

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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	Policy/Planning Policy development and overall planning (includes COOP plan, pandemic plan, etc)
1 1	Policy/directives Disposition Authority Number DAA-0064-2011-0002-0001 Records documenting the development of policy and directives for implementing COOP response 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 when obsolete or canceled Retention Period Destroy 3 year(s) after <i>cutoff</i> Additional Information GAO Approval Not Required
1 2	Plans and supporting documentation Disposition Authority Number DAA-0064-2011-0002-0003 Emergency plans and documentation that explain or amplify them 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 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 electronic format(s) other than e-mail and word processing?	No
	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 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

3 2

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 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 completion or disposition of recommended action

Retention Period Destroy 5 year(s) after *cut off.*

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	
	Cutoff Instruction	Cut off annually
	Retention Period	Destroy 3 year(s) after <i>cut off</i> .
	Additional Information	
	GAO Approval	Not Required
4 3	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>cut off</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