

## 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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><b>Policy/Planning</b> Policy development and overall planning (includes COOP plan, pandemic plan, etc)</p>
1 1	<p><b>Policy/directives</b> 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</p>
1 2	<p><b>Plans and supporting documentation</b> 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</p>

	<b>Additional Information</b>	
	GAO Approval	Not Required
2	<b>Preparedness</b>	
	Providing all capabilities required to implement all response plans	
2 1	<b>Training</b>	
2 1 1	<b>Individual Training</b>	
	Disposition Authority Number	DAA-0064-2011-0002-0004
	<b>Evidence of of training training plus training materials maintained by employee name</b>	
	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
	<b>Disposition Instruction</b>	
	Retention Period	Destroy when employee separates from agency
	<b>Additional Information</b>	
	GAO Approval	Not Required
2 1 2	<b>Group training</b>	
	Disposition Authority Number	DAA-0064-2011-0002-0005
	<b>Training materials plus evidence of training</b>	
	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
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off at the completion of training
	Retention Period	Destroy after one additional training cycle

2 1 3	Additional Information	
	GAO Approval	Not Required
	<b>All other training documentation</b>	
	Disposition Authority Number	DAA-0064-2011-0002-0006
	<b>All other documentation created by the training function not covered by other dispositions</b>	
	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> .	
3	Additional Information	
	GAO Approval	Not Required
	<b>Evaluation/Reporting and Mitigation</b>	
3 1	<b>Actions that help reduce or eliminate risk to people and property from hazards and their effects</b>	
	<b>All routine non-event evaluation activities including Test and Exercise results, Readiness Reports, Risk and Vulnerability Assessments, site evaluations and inspections</b>	
	Disposition Authority Number	DAA-0064-2011-0002-0007
	<b>Records documenting the evaluation of the agency's emergency readiness and capabilities as well efforts to test them</b>	
	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 *cut off*.

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