0012   |
| 4.3             | Surveys and Evaluation Sheets<br>Disposition Authority Number: DAA-0563-2013-0007-0013                                 |
| 5               | <b>Training Development</b>  |
| 5.1             | Training Development Plan  |

WITHDRAWN - RETURNED WITHOUT ACTION

# WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
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Records Schedule: DAA-0563-2013-0007

Disposition Authority Number: DAA-0563-2013-0007-0014

# WITHDRAWN - RETURNED WITHOUT ACTION

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## Records Schedule Items

| Sequence Number |   |  |
|-----------------|---|--|
| 1               | <b>Student Information</b><br>Does not include information maintained in Official Personnel Folders (eOPF/OPF))   |  |
| 1.1             | <b>Student Training Plans</b><br>Disposition Authority Number <b>DAA-0563-2013-0007-0001</b><br><br>Individual employee training. Includes copies of individual training plans, course records, course registration requests, and authorizations or denials to attend training and Student Transcripts. |  |
|                 | Final Disposition   | <b>Temporary</b>   |
|                 | Item Status   | <b>Withdrawn</b>   |
|                 | Is this item media neutral?   | <b>Yes</b>   |
|                 | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and-word processing?   | <b>Yes</b>   |
|                 | Do any of the records covered by this item exist as structured electronic data?   | <b>Yes</b>   |
|                 | GRS or Superseded Authority Citation  | <b>N1-560-03-010 item 8<br/>           N1-560-03-010 item 9<br/>           N1-560-03-010 item 10<br/>           NC1-26-80-4 Item 338h<br/>           NC1-26-80-4 Item 338i</b> |
|                 | <b>Disposition Instruction</b>  |  |
|                 | Cutoff Instruction  | <b>Cut off at the end of the calendar year of the related exercise, request, or activity.</b>  |
|                 | Retention Period  | <b>Destroy 5 year(s) after cutoff, or termination of employment, whichever is sooner.</b>  |
|                 | <b>Additional Information</b>   |  |
|                 | GAO Approval  | <b>Not Required</b>  |
| 1.2             | <b>Certification or Qualification File</b>  |  |
|                 | Disposition Authority Number  | <b>DAA-0563-2013-0007-0002</b>   |
|                 | <b>Records documenting attendance or participation at DHS-sponsored training activities. Activities include, but are not limited to, training, seminars, attendance</b>   |  |

# WITHDRAWN - RETURNED WITHOUT ACTION

# WITHDRAWN - RETURNED WITHOUT ACTION

at conferences, office 'lunch-and-learns' and special project assignments. Includes Course Completion Certificates, Competency Scores/Measures, and Exam Scores, Record of Qualification.

Final Disposition Temporary

Item Status Withdrawn

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

GRS or Superseded Authority Citation N1-563-08-011 item 1  
N1-026-05-3 item b  
N1-311-99-1 Item 1c  
N1-560-04-17 Item 18d

## Disposition Instruction

Cutoff Instruction Cut off at the end of the calendar year in which the certification is received.

Retention Period Destroy 3 year(s) after cut off, after transfer of employee, or upon separation, whichever is later.

## Additional Information

GAO Approval Not Required

2 Training Materials

2.1 Mission Related Training

2.1.1 Record Copies

Disposition Authority Number DAA-0563-2013-0007-0003

Record copy of training materials used for training in functions or activities related to the goals of DHS and its programs. This type of training is mission oriented, and aligned with the overall strategic goals of the Department. Records include, but are not limited to, training course plans, instructional materials and other training aids.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in Yes

# WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0563-2013-0007

|       |  |  |
|-------|--|--|
|       | electronic format(s) other than e-mail and word processing?  |  |
|       | Do any of the records covered by this item exist as structured electronic data?  | Yes  |
|       | GRS or Superseded Authority Citation   | N1-563-08-011 item 2<br>NC1-26-76-2 item 406   |
|       | <b>Disposition Instruction</b>   |  |
|       | Cutoff Instruction   | Cut off at the end of the calendar year in which course or material is superseded.   |
|       | Retention Period   | Destroy 30 year(s) after cutoff.   |
|       | <b>Additional Information</b>  |  |
|       | GAO Approval   | Not Required   |
| 2.1.2 | <b>Significant Training Materials</b>  |  |
|       | Disposition Authority Number   | DAA-0563-2013-0007-0004  |
|       | Unique or significant training materials and course development specifically unique to an individual component or program office, and has substantive value for retention. These records could include master files of training programs, or specific training courses and their associated materials. |  |
|       | Final Disposition  | Permanent  |
|       | Item Status  | Withdrawn  |
|       | 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  |
|       | GRS or Superseded Authority Citation   | N1-560-03-010 item 5<br>N1-026-05-1 item b2a<br>NC1-087-78-01 Rule 4<br>NC1-087-78-01 Rule 5<br>NC1-087-78-01 Rule 6<br>N1-563-08-011 item 2 |
|       | <b>Disposition Instruction</b>   |  |
|       | Cutoff Instruction   | Cut off when changed significantly, when obsolete, or when no longer used.   |

# WITHDRAWN - RETURNED WITHOUT ACTION

# WITHDRAWN - RETURNED WITHOUT ACTION

Transfer to the National Archives for Accessioning      Transfer to the National Archives 15 year(s) after cutoff.

## Additional Information

What will be the date span of the initial transfer of records to the National Archives?      Unknown  
Unknown.

How frequently will your agency transfer these records to the National Archives?      Unknown  
Unknown.

2.2

## Routine Training (Agency Sponsored)

This type of training assists users to gain the necessary skills and abilities to either complete their assignments or duties, or to further career development.

2.2.1

## Courseware

Disposition Authority Number      DAA-0563-2013-0007-0005

Courseware – Instructor's copy of training materials, syllabi, textbooks, manuals, summary files, and other training aids used in the delivery of the course.

Final Disposition      Temporary

Item Status      Withdrawn

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

GRS or Superseded Authority Citation      NC1-26-76-2 Item 560  
NC1-26-80-4 Item 383j(1)  
NC1-26-80-4 Item 383b  
NC1-26-/80-4 Item 383a  
N1-560-03-010 item 6  
NC1-26-80-4 item 383d  
N1-311-99-001 1b

## Disposition Instruction

Cutoff Instruction      Cut off at the end of the calendar year in which course or material is superseded

Retention Period      Destroy 10 year(s) after cutoff.

# WITHDRAWN - RETURNED WITHOUT ACTION

|  |  |   |
|--|--|---|
| 2.2.2  | <b>Additional Information</b>  |   |
|  | GAO Approval   | Not Required  |
|  | <b>Completed Student Exams</b>   |   |
|  | Disposition Authority Number   | DAA-0563-2013-0007-0006                               |
|  | <b>Completed Student Exams - used to qualify a competency level of an individual. Includes individual student training test papers, records originally from field offices.</b> |   |
|  | Final Disposition  | Temporary   |
|  | Item Status  | Withdrawn   |
|  | 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   |
|  | <b>Disposition Instruction</b>   |   |
|  | Cutoff Instruction   | Cut off after the completion of the training program. |
|  | Retention Period   | Destroy 2 year(s) after cutoff.                       |
|  | 2.2.3  | <b>Additional Information</b>                         |
| GAO Approval   |  | Not Required  |
| <b>Reference Materials and All other copies of specific courses.</b>   |  |   |
| Disposition Authority Number   |  | DAA-0563-2013-0007-0007                               |
| <b>May include examination material – test answer sheets or other materials used in creating and grading student exam submissions; or student materials – extra copies of manuals, syllabi, textbooks, and other training aids</b> |  |   |
| Final Disposition  |  | Temporary   |
| Item Status  |  | Withdrawn   |
| 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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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0563-2013-0007

|     |   |  |
|-----|---|--|
|     | <b>Disposition Instruction</b>  |  |
|     | Cutoff Instruction  | Cut off when no longer current or needed.                                    |
|     | Retention Period  | Destroy when superseded or in 3 months, whichever is sooner.                 |
|     | <b>Additional Information</b>   |  |
|     | GAO Approval  | Not Required   |
| 3   | <b>General Course Administration</b>  |  |
|     | Records related to the availability of courses, schedule of courses, course awareness and promotion, and records relating to the course instructor. |  |
| 3.1 | <b>Course Instructor Information</b>  |  |
|     | Disposition Authority Number  | DAA-0563-2013-0007-0008  |
|     | Records, including refresher training, documenting competency of individuals qualified to instruct a course.  |  |
|     | Final Disposition   | Temporary  |
|     | Item Status   | Withdrawn  |
|     | 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  |
|     | GRS or Superseded Authority Citation  | N1-311-93-001 TNG-14   |
|     | <b>Disposition Instruction</b>  |  |
|     | Cutoff Instruction  | Cut off on decertification of instructor, or upon termination of employment. |
|     | Retention Period  | Destroy 1 year(s) after cutoff.  |
|     | <b>Additional Information</b>   |  |
|     | GAO Approval  | Not Required   |
| 3.2 | <b>Course Schedules</b>   |  |
|     | Disposition Authority Number  | DAA-0563-2013-0007-0009  |
|     | A schedule of training events, time slots for scheduled drills, exercises, all-hands training and departmental/division training developed.         |  |

# WITHDRAWN - RETURNED WITHOUT ACTION

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Request for Records Disposition Authority

Records Schedule: **DAA-0563-2013-0007**

|     |   |   |
|-----|---|---|
|     | Final Disposition   | Temporary   |
|     | Item Status   | Withdrawn   |
|     | 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   |
|     | GRS or Superseded Authority Citation  | N1-026-05-3 item a  |
|     | <b>Disposition Instruction</b>  |   |
|     | Cutoff Instruction  | Cut off at the end of the calendar year following the scheduled date.                 |
|     | Retention Period  | Destroy 1 year(s) after cutoff.   |
|     | <b>Additional Information</b>   |   |
|     | GAO Approval  | Not Required  |
| 3.3 | <b>Awareness, Announcements, or other Publications</b>  |   |
|     | Disposition Authority Number  | DAA-0563-2013-0007-0010   |
|     | <b>Publications and other materials developed to heighten awareness or promote attendance to training events.</b>         |   |
|     | Final Disposition   | Temporary   |
|     | Item Status   | Withdrawn   |
|     | 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   |
|     | GRS or Superseded Authority Citation  | N1-560-03-011 item 3a, 3b   |
|     | <b>Disposition Instruction</b>  |   |
|     | Cutoff Instruction  | Cut off when superseded or no longer needed.  |
|     | Retention Period  | Destroy when superseded or obsolete, or with related courseware, whichever is sooner. |

# WITHDRAWN - RETURNED WITHOUT ACTION

# WITHDRAWN - RETURNED WITHOUT ACTION

|                  |   |   |
|------------------|---|---|
| 4<br>4.1         | <b>Additional Information</b>   |   |
|                  | GAO Approval  | Not Required  |
|                  | <b>Reporting</b>  |   |
|                  | <b>Summary of Exercises, Courses, or Activities</b>   |   |
|                  | Disposition Authority Number  | DAA-0563-2013-0007-0011   |
|                  | Summaries or training activities, exercises or drills used for development.   |   |
|                  | Final Disposition   | Temporary   |
|                  | Item Status   | Withdrawn   |
|                  | 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   |
|                  | GRS or Superseded Authority Citation  | NC1-26-76-2 item 500<br>N1-026-05-3 item c<br>N1-560-03-010 item 2<br>NC1-26-80-4 Item 362a<br>NC1-26-76-2 item 498 |
|                  | <b>Disposition Instruction</b>  |   |
|                  | Cutoff Instruction  | Cut off at the end of the calendar year.  |
| Retention Period | Destroy 3 year(s) after cutoff.   |   |
| 4.2              | <b>Additional Information</b>   |   |
|                  | GAO Approval  | Not Required  |
|                  | <b>Substantive reports</b>  |   |
|                  | Disposition Authority Number  | DAA-0563-2013-0007-0012   |
|                  | When identified by senior executives, substantive reports, studies, progress reports, and reports of significant accomplishments. |   |
|                  | Final Disposition   | Temporary   |
|                  | Item Status   | Withdrawn   |
|                  | Is this item media neutral?   | Yes   |
|                  | Do any of the records covered by this item currently exist in   | Yes   |

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0563-2013-0007

4.3

electronic format(s) other than e-mail and word processing?

Do any of the records covered by this item exist as structured electronic data? **Yes**

GRS or Superseded Authority Citation **N1-560-03-010 item 3**

## Disposition Instruction

Cutoff Instruction **Cut off at end of calendar year**

Retention Period **Destroy 15 year(s) after cutoff.**

## Additional Information

GAO Approval **Not Required**

## Surveys and Evaluation Sheets

Disposition Authority Number **DAA-0563-2013-0007-0013**

The records are maintained by the training officer or unit responsible for providing training, and are submitted to the training officer/unit at the conclusion of a training exercise, course, or completed by the training officer as an evaluation of the effectiveness. Surveys and evaluation sheets are used to refine the training materials, or in support or reporting.

Final Disposition **Temporary**

Item Status **Withdrawn**

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**

GRS or Superseded Authority Citation **N1-026-05-3 item d**

## Disposition Instruction

Cutoff Instruction **Cut off after the completion of the training program or exercise.**

Retention Period **Destroy when no longer needed or when 2 years old, whichever is later.**

## Additional Information

# WITHDRAWN - RETURNED WITHOUT ACTION

# WITHDRAWN - RETURNED WITHOUT ACTION

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Request for Records Disposition Authority

Records Schedule: **DAA-0563-2013-0007**

|     |  |   |
|-----|--|---|
| 5   | GAO Approval   | Not Required  |
|     | Training Development   |   |
| 5.1 | Training Development Plan  |   |
|     | Disposition Authority Number   | DAA-0563-2013-0007-0014   |
|     | Correspondence, publications, plans, briefing materials and objectives relating to the establishment of training courses or exercises. Documentation on all courses developed, including general training plans, instructor guides, and documents relating to the identification of training requirements. |   |
|     | Final Disposition  | Temporary   |
|     | Item Status  | Withdrawn   |
|     | 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   |
|     | GRS or Superseded Authority Citation   | N1-560-04-017 item 15<br>N1-311-99-001 1a<br>NC1-26-76-2 item 559 |
|     | Disposition Instruction  |   |
|     | Retention Period   | Destroy when 5 years old.   |
|     | Additional Information   |   |
|     | GAO Approval   | Not Required  |

# WITHDRAWN - RETURNED WITHOUT ACTION

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Request for Records Disposition Authority

Records Schedule: **DAA-0563-2013-0007**

## 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  |
|------------|-----------------------|--------------|------------------------|---|
| 09/16/2013 | Certify               | Tammy Hudson | Acting Records Officer | CIO - ESDO  |
| 11/25/2015 | Return Without Action | Lloyd Beers  | Appraisal Archivist    | National Archives and Records Administration - ACNR Records Management Services |