

Request for Records Disposition Authority

Records Schedule Number DAA-0563-2013-0005
 Schedule Status Modified Approved Version

Agency or Establishment Department of Homeland Security
 Record Group / Scheduling Group General Records of the Department of Homeland Security
 Records Schedule applies to Department-wide
 Schedule Subject Executive Level Records
 Internal agency concurrences will be provided No

Background Information

This schedule will apply to records common throughout the Department of Homeland Security (DHS) at the Executive level. For purposes of this schedule, an 'Executive' is defined as the Secretary of Homeland Security, and employees, officials, or appointees and their respective offices who report directly to the Secretary, or the immediate office, on a full-time basis. 'Executive' will include designations such as Under-Secretary, Director or Deputy Director, Chief of Staff, and/or Chief, regardless of designating status as an 'acting' or 'named' position. The 'Executive' designation is specific to the person or offices' chain of command reporting directly to, or under, the Secretary of Homeland Security.

These disposition instructions are media neutral. If an approved Electronic Records Management System (ERMS) is not available to store and maintain these records, the office or program must maintain these records in hard-copy format.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
11	9	2	0

GAO Approval

Outline of Records Schedule Items for DAA-0563-2013-0005

Sequence Number	
1	Annual and Other Reports to Congress Disposition Authority Number: DAA-0563-2013-0005-0001
2	Briefing Materials (Briefing Books) Disposition Authority Number: DAA-0563-2013-0005-0002
3	Chronological Files and Correspondence Disposition Authority Number: DAA-0563-2013-0005-0003
4	Write-in Campaigns Disposition Authority Number: DAA-0563-2013-0005-0005
5	Questions for the Record (QFRs) Disposition Authority Number: DAA-0563-2013-0005-0008
6	Schedule(s) of Daily Activities Disposition Authority Number: DAA-0563-2013-0005-0009
7	Event Invitations, Meeting Schedules Disposition Authority Number: DAA-0563-2013-0005-0010
8	Subject Files Disposition Authority Number: DAA-0563-2013-0005-0011
9	Telephone Logs Disposition Authority Number: DAA-0563-2013-0005-0012
10	Trip Books/ Travel Materials Disposition Authority Number: DAA-0563-2013-0005-0013
11	No Response Necessary (NRN) Disposition Authority Number: DAA-0563-2013-0005-0014

Records Schedule Items

Sequence Number	
1	<p data-bbox="350 417 1497 449">Annual and Other Reports to Congress</p> <p data-bbox="350 470 1497 502">Disposition Authority Number DAA-0563-2013-0005-0001</p> <p data-bbox="350 523 1497 555">Reports created by organizational components and submitted directly to Congress.</p> <p data-bbox="350 576 1497 608">Final Disposition Permanent</p> <p data-bbox="350 629 1497 661">Item Status Active</p> <p data-bbox="350 683 1497 715">Is this item media neutral? Yes</p> <p data-bbox="350 736 1497 853">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p data-bbox="350 874 1497 949">Do any of the records covered by this item exist as structured electronic data? No</p> <p data-bbox="350 970 1497 1044">GRS or Superseded Authority Citation N1-563-07-013 / 1</p> <p data-bbox="350 1066 1497 1098">Disposition Instruction</p> <p data-bbox="350 1119 1497 1151">Cutoff Instruction Cut off files at the end of the calendar year.</p> <p data-bbox="350 1172 1497 1247">Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cut off.</p> <p data-bbox="350 1289 1497 1321">Additional Information</p> <p data-bbox="350 1342 1497 1438">What will be the date span of the initial transfer of records to the National Archives? From 2003 To 2018</p> <p data-bbox="350 1459 1497 1534">How frequently will your agency transfer these records to the National Archives? Every 15 Years</p>
2	<p data-bbox="350 1640 1497 1672">Briefing Materials (Briefing Books)</p> <p data-bbox="350 1693 1497 1725">Disposition Authority Number DAA-0563-2013-0005-0002</p> <p data-bbox="350 1747 1497 1927">Complete record copy prepared for the Secretary, Deputy Secretary or Component head, 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 materials (List not inclusive).</p>

Final Disposition	Permanent
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?	No
GRS or Superseded Authority Citation	N1-563-07-013 / 2 N1-560-04-004 / 12 N1-566-08-004 / 1
Disposition Instruction	
Cutoff Instruction	Cut off files at the end of the calendar year.
Transfer to the National Archives for Accessioning	Transfer to the National Archives 15 year(s) after cut off.
Additional Information	
What will be the date span of the initial transfer of records to the National Archives?	From 2003 To 2018
How frequently will your agency transfer these records to the National Archives?	Every 15 Years
Chronological Files and Correspondence	
Disposition Authority Number	DAA-0563-2013-0005-0003
Records include copies of incoming and outgoing correspondence, including related background materials not included in Subject Files, arranged in chronological order. This file is maintained as a record of responses to Congress, other federal agencies, and state and local government agencies. If the correspondence is program specific (examples include solicitation notices, personnel correspondence, and memos relating to an Investigative File, etc) file and retain according to the program's record disposition schedule. Note: records which are non-substantive and do not relate to the mission of the agency should be excluded from this series.	
Final Disposition	Permanent
Item Status	Active

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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?	No
GRS or Superseded Authority Citation	N1-563-07-013 / 3 N1-566-08-004 / 3 N1-311-86-001 / 1/K/2 N1-563-07-013 / 4 N1-566-08-004 / 2 N1-036-86-001 / A/1/A N1-311-86-001 / 1/G/1
Disposition Instruction	
Cutoff Instruction	Cut off files at the end of the calendar year.
Transfer to the National Archives for Accessioning	Transfer to the National Archives 15 year(s) after cut off.
Additional Information	
What will be the date span of the initial transfer of records to the National Archives?	From 2003 To 2018
How frequently will your agency transfer these records to the National Archives?	Every 15 Years
Write-in Campaigns	
Disposition Authority Number	DAA-0563-2013-0005-0005
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.	
Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes

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Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

No

GRS or Superseded Authority Citation

N1-563-07-013 / 14

Disposition Instruction

Retention Period

Destroy 1 year(s) after receipt of the last document received for each write-in campaign.

Additional Information

GAO Approval

Not Required

Questions for the Record (QFRs)

Disposition Authority Number

DAA-0563-2013-0005-0008

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. QFRs are written, formal, post-hearing questions delivered from Congress for answers, and can include up to 250 questions per set. Each question may have multiple parts or sections to it. QFRs are used to get responses to additional questions not asked during initial testimony in a Congressional Hearing. Responses to QFRs may come from a number of internal sources. Final QFRs (and responses) are published in the Congressional Record, which is retained permanently.

Final Disposition

Permanent

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?

No

GRS or Superseded Authority Citation

N1-563-07-013 / 7

Disposition Instruction

Cutoff Instruction

Cut off files at the end of the calendar year.

Transfer to the National Archives for Accessioning

Transfer to the National Archives 15 year(s) after cut off.

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Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 2003 To 2018.

How frequently will your agency transfer these records to the National Archives? Every 15 Years

Schedule(s) of Daily Activities

Disposition Authority Number DAA-0563-2013-0005-0009

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

Final Disposition Permanent

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

GRS or Superseded Authority Citation
N1-563-07-013 / 8
N1-566-08-004 / 1
N1-311-92-004 / 1

Disposition Instruction

Cutoff Instruction Cut off files at the end of the calendar year, or when executive departs, whichever occurs sooner.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cut off.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 2003 To 2018

How frequently will your agency transfer these records to the National Archives? Every 15 Years

7	<p>Event Invitations, Meeting Schedules</p> <p>Disposition Authority Number DAA-0563-2013-0005-0010</p> <p>Invitations that are received and accepted by or on behalf of the Department's Executives and/or Component heads, 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.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? No</p> <p>GRS or Superseded Authority Citation N1-563-07-013 / 9 N1-566-08-004 / 1</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off files at the end of the calenar year, or when executive departs, whichever occurs sooner.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cut off.</p> <p>Additional Information</p> <p>What will be the date span of the initial transfer of records to the National Archives? From 2003 To 2018</p> <p>How frequently will your agency transfer these records to the National Archives? Every 15 Years</p>
8	<p>Subject Files</p> <p>Disposition Authority Number DAA-0563-2013-0005-0011</p> <p>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</p>

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. Note: records which are non-substantive and do not relate to the mission of the agency should be excluded from this series.

Final Disposition Permanent

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? No

GRS or Superseded Authority Citation N1-563-07-013 / 11
N1-566-08-004 / 1

Disposition Instruction

Cutoff Instruction Cut off at the end of the calendar year, or when executive departs, whichever occurs sooner.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cut off.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 2003 To 2018

How frequently will your agency transfer these records to the National Archives? Every 15 Years

Telephone Logs

Disposition Authority Number DAA-0563-2013-0005-0012

Files consist of lists of incoming telephone messages to the Department's Executives and/or Component heads, and include date of call, caller's name, and telephone number, and a brief message.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

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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
GRS or Superseded Authority Citation	N1-563-07-013 / 12 N1-566-08-004 / 1
Disposition Instruction	
Cutoff Instruction	Cut off files at the end of the calendar year, or when executive departs, whichever occurs sooner.
Transfer to the National Archives for Accessioning	Transfer to the National Archives 15 year(s) after cut off.
Additional Information	
What will be the date span of the initial transfer of records to the National Archives?	From 2003 To 2018
How frequently will your agency transfer these records to the National Archives?	Every 15 Years
Trip Books/ Travel Materials	
Disposition Authority Number	DAA-0563-2013-0005-0013
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.	
Final Disposition	Permanent
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?	No
GRS or Superseded Authority Citation	N1-563-07-013 / 13 N1-566-08-004 / 1

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Disposition Instruction

Cutoff Instruction Cut off files at end of the calendar year, or when executive departs, whichever occurs sooner.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cut off.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 2003 To 2018

How frequently will your agency transfer these records to the National Archives? Every 15 Years

No Response Necessary (NRN)

Disposition Authority Number DAA-0563-2013-0005-0014

Correspondence from the public that is deemed not actionable or worthy of a response due to incoherent thoughts or suggestions, unconstructive criticism, and highly insulting language. Secret Service handles correspondence that is a threat to DHS personnel.

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

Disposition Instruction

Retention Period Destroy immediately, and no later than 3 months after receipt of document for each correspondence.

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
04/24/2013	Certify	Tammy Hudson	Acting Records Officer	CIO - ESDO
07/14/2014	Submit for Concurrence	Erin Cayce	Appraiser	National Archives and Records Administration - Records Management Services
07/15/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
07/15/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
07/17/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist