

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408	
1. FROM (Agency or establishment) U.S. Department of Education	
2. MAJOR SUBDIVISION Office of the Secretary	
3. MINOR SUBDIVISION	
4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE
Edgar Mayes, OS	202-401-2981

<b>LEAVE BLANK (NARA use only)</b>	
JOB NUMBER NI-441-97-1	
DATE RECEIVED 2-24-97	
<b>NOTIFICATION TO AGENCY</b>	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 7-1-97	ARCHIVIST OF THE UNITED STATES <i>John W. Carl</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 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,

is not required;  is attached; or  has been requested.

DATE 2/24/97	SIGNATURE OF AGENCY REPRESENTATIVE <i>Chiquitta Thomas</i> Chiquitta Thomas	TITLE Records Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Offices of the Secretary, Deputy Secretary and Under Secretary.  Please see attached.		

JUL 10 1997 MAR  
copy to: Agency, NWRE  
NWDB, NWRW

United States Department of Education  
Records of the Office of the Secretary, Office of the Deputy Secretary,  
and Office of the Under Secretary  
Attachment to SF 115 - N1-441-97-1

**Office of the Secretary**

Item 1. *Correspondence files*

{These disposition instructions supersede NC-12-75-1, item 1a [ED/RDS Part 9, item 8]}.

a. *Official Correspondence* - All correspondence and administrative files which document the formulation of national education policy, and the establishment, direction and review of the primary mission of the Department, received by the Office of the Secretary and responses signed by the Secretary of Education. Files include corresponding enclosures or attachments.

Disposition: PERMANENT. Cut off files at end of calendar year. Retire to the Washington National Records Center one year after cutoff. Transfer to the National Archives and Records Administration ~~2 years after incumbent Secretary leaves office.~~  
*10 years after cutoff.*

b. *General Correspondence* - Routine letters received from such sources as the White House, governors, presidents of corporations, and educational institutions, where the responses are prepared and signed by program officials and not by the Office of the Secretary. No paper copies are maintained by the Office of the Secretary.

Disposition: Transfer incoming letter to appropriate program office for response, signature, and disposition of record. Program office: dispose of record in accordance with disposition instructions cited in Departmental records retention schedule covering correspondence files of offices below the level of the Offices of the Secretary, Deputy Secretary and Under Secretary.

c. *Citizens mail* - This is also referred to as "bulk mail" or "BK." Citizens mail sent directly to the Office of the Secretary, and forwarded for response to appropriate program office. No paper copies are maintained by the Office of the Secretary.

Disposition: Transfer incoming letter to appropriate program office for response, signature, and disposition of record. Program office: dispose of record in accordance with disposition instructions cited in Departmental records retention schedule covering correspondence files of offices below the level of the Offices of the Secretary, Deputy Secretary and Under Secretary.

changes made per discussion 1  
with agency records officer on May 30, 1997. YKW  
5/30/97

d. *White House Bulk Mail* - This is also referred to as "WB." All citizens mail received and forwarded by the White House to the Office of the Secretary for response by Department of Education program offices. No paper copies are maintained by the Office of the Secretary.

Disposition: Transfer incoming letter to appropriate program office for response, signature, and disposition of record. Program office: dispose of record in accordance with disposition instructions cited in Departmental records retention schedule covering correspondence files of offices below the level of the Offices of the Secretary, Deputy Secretary and Under Secretary.

Item 2. *Control Correspondence Management System* - Electronic Imaging System used to maintain scanned images of all incoming correspondence, responses with the Secretary's signature, and a limited number of enclosures.

Disposition: **TEMPORARY**. Delete when no longer needed for reference.

Item 3. *Reference copies of speeches* - additional copies of final speeches maintained as separate files in the Office of the Secretary for reference purposes.

Disposition: **TEMPORARY**. Destroy when no longer needed for reference.

Item 4. *Briefing Books and Daily Schedules for the Secretary of Education*

a. *Briefing books and schedules* - Secretary of Education's daily official schedule, talking points, accepted invitations, travel agenda, handouts or informational material, annotated speeches, final speeches, handwritten notes and comments, lists of meeting attendees, information that the Secretary should be made aware of, and other records that prepare the Secretary in his/her daily function as the head official of the Department. A courtesy copy of the Deputy Secretary's daily schedule is included in the Secretary's briefing books.

Disposition: **PERMANENT**. Cut off files at end of calendar year. Retire to the Washington National Records Center one year after cutoff. Transfer to the National Archives and Records Administration ~~2 years after incumbent Secretary leaves office~~. <sup>10 years after cutoff.</sup> {The disposition instructions supersede NC-12-75-1, item 1a [ED/RDS Part 9, item 2a] and NC-12-75-1, item 4 [ED/RDS Part 12, item 1a]}.

b. *Declined invitations*.

Disposition: **TEMPORARY**. Destroy when 6 months old.

4.c. *Working calendars.*

c.1. Pencil-written government-issue or commercial calendars maintained for administrative use, such as for the preparation of the daily schedule in the briefing book.

Disposition: **TEMPORARY.** Cut off at end of calendar year. Destroy when no longer needed for reference or one year after cutoff, whichever is later.

c.2. Electronic calendars - scheduling information created in electronic form and then printed out in final form and placed in the briefing books.

Disposition: **TEMPORARY.** Delete electronic version when 2 years old.

**Office of the Secretary: Chief of Staff and Special Assistants**

Item 5. *Subject Files* - files pertaining to Presidential and Departmental initiatives and copies of information sent from Departmental program offices.

Disposition: **TEMPORARY.** Destroy when no longer needed for reference or when superseded.

Item 6. *Departmental manuals and reports* - reports (including team reports), plans, guidebooks, booklets, or manuals produced out of the Office of the Secretary pertaining to Presidential and Departmental initiatives.

a. *Working papers* - notes, drafts, and similar records created during the creation of the final product. Also included are notes and comments to manuals, guides, and reports created and distributed by program offices.

Disposition: **TEMPORARY.** Destroy upon verification against publication or when no longer needed for reference, whichever is later.

b. *Manuals and reports.*

Disposition: **PERMANENT.** Cut off at end of calendar year. Transfer to the National Archives and Records Administration one year after cutoff.

Item 7. *Administrative records* - staff memoranda that provide the staff with routine administrative information.

Disposition: **TEMPORARY.** Cut off at end of calendar year. Destroy one year after cutoff.

**Office of the Deputy Secretary**

**Item 8. *Briefing Books and Daily Schedules for the Deputy Secretary of Education***

a. *Briefing books and schedules* - Deputy Secretary of Education's daily official schedule, talking points, accepted invitations, travel agenda, handouts or informational material, annotated speeches, final speeches, handwritten notes and comments, lists of meeting attendees, information that the Deputy Secretary should be made aware of, and other records that prepare the Deputy Secretary in his/her daily function as the deputy head of the Department. A courtesy copy of the Secretary's daily schedule is included in the Deputy Secretary's briefing books.

Disposition: **PERMANENT**. Cut off files at end of calendar year. Retire to the Washington National Records Center one year after cutoff. Transfer to the National Archives and Records Administration ~~2 years after incumbent Secretary leaves office.~~ <sup>10 years after cutoff.</sup> {The disposition instructions supersede NC-12-75-1, item 1a [ED/RDS Part 9, item 2a] and NC-12-75-1, item 4 [ED/RDS Part 12, item 1a]}.

b. *Working calendars*.

b.1. Pencil-written government-issue or commercial calendars maintained for administrative use, such as for the preparation of the daily schedule in the briefing book.

Disposition: **TEMPORARY**. Cut off at end of calendar year. Destroy when no longer needed for reference or one year after cutoff, whichever is later.

b.2. Electronic calendars - scheduling information created in electronic form and then printed out in final form and placed in the briefing books.

Disposition: **TEMPORARY**. Delete electronic version when 2 years old.

Item 9. *Chronological Files* - correspondence, consisting both of correspondence signed by the Deputy Secretary and copies of correspondence (both incoming and outgoing) sent on to program offices for preparation of response and signature by program officials.

a. **Copies** of incoming letters and outgoing responses by program officials, maintained in the Office of the Deputy Secretary.

9.a. (1). Program office: dispose of records in accordance with disposition instructions cited in Departmental records retention schedule covering correspondence files of offices below the level of the Offices of the Secretary, Deputy Secretary and Under Secretary.

a. (2). Office of the Deputy Secretary: Copies of correspondence responded to and signed by appropriate program offices.

Disposition: TEMPORARY. Cut off files at end of calendar year. Destroy one year after cutoff.

9.b. Correspondence received and responses signed by the Deputy Secretary, including declined invitations, letters of appreciation, and other non-program related information.

Disposition: TEMPORARY. Cut off files at end of calendar year. Destroy two years after cutoff.

9.c. *Official Correspondence* - Official correspondence received and responses signed by the Deputy Secretary, pertaining to the policies, directions, and mission of the Office of the Deputy and the Department of Education.

Disposition: PERMANENT. Cut off files at the end of the calendar year. Retire to the Washington National Records Center one year after cutoff. Transfer to the National Archives and Records Administration ~~2 years after incumbent Deputy Secretary leaves office.~~ *10 years after cutoff.*

Item 10. *Reference copies of speeches* - additional copies of speeches maintained as separate files in the Office of the Deputy Secretary for reference purposes. Final speech is placed in briefing book.

Disposition: TEMPORARY. Cut off files at the end of the calendar year. Destroy one year after cutoff.

#### **Office of the Deputy Secretary: Chief of Staff and Special Assistants**

Item 11. *Subject files* - files pertaining to Presidential and Departmental initiatives and copies of information sent from Departmental program offices.

Disposition: TEMPORARY. Destroy when no longer needed for reference or when superseded.

Item 12. *Departmental manuals and reports* - reports (including team reports), plans, guidebooks, booklets, or manuals produced out of the Office of the Deputy Secretary pertaining to Presidential and Departmental initiatives.

a. *Working papers* - notes, drafts, and similar records created during the creation of the final product. Also included are notes and comments to manuals, guides, and reports created and distributed by program offices.

Disposition: **TEMPORARY**. Destroy upon verification against publication or when no longer needed for reference, whichever is later.

b. *Manuals and reports.*

Disposition: **PERMANENT**. Cut off at end of calendar year. Transfer to the National Archives and Records Administration one year after cutoff.

Item 13. *Administrative records* - staff memoranda that provide the staff with routine administrative information.

Disposition: **TEMPORARY**. Cut off at end of calendar year. Destroy one year after cutoff.

Item 14. *Correspondence files* - routine correspondence, such as public inquiries, received in the Office of the Deputy Secretary and answered by the staff of the Chief of Staff, pertaining to issues that are not program-specific or that do not require response from a program office.

Disposition: **TEMPORARY**. Cut off at end of calendar year. Destroy one year after cutoff.

### **Office of the Under Secretary**

Item 15. *Annual Report to Congress.*

Disposition: **PERMANENT**. Transfer to the National Archives and Records Administration at the end of the calendar year.

Item 16. *Budget records* - file copies of budget estimates prepared or consolidated in formally organized budget office of the Department, comprising of appropriation language sheets, narrative statements, and related schedules and data. <sup>budget justifications,</sup>

a. Record copy.

Disposition: **PERMANENT**. Cut off files at the end of each budget year. Transfer to the National Archives and Records Administration 4 years after cutoff. {These disposition instructions supersede NC-12-75-1, item 1a [ED/RDS Part 3, item 2a]}

16.b. Budget background records - cost statements, rough data and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget office.

Disposition: **TEMPORARY.** Cut off files upon completion of preparation of the final budget records. Destroy 1 year after the close of the fiscal year covered by the budget.  
{GRS 5, item 2}

Item 17. *Budget hearing records* - ~~Budget justifications and hearing records~~ <sup>Briefing materials and exhibits</sup> created and received as a result of meetings before Congressional budget committees. <sup>(includes testimonies given by Education and not published reports by Congress.)</sup>

Disposition: **PERMANENT.** Cut off files at the end of each budget year. Transfer to the National Archives and Records Administration 4 years after cutoff.

Item 18. *Chronological Files* - correspondence, consisting both of correspondence signed by the Under Secretary and copies of correspondence (both incoming and outgoing) sent on to program offices for preparation of response and signature by program officials.

a. **Copies** of incoming letters and outgoing responses by program officials, maintained in the Office of the Under Secretary.

a (1). Program office: dispose of records in accordance with disposition instructions cited in Departmental records retention schedule covering correspondence files of offices below the level of the Offices of the Secretary, Deputy Secretary and Under Secretary.

a (2). Office of the Under Secretary: **Copies** of correspondence responded to and signed by appropriate program offices.

Disposition: **TEMPORARY.** Cut off files at end of calendar year. Destroy one year after cutoff.

b. *Official correspondence* - official correspondence received and responses signed by the Under Secretary, that document the formulation of the Department's policies and budget, and establish the directions and the review of the primary missions of the Department of Education.

Disposition: **PERMANENT.** Cut off files at the end of the calendar year. Retire to the Washington National Records Center one year after cutoff. Transfer to the National Archives and Records Administration ~~2 years after incumbent Under Secretary leaves the Office of the Under Secretary.~~ <sup>10 years after cutoff</sup>

Item 19. *Policy records* - manuals, guides, reports, notices, and other records that document the establishment of Departmental policy, both within the Department, such as personnel policy, and without.



a. Working papers - notes, drafts, and similar records that lead up to the creation of the final product.

Disposition: **TEMPORARY.** Destroy upon verification against final product.

b. Manuals, guides, reports, and notices.

Disposition: **PERMANENT.** Cut off at end of calendar year. Transfer to the National Archives and Records Administration one year after cutoff.

Item 20. *Speeches.*

Disposition: **PERMANENT.** Cut off at end of calendar year. Transfer to the National Archives and Records Administration 2 years after incumbent Under Secretary leaves office.

~~Item 21. *Calendars.*~~

~~a. Electronic calendars - scheduling information created in electronic form and then printed out and maintained in hard copy format.~~

~~Disposition: **TEMPORARY.** Delete electronic version when 2 years old.~~

~~b. Hard copy final version of official calendar.~~

~~Disposition: **PERMANENT.** Cut off files at end of calendar year. Transfer to the National Archives and Records Administration 2 years after incumbent Under Secretary leaves office.~~

Withdrawn per  
agency request  
3/26/97 YKW