

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <i>NI-563-07-13</i>	
1. FROM (Agency or establishment) Department of Homeland Security		Date Received <i>7-25-2007</i>	
2. MAJOR SUB DIVISION Headquarters Offices		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION		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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
4. NAME OF PERSON WITH WHOM TO CONFER Kathy Schultz	5. TELEPHONE 202-447-5075	DATE <i>4/6/08</i>	ARCHIVIST OF THE UNITED STATES <i>Alan W...</i>
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 _____ page(s) are not needed now 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 the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 7/23/07	SIGNATURE OF AGENCY REPRESENTATIVE <i>Kathleen A. Schultz</i>		TITLE Senior Records Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	See attached sheet(s) for: Executive Level Records		

Re 4/30/08 copies sent to agency, NWMA, NWME, NWML, NWCT, IOR

**U.S. Department of Homeland Security
Headquarters Offices**

This schedule will apply to records common within the Department of Homeland Security (DHS) Headquarters Offices at the Executive level. This schedule does not apply to any materials covered under the General Records Schedule (GRS).

These disposition instructions are media neutral, they apply regardless of the media or format of the records unless otherwise noted. These disposition instructions do not cover electronic copies of records in the Intranet Quorum (IQ) System (Job N1-563-07-1)

Executive Level Records

These records apply to officials/appointees and respective offices reporting directly to the Secretary of Homeland Security

1. Annual and Other Reports to Congress

Reports created by organizational components and submitted directly to Congress
Estimated annual accumulation is 80 reports a year.

Disposition: PERMANENT Cut off files annually. Transfer to the National Archives 10 years after cut off

2. Briefing Books

Complete record copy prepared for the Secretary and Deputy Secretary's copies of briefing books on important issues prepared by various Departmental offices. Contains schedules, agendas, topics of discussions, issue and talking points, biographies, summary and/or position papers and information and background.

Estimated Volume for 2003-2004 for the Office of the Secretary is 17 cubic feet.

Disposition: PERMANENT Cut off files annually. Transfer to the National Archives 10 years after cut off

3. Chronological Files

Records include copies of outgoing correspondence arranged in chronological order. This file is maintained as a record of responses to Congress, other federal agencies, state and local government agencies.

Disposition: PERMANENT Cut off files annually. Transfer to the National Archives 10 years after cut off

4. Correspondence

Classified and unclassified incoming and outgoing correspondence and related background materials not included in Subject Files. [If the correspondence is program specific (examples: solicitation notice, personnel correspondence, memo relating to investigative file, etc) file and retain the document according to the program records disposition schedule.]

Disposition: PERMANENT Cut off files annually. Transfer to the National Archives 10 years after cut off

5. Plans

All final, approved contingency COOP, COG and Strategic Plans that are prepared on behalf of the Secretary and Deputy Secretary for the Department.

Disposition: PERMANENT Cut off files annually. Transfer to the National Archives 10 years after cut off.

6. Policy

Files containing formulation and issuance of DHS Policy including relevant background material. These files may also include drafts with substantive comments and/or drafts circulated for comment. Duplicate copies without comments and non-record publications that do not add to the understanding of the policy may be discarded prior to transfer to NARA. Close file when policy is issued.

Disposition: PERMANENT Cut off files annually. Transfer to the National Archives 10 years after cut off.

7. Questions for the Record (QFR)

A written question issued by a Congressional chamber, conference, committee or member following the appearance of a Departmental official at a Congressional hearing and intended for inclusion in the Congressional Record of such hearing. QFR are written, formal, post-hearing questions delivered to DHS from Congress for answers, and can include up to 250 questions per set. Each question may have multiple parts or sections to it. QFR are used to get responses to additional questions not asked during initial testimony in a Congressional Hearing. Responses to QFR may come from a number of internal sources. Final QFR (and responses) are published in the Congressional Record, which is retained permanently.

Disposition: PERMANENT Cut off files annually. Transfer to the National Archives 10 years after cut off.

8. Schedules of Daily Activities, Calendars and Meetings

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, trips, visits, and other activities while serving in an official capacity.

Disposition: PERMANENT Cut off files annually. Transfer to the National Archives 10 years after cut off.

9. Scheduling

Invitations that are received and accepted by the Secretary and Deputy Secretary which may include invitations from a range of individuals, groups, associations, organizations, local, state and federal officials, and foreign governments to attend meetings, events, presentations or to address groups, associations, organizations or to visit.

Disposition: PERMANENT Cut off files annually. Transfer to the National Archives 10 years after cut off.

10. Speeches and Testimonies

Speeches or testimony given by the incumbent during ceremonies, programs, public events, and Congressional hearings arranged by event or by subject.

Disposition: PERMANENT Cut off files annually. Transfer to the National Archives 10 years after cut off.

11. Subject Files

The files consist of files on specific topics, issues or projects arranged alphabetically by subject or component/element, with subcategories under the subject or component/element. The subjects relate to specific topics under the purview of the senior official, including policy and general information, particular problems and resolutions. These files generally contain correspondence and associated background materials. This does not include subject files maintained solely for reference.

Disposition: PERMANENT Cut off files annually Transfer to the National Archives 10 years after cut off

12. Telephone Logs

Files consist of lists of incoming telephone messages to the Secretary and include date of call, caller's name, and telephone number, and a brief message

Disposition: PERMANENT Cut off files annually Transfer to the National Archives 10 years after cut off

13. Trip Books

Complete record copies of trip books containing schedules, agendas, topics of discussions, issue and talking points, biographies, summary and/or position papers and information and background on countries visited

Disposition: PERMANENT Cut off files annually Transfer to the National Archives 10 years after cut off.

14. Write-In Campaigns

Correspondence from the public that expresses an opinion on a particular issue, often sent on pre-printed forms or postcards, or multiple pieces of correspondence using similar language to express a view on an issue In most cases, a sample is forwarded to the appropriate component with a tally of the total number received (Refer to Component Records Schedules for disposition of samples.) For samples not forwarded to a component, use this disposition instruction.

Disposition: TEMPORARY. Destroy 1 year after receipt of the last document received for each write-in campaign.

**U.S. Department of Homeland Security
Headquarters Offices**

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These disposition instructions are media neutral; they apply regardless of the media or format of the records unless otherwise noted.

1. Executive Level Records

As a major policy advisor to the President, the Secretary leads the unified national effort to secure America using the resources of the 22 agencies and directorates that were consolidated into the Department of Homeland Security.

These records apply to officials/appointees and respective offices reporting directly to the Secretary of Homeland Security.

a. Official Correspondence

See Correspondence Tracking and Management System (Job N1-563-07-1)

- 1) Paper copies with original signatures of high level government officials or are of significant historical value where the intrinsic value of the paper records may warrant preservation.
- 2) Paper copies of correspondence that pre-dates the Correspondence Tracking and Management System.

b. Calendars and Daily Schedules

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, trips, visits, and other activities while serving in an official capacity.

c. DHS Policy

Files containing formulation and issuance of DHS Policy including relevant background material. These files may also include drafts with substantive comments and/or drafts circulated for comment. Duplicate copies without comments and non-record publications that do not add to the understanding of the policy may be discarded prior to transfer to NARA. Close file when policy is issued.

d. Subject Files

The files consist of files on specific topics, issues or projects arranged alphabetically by subject or component/element, with subcategories under the subject or component/element. The subjects relate to specific topics under the purview of the senior official, including policy and general information, particular problems and resolutions. This does not include subject files maintained solely for reference.

e. Chronological Files

Records include copies of outgoing correspondence arranged in chronological order. This file is maintained as a record of responses to Congress, other federal agencies, state and local government agencies.

f. Speeches and Testimonies

Speeches or testimony given by the incumbent during ceremonies, programs, public events, and Congressional hearings arranged by event or by subject.

g. Questions for the Record (QFR)

A written question issued by a Congressional chamber, conference, committee or member following the appearance of a Departmental official at a Congressional hearing and intended for inclusion in the Congressional Record of such hearing. QFR are written, formal, post-hearing questions delivered to DHS from Congress for answers, and can include up to 250 questions per set. Each question may have multiple parts or sections to it. QFR are used to get responses to additional questions not asked during initial testimony in a Congressional Hearing. Responses to QFR may come from a number of internal sources. Final QFR (and responses) are published in the Congressional Record, which is retained permanently.

h. Trip Books

Complete record copy prepared for the Secretary and Deputy Secretary's copies of trip books contains schedules, agendas, topics of discussions, issue and talking points, biographies, summary and/or position papers and information and background on countries visited.

i. Briefing Books

Complete record copy prepared for the Secretary and Deputy Secretary's copies of briefing books on important issues prepared by various Departmental offices. Contains schedules, agendas, topics of discussions, issue and talking points, biographies, summary and/or position papers and information and background.

j. Scheduling

Invitations that are received and accepted by the Secretary and Deputy Secretary which may include invitations from a range of individuals, groups, associations, organizations, local, state and federal officials, and foreign governments to attend meetings, events, presentations or to address groups, associations, organizations or to visit.

k. Telephone Logs

Files consist of lists of incoming telephone messages to the Secretary and include date of call, caller's name, and telephone number, and a brief message.

l. Plans

All final, approved contingency COOP, COG and Strategic Plans that are prepared on behalf of the Secretary and Deputy Secretary for the Department.

m. Annual and Other Reports to Congress

Reports created by organizational components and submitted directly to Congress.

Disposition: PERMANENT. Cut off files annually Transfer to the National Archives 10 years after cut off.

2. Copies of Executive Level Records

Copies of records covered in Item 1, Executive Level Records, or the Correspondence Tracking and Management System.

a. DHS Policy

Duplicate files containing formulation and issuance of DHS Policy including relevant background material

b. Briefing Books

Copies of briefing books prepared by various Departmental offices for the Secretary and Deputy Secretary on important issues. Includes background research materials gathered by offices used in preparation of the briefing books.

c. Scheduling

Invitations that are received and not accepted by the Secretary and Deputy Secretary

d. Speeches and Testimonies

Copies of speeches or testimony given by the incumbent during ceremonies, programs, public events, and Congressional hearings. Includes "Finals as Prepared" copies prepared by Speechwriters

e. Plans

Duplicate copies of COOP, COG and Strategic Plans and any background, reference documents used in the preparation of final copies.

f. Telephone Logs

Files consist of lists of incoming telephone messages to the Secretary and include date of call, caller's name, and telephone number, and a brief message.

Disposition: TEMPORARY. Delete or destroy when no longer needed for reference.