

Request for Records Disposition Authority

Records Schedule Number	DAA-0064-2016-0007
Schedule Status	Approved
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	Office of Human Capital (H)
Minor Subdivision	Strategy, Automation & Analysis Division (HS)
Schedule Subject	NARA Human Capital Assessment and Accountability Program Records
Internal agency concurrences will be provided	No
Background Information	<p>The NARA Human Capital Accountability program establishes the agency's policies, and process to ensure the agency's compliance with 5 CFR 250.203, and the submission to OPM annually an Agency Human Capital Accountability Report and maintenance of a current Strategic Human Capital Plan. The requirements in the regulation are by design congruent with the planning and reporting requirements contained in OMB Circular A-11 and title 31 U.S.C. The program is new and still being developed.</p> <p>The records created in this area are an iterative ongoing process of human capital management that involve planning and goal setting, implementation, and evaluating results in five areas:</p> <ul style="list-style-type: none">• Strategic Alignment (Planning and Goal Setting) - Promotes the alignment of human capital management strategies with agency mission, goals, and objectives through analysis, planning, investment, measurement, and management of human capital programs.• Leadership and Knowledge Management (Implementation) - Continuity of leadership by identifying and addressing potential gaps in effective leadership, implements and maintains programs that capture organizational knowledge and promote learning.• Results-Oriented Performance Culture (Implementation) - Promotes a diverse, high-performing workforce by implementing and maintaining effective performance management and awards programs.• Talent Management (Implementation) - Addresses competency gaps, particularly in mission critical occupations, by implementing and maintaining programs to attract, acquire, develop, promote, and retain quality talent.

- **Accountability (Evaluating Results)** - Contributes to agency performance by monitoring and evaluating the results of its human capital management policies, programs, and activities; by analyzing compliance with merit system principles; and by identifying and monitoring necessary improvements

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	0	2	0

GAO Approval

Outline of Records Schedule Items for DAA-0064-2016-0007

Sequence Number	
1	HCAAP Comprehensive Schedule
1.1	Schedule covering all program records created and or maintained in the performance of Human Capital Accountability mission, functions, and activities that contribute to final assessments, surveys, and reports. Disposition Authority Number: DAA-0064-2016-0007-0001
1.2	HCAAP Final annual assessments, surveys, and reports. Disposition Authority Number: DAA-0064-2016-0007-0002

Records Schedule Items

Sequence Number															
1	<p>HCAAP Comprehensive Schedule Records created/maintained in the performance of the Human Capital Accountability program's mission, functions, and activities that contribute to final assessments, surveys, and reports. Records maintained in various forms, as core HCA records, and include, but are not limited to planning/strategy documents, reviews, specific and broad based findings (both corrective and preventative), assessment materials, audits, request/response, feeder, ancillary and collateral surveys, and feeder reports. This schedule item will also cover all other mission-related records, which include but are not limited to other program management files / reports, statistical studies / reports, working papers, and non-executive level correspondence, subject files, training materials, presentations, etc. for the Human Capital Accountability program mission, functions, and activities.</p>														
1.1	<p>Schedule covering all program records created and or maintained in the performance of Human Capital Accountability mission, functions, and activities that contribute to final assessments, surveys, and reports.</p> <p>Disposition Authority Number DAA-0064-2016-0007-0001</p> <p>Records maintained in various forms, as core HCA records, and include, but are not limited to planning/strategy documents, reviews, specific and broad based findings (both corrective and preventative), assessment materials, audits, request/response, feeder, ancillary and collateral surveys, and feeder reports. This schedule item will also cover all other mission-related records, which include but are not limited to other program management files / reports, statistical studies / reports, working papers, and non-executive level correspondence, subject files, training materials, presentations, etc. for the Human Capital Accountability program mission, functions, and activities. EXCLUDING all final annual assessments, surveys, and reports.</p> <table><tr><td>Final Disposition</td><td>Temporary</td></tr><tr><td>Item Status</td><td>Active</td></tr><tr><td>Is this item media neutral?</td><td>Yes</td></tr><tr><td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td><td>No</td></tr><tr><td>Disposition Instruction</td><td></td></tr><tr><td>Cutoff Instruction</td><td>Break files annually.</td></tr><tr><td>Retention Period</td><td>Destroy 7 year(s) after break</td></tr></table>	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	Break files annually.	Retention Period	Destroy 7 year(s) after break
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	Break files annually.														
Retention Period	Destroy 7 year(s) after break														

1.2

Additional Information

GAO Approval Not Required

HCAAP Final annual assessments, surveys, and reports.

Disposition Authority Number DAA-0064-2016-0007-0002

Final HCAAP annual assessments, surveys, and reports used in agency reporting to OPM, OMB, and various other current and future government required reports.

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 Break files annually.

Retention Period Destroy 10 year(s) after break

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
08/16/2016	Certify	Richard Marcus	Records Officer	Chief Operating Officer - Corporate Records Management
02/07/2017	Submit for Concur rence	Tom Cotter	Appraiser	National Archives and Records Administration - ACRA
02/10/2017	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Serivces
02/10/2017	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Serivces
02/14/2017	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist