INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-311-02-004

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Description:

This schedule is superseded by GRS 2.3 items 010 (DAA-GRS-2018-0002-0001) and 070 (DAA-GRS-2018-0002-0007), and GRS 5.1 item 020 (DAA-GRS-2016-0016-0002)

Date Reported: 08/07/2020

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)
Federal Emergency Management Agency

2. MAJOR SUBDIVISION
Office of General Counsel

3. MINOR SUBDIVISION
Alternative Dispute and Resolution Office

4. NAME OF PERSON WITH WHOM TO CONFER
Tammy Schartel

5. TELEPHONE
202-646-2641

LEAVE BLANK (NARA use only)
JOB NUMBER: 71-311-02-4
DATE RECEIVED: 9-12-2002

NOTIFICATION TO AGENCY

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE: 1-14-03
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 _5_ page(s) are not now 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,

[x] is not required; [ ] is attached; or [ ] has been requested.

DATE: 8/1/02
SIGNATURE OF AGENCY REPRESENTATIVE
TITLE: Muriel B. Anderson, 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 GRS OR SUPERSEDED JOB CITATION	10.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 the attached categories for case files for Alternative Dispute and Resolution case files.		

Robert S. Brock
General Counsel
Office of General Counsel

cc Agency DR NWMW

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-62	<u>Alternative Dispute Resolution (ADR)</u> files of issues brought to ADR, including names, telephone numbers; mail and e-mail addresses; designation of a representative; mediator appointed; correspondence or letters; schedules, acknowledgement of time requirements and issues related thereto; pre-conference agreements including confidentiality agreement and agreement to use ADR; documents prepared by the parties or the neutral party; minutes of ADR activity; final agreements; and an employee or disputant satisfaction survey.		
PER-62-1	Final agreements and arbitral amounts.	Destroy 3 years after closure or resolution of case.	
PER-62-2	Background and other records created during the ADR process.	Destroy 1 year after closure or resolution of the case.	
PER-62-3	ADR Case Information Database. The database is used to collect, retain, and evaluate ADR data for tracking and statistical purposes. The database is separated into tables: case information, claimant information, parties' information, cost comparison, type of ADR used, and type of case.	Delete 3 years after termination of the ADR program.	
PER-62-4	ADR Statistical Reports and Summaries.	Cutoff at end of fiscal year. Destroy 3 years after cutoff.	
PER-XX	Electronic copies created on electronic mail and word processing systems for all items listed under the PER schedule	Delete after recordkeeping copy has been produced.	

1. What is the name of the system (both acronym and full)?

ADR Case Information

2. What is the name of the program office responsible for this system?

Alternative Dispute Resolution Office, Office of General Counsel

3. Name other offices in your organization that use this system.

None

4. Who is the system administrator?

Mary Jo Behm, Program Assistant for ADR Office

5. What is the program/legal authority for the creation of the system?

Alternative Dispute Resolution Act

6. What is the purpose of the system?

To collect, retain, and evaluate data tracking and statistical reporting.

7. What are the source(s) of input for this system?

ADR Office staff and ADR participants.

8. What are the applications this system supports (how are the data manipulated once they have been input)?

Microsoft ACCESS queries and reports, as well as Microsoft Excel.

9. What are the outputs from this system?

ADR Reports as needed.

10. What is the primary key/unit of analysis for each file (one record is created for each . . .)?

One record is created for each party involved in ADR..

11. Supply the record layout and codes for the files in the system.

The database is separated into tables: case information, claimant information, parties' information, cost comparison, type of ADR used, and type of case. Individual information is not contained within these tables.

12.   What documentation is available for this system?

Statistics and reports will be prepared in response to inquiries. The system will be available in hard copies maintained by the ADR Specialist, and electronic copies will be maintained in the ADR computer.

13.   What are the inclusive dates for the file(s)?

Annual and running (cumulative files)

14. What are the inclusive dates for the subjects of these files?

Inclusive dates to be determined on each file-i.e., October 1, 2000 to the end of each subsequent fiscal year.

15.   Are the records in this system necessary to protect the rights or interests of the Government or individuals affected by the Government (vital records)? If yes, please explain and provide offsite storage plans to include where duplicated in electronic form.

No, this case information database does not contain vital records, only statistical extracts for reporting purposes.

16.   Are there any restrictions on the release to the public of the data?

No.

If yes, please cite the authority for those restrictions. If yes, can any segregable portions of the file be released or does the system produce a public use version of the data?

17.   Would data or outputs from this system be likely subjects of Freedom of Information Act Requests?

Yes

18.   Would portions of the data be lost or distorted upon conversion to flat file format (ASCII or EBCDIC)?

No – but the codes would then be generic as indicated in question 19.

19.   Are any codes used during input? If yes, please provide documentation to decipher the codes.

Coding of Case Information for Electronic Database

The ADR Office assigns an Identification Code (ID) to each Case Information Form followed by the "Party #." The identification code is composed of the Acronym of the Directorate or Department within FEMA, followed by the initials, in reverse order, of the individual initiating contact with the ADR Office. The initiating party is assigned the number 1 in the "Party #" space. . For example, RRR-SD-1. Other parties participating in the ADR case are assigned consecutive numbers in the Party #" space

20.   Please explain the update and backup process for this system.

Data is updated regularly and backed up in our network system and also on a diskette kept in the program office.

21.   What hardware is used for this system?

Standard office PCs.

22.   What software is used for this system?

Microsoft ACCESS Version 2000.

23.   Does the system have a privacy act listing?

No.

24.   Recommended disposition for electronic data.

Destroy or delete 3 years after termination of the ADR Program.

25.   Recommended disposition for outputs.

Destroy/delete when 3 years old.

26.   Recommended disposition for input data sources.

Delete or destroy when 1 year old.

27. Recommended disposition for system documentation.

Delete or destroy upon termination of ADR Program.

28. Provide a plan for migration of data when software is updated or changed.

The files will be transferred without corruption to a similar database or spreadsheet application as the agency baseline software standard dictates migration.