

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 Subdivsion

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

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.

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:

- 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.

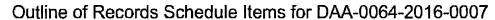
• Accountability (Evaluating Results) - Contributes to agency performance by monitoring and evaluating the results of its human capital management policies, programs, and activities; by analyzing compliance with merit system principles; and by identifying and monitoring necessary improvements

Item Count

Number of Total Disposition Items	Number of Permanent	Number of Temporary	Number of Withdrawn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

GAO Approval

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Sequence Number	
1	HCAAP Comprehensive Schedule
1.1	Schedule covering all program records created and or maintained in the perform ance 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

1,1

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.

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

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.

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?

Disposition Instruction

Cutoff Instruction Break files annually.

Retention Period Destroy 7 year(s) after break

No

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GAO Approval

Not Required

1.2

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 email 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	Ву	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