

Request for Records Disposition Authority

Records Schedule Number DAA-0064-2011-0002
Schedule Status Modified Approved Version

Agency or Establishment National Archives and Records Administration
Record Group / Scheduling Group Records of the National Archives and Records Administration
Records Schedule applies to Major Subdivision
Major Subdivision Space and Security Management Division
Minor Subdivision Continuity and Emergency Planning
Schedule Subject Records of the Continuity and Emergency Planning Function
Internal agency concurrences will be provided No

Background Information The Continuity and Emergency Planning organization is responsible for the development and implementation of NARA's continuity plan in the event of a Continuity of Operations (COOP) event. The records covered in this schedule represent those created by the Continuity and Emergency Planning function.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
10	1	9	0

GAO Approval

Outline of Records Schedule Items for DAA-0064-2011-0002

Sequence Number	
1	Policy/Planning
1.1	Policy/directives Disposition Authority Number: DAA-0064-2011-0002-0001
1.2	Plans and supporting documentation Disposition Authority Number: DAA-0064-2011-0002-0003
2	Preparedness
2.1	Training
2.1.1	Individual Training Disposition Authority Number: DAA-0064-2011-0002-0004
2.1.2	Group training Disposition Authority Number: DAA-0064-2011-0002-0005
2.1.3	All other training documentation Disposition Authority Number: DAA-0064-2011-0002-0006
3	Evaluation/Reporting and Mitigation
3.1	All routine non-event evaluation activities including Test and Exercise results, Readiness Reports, Risk and Vulnerability Assessments, site evaluations and inspections. Disposition Authority Number: DAA-0064-2011-0002-0007
3.2	Corrective action plans and reports Disposition Authority Number: DAA-0064-2011-0002-0008
4	Response and Recovery
4.1	Incident and/or afteraction reports regarding a continuity or emergency event that results in the loss of life or significant damage to facilities or holdings Disposition Authority Number: DAA-0064-2011-0002-0009
4.2	Reports of all other incidents Disposition Authority Number: DAA-0064-2011-0002-0010
4.3	Supporting documentation for all incidents Disposition Authority Number: DAA-0064-2011-0002-0011

Records Schedule Items

Sequence Number	
1	<p>Policy/Planning Policy development and overall planning (includes COOP plan, pandemic plan, etc).</p>
1.1	<p>Policy/directives</p> <p>Disposition Authority Number DAA-0064-2011-0002-0001</p> <p>Records documenting the development of policy and directives for implementing COOP response</p> <p>Final Disposition Temporary</p> <p>Item Status Inactive</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>Inactive Status Explanation This item is inactive because it was superseded by New Disposition Authority Number: DAA-GRS-2016-0004-0001</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off when obsolete or canceled.</p> <p>Retention Period Destroy 3 year(s) after <i>cutoff</i></p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
1.2	<p>Plans and supporting documentation</p> <p>Disposition Authority Number DAA-0064-2011-0002-0003</p> <p>Emergency plans and documentation that explain or amplify them.</p> <p>Final Disposition Temporary</p> <p>Item Status Inactive</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p>

	Inactive Status Explanation	This item is inactive because it was superseded by New Disposition Authority Number: DAA-GRS-2016-0004-0001
	Disposition Instruction	
	Retention Period	Destroy when superceded.
	Additional Information	
	GAO Approval	Not Required
2	Preparedness	Providing all capabilities required to implement all response plans
2.1	Training	
2.1.1	Individual Training	
	Disposition Authority Number	DAA-0064-2011-0002-0004
	Evidence of of training training plus training materials maintained by employee name.	
	Final Disposition	Temporary
	Item Status	Active
	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?	No
	Disposition Instruction	
	Retention Period	Destroy when employee separates from agency.
	Additional Information	
	GAO Approval	Not Required
2.1.2	Group training	
	Disposition Authority Number	DAA-0064-2011-0002-0005
	Training materials plus evidence of training.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in	No

	electronic format(s) other than e-mail and word processing?	
	Disposition Instruction	
	Cutoff Instruction	Cut off at the completion of training.
	Retention Period	Destroy after one additional training cycle.
	Additional Information	
	GAO Approval	Not Required
2.1.3	All other training documentation	
	Disposition Authority Number	DAA-0064-2011-0002-0006
	All other documentation created by the training function not covered by other dispositions.	
	Final Disposition	Temporary
	Item Status	Active
	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?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off at conclusion of project.
	Retention Period	Destroy 5 year(s) after <i>cutoff</i> .
	Additional Information	
	GAO Approval	Not Required
3	Evaluation/Reporting and Mitigation	
	Actions that help reduce or eliminate risk to people and property from hazards and their effects	
3.1	All routine non-event evaluation activities including Test and Exercise results, Readiness Reports, Risk and Vulnerability Assessments, site evaluations and inspections.	
	Disposition Authority Number	DAA-0064-2011-0002-0007
	Records documenting the evaluation of the agency's emergency readiness and capabilities as well efforts to test them.	
	Final Disposition	Temporary
	Item Status	Inactive

3.2	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?	No
	Inactive Status Explanation	This item is inactive because it was superseded by New Disposition Authority Number: DAA-GRS-2016-0004-0001
	Disposition Instruction	
	Cutoff Instruction	Cut off at the conclusion of each activity.
	Retention Period	Destroy after 2nd evaluation cycle.
	Additional Information	
	GAO Approval	Not Required
	Corrective action plans and reports	
	Disposition Authority Number	DAA-0064-2011-0002-0008
	Plans developed as a result of program evaluation and testing indicating corrective actions to be taken and plans to do so as well as report on fulfillment of such plans.	
	Final Disposition	Temporary
	Item Status	Inactive
	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?	No	
Inactive Status Explanation	This item is inactive because it was superseded by New Disposition Authority Number: DAA-GRS-2016-0004-0001	
Disposition Instruction		
Cutoff Instruction	Cut off at completion or disposition of recommended action.	
Retention Period	Destroy 5 year(s) after <i>cutoff</i> .	
Additional Information		
GAO Approval	Not Required	
4	Response and Recovery	
	Actions taken to respond to actual emergencies or events	

4.1

Incident and/or afteraction reports regarding a continuity or emergency event that results in the loss of life or significant damage to facilities or holdings

Disposition Authority Number DAA-0064-2011-0002-0009

Reports created contemporaneously or following an emergency event documenting the nature of the event and how the agency responded.

Final Disposition Permanent

Item Status Active

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? No

Disposition Instruction

Transfer to the National Archives for Accessioning Transfer individual reports when event is completed.

Additional Information

First year of records accumulation 2010

What will be the date span of the initial transfer of records to the National Archives? Unknown
Records creation is contingent upon the occurrence of an event which has not yet or may not happen.

How frequently will your agency transfer these records to the National Archives? Unknown
Records creation is contingent upon the occurrence of an event which has not yet or may not happen.

4.2

Reports of all other incidents

Disposition Authority Number DAA-0064-2011-0002-0010

Reports of incidents that do not result in loss of life or significant damage to facilities or holdings.

Final Disposition Temporary

Item Status Active

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? No

Disposition Instruction

4.3

Cutoff Instruction	Cut off annually.
Retention Period	Destroy 3 year(s) after <i>cutoff.</i>
Additional Information	
GAO Approval	Not Required
Supporting documentation for all incidents	
Disposition Authority Number	DAA-0064-2011-0002-0011
Any documentation used in drafting incident or afteraction reports for all incidents.	
Final Disposition	Temporary
Item Status	Active
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?	No
Disposition Instruction	
Cutoff Instruction	Cut off after completion of event.
Retention Period	Destroy 3 year(s) after <i>cutoff.</i>
Additional Information	
GAO Approval	Not Required

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
03/09/2011	Certify	Richard Marcus	Records Officer	Office of Information Services - Records management Staff
06/20/2011	Submit for Concurrency	Erin Cayce	Appraiser	National Records Management Program - Records Management Services
06/20/2011	Concur	Laurence Brewer	for	National Records Management Program - Records Management Services
06/21/2011	Concur	Julie Reaves	for	National Archives and Records Administration - National Records Management Program
06/22/2011	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist