

Request for Records Disposition Authority

Records Schedule Number DAA-GRS-2016-0004

Schedule Status Modified Approved Version

Agency or Establishment General Records Schedules (National Archives and Records Administration)

Record Group / Scheduling Group General Records Schedules

Records Schedule applies to Government-wide

Schedule Subject GRS 5.3: Continuity and Emergency Planning Records

Internal agency concurrences will be provided No

Background Information This schedule covers records related to Federal agency internal emergency planning to protect people, government facilities, equipment, and records; safeguard classified or controlled unclassified information; ensure continuity of agency operations in the face of potential natural and man-made disasters; and facilitate timely recovery and return to normal agency operations once the emergency or disaster has passed.

Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.

This schedule does not include the following:

- external emergency planning records related to providing emergency response and recovery services to the public
- records related to high-level Government-wide Continuity of Government (COG) planning
- emergency response planning related to mission activities in the agency, e.g. NASA emergency plans for when a rocket explodes
- records related to a national disaster or incident response

These records may be of permanent value and must be scheduled on an agency-specific records schedule.

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-GRS-2016-0004

Sequence Number	
1	Continuity planning and related emergency planning files. Disposition Authority Number: DAA-GRS-2016-0004-0001
2	Employee emergency contact information. Disposition Authority Number: DAA-GRS-2016-0004-0002

Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 1154 411">Continuity planning and related emergency planning files.</p> <p data-bbox="345 432 1149 464">Disposition Authority Number DAA-GRS-2016-0004-0001</p> <p data-bbox="345 485 1528 1671">Records may include: • records on continuity and emergency planning administrative and operational activities: briefing materials and presentations, status reports, informational papers, files documenting policy or plan development, including policy studies, procedures, operational manuals, and related development records, implementation guidance, related correspondence, Memorandum(s) of Understanding, Delegations of Authority/Orders of Succession • continuity plans or directives and supporting documentation, including but not limited to: Continuity of Operations (COOP) plans, Devolution Plans, Occupant Emergency Plans (OEP), Emergency Action Plans (EAP), Facility Emergency Action Plans (FEAPS), Records Emergency Plans (REMT), Disaster Recovery Plans (DRP), Pandemic Influenza Plans • records on continuity or emergency tests or exercises, such as: instructions to members participating in tests, staffing assignments, records of tests of communications and facilities • evaluative reports on continuity or emergency tests or exercises, such as: result reports, readiness reports, risk and vulnerability assessments, site evaluations and inspections, corrective action plans, after action reports/improvement plans Note 1: Continuity or emergency plans that are acted upon in the event of a national emergency may be of permanent value. If an agency has such records that document response to significant events, it may submit a records schedule for NARA review. If an agency believes its continuity records generally warrant permanent retention, it must submit a records schedule to NARA to cover these records. Note 2: Records on employee training for COOP are scheduled in GRS 2.6. Records on essential records management are scheduled in GRS 4.1. Exclusion 1: This item does not include incident response records. These records may be of permanent value and should be scheduled by an agency-specific records schedule approved by NARA. Exclusion 2: This item does not include high-level Government-wide Continuity of Government (COG) records, although it can cover agency specific COG records. Exclusion 3: This item does not include the records of high-level officials (Capstone officials) as defined in GRS 6.1, item 010, or emergency plans that are part of a series of directives. Emergency plans issued as directives should be disposed of according to the disposition authority for agency directives.</p> <p data-bbox="345 1692 919 1724">Final Disposition Temporary</p> <p data-bbox="345 1745 850 1776">Item Status Active</p> <p data-bbox="345 1797 818 1829">Is this item media neutral? Yes</p> <p data-bbox="345 1850 818 1906">Do any of the records covered by this item currently exist in Yes</p>

electronic format(s) other than e-mail and word processing?

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
GRS 5.3, item 010	

GRS or Superseded Authority Citation **NC1-GRS-81-001 / 1/b
NC1-GRS-81-001 / 4
GRS 18, dated 1960, item 27**

Disposition Instruction

Retention Period **Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable, but longer retention is authorized if required for business use.**

Additional Information

GAO Approval **Not Required**

Employee emergency contact information.

Disposition Authority Number **DAA-GRS-2016-0004-0002**

Records used to account for and maintain communication with personnel during emergencies, office dismissal, and/or closure situations. Records include name and emergency contact information such as phone numbers or addresses. Records may also include other information on employees such as responsibilities assigned to the individual during an emergency situation. Exclusion: This item does not include employee directories that contain information about where employees are located in facilities and work phone numbers (covered under GRS 5.5, item 020).

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? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title

2

GRS 5.3, item 020	
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Disposition Instruction

Retention Period

Destroy when superseded or obsolete, or upon separation or transfer of employee.

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
01/13/2016	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/19/2016	Submit for Concurrence	Andrea Riley	Supervisor, General Records Schedule Team	National Archives and Records Administration - Records Management Services
08/30/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/02/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
09/06/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

**GRS 6.2 Federal Advisory Committee
Crosswalk**

New GRS				Old GRS			
GRS No.	Item No.	Retention	ERA Number/ Disposition Authority	GRS No.	Item No.	Retention	Disposition Authority
5.3	010	3 years	DAA-GRS-2016-0004-0001	18	26	2 years	GRS 18, 1960, item 27
				18	27	3 years	NC1-GRS-81-1 item 1b
				18	28	3 years	NC1-GRS-81-1 item 4
5.3	020	Superseded, obsolete, separation or transfer	DAA-GRS-2016-0004-0002	New Item			