

## Request for Records Disposition Authority

Records Schedule Number      DAA-0563-2019-0002  
Schedule Status                  Approved  
  
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                Performance and Strategic Planning Files  
Internal agency concurrences will be provided      No

Background Information        This schedule covers records that document DHS performance and strategic planning activities and decisions across the department relating to preparing and issuing Strategic Plans, Annual Performance Plans, and Annual Performance and Accountability Reports in compliance with Government Performance and Results Act (GPRA). Records consist of plans, reports, correspondence, comments, notes, and specifications for measuring performance objectives.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	2	3	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0563-2019-0002

Sequence Number	
1	Performance Measurement Files Disposition Authority Number: DAA-0563-2019-0002-0001
2	Performance Plan Files
2.1	Final Plans Submitted to OMB, the White House, and/or Congress Disposition Authority Number: DAA-0563-2019-0002-0002
2.2	Performance Plan Development Files Disposition Authority Number: DAA-0563-2019-0002-0003
3	Strategic Planning Files
3.1	Final Strategic Plans Disposition Authority Number: DAA-0563-2019-0002-0004
3.2	Strategic Plan Development Files Disposition Authority Number: DAA-0563-2019-0002-0005

## Records Schedule Items

Sequence Number	
1	<p><b>Performance Measurement Files</b></p> <p>Disposition Authority Number      <b>DAA-0563-2019-0002-0001</b></p> <p>Records documenting progress toward meeting objectives and performance measures stated in strategic plans and annual performance plans. Excludes Personnel Performance Plans.</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?        <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                            <b>Yes</b></p> <p>GRS or Superseded Authority Citation      <b>N1-563-09-010 / 6</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Cut off at the end of the fiscal year</b></p> <p>Retention Period                         <b>Destroy 10 year(s) after cutoff</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                               <b>Not Required</b></p>
2	<p><b>Performance Plan Files</b></p> <p>Files related to Annual Program Performance Plans, which contain approved plans and schedules for activities. Excludes Personnel Performance Plans.</p>
2.1	<p><b>Final Plans Submitted to OMB, the White House, and/or Congress</b></p> <p>Disposition Authority Number      <b>DAA-0563-2019-0002-0002</b></p> <p>Annual Performance Plans and Annual Performance Reports submitted in compliance with Government Performance Results Act (GPRA) and National Performance Review. Includes plans, reports, correspondence, comments, notes, specifications for measuring performance objectives, and other records related to preparing and issuing Annual Performance Plans and Annual Performance Reports in compliance with GPRA. Includes record copy of the</p>

Annual Performance Plan and Annual Performance Report which are submitted to OMB, the White House, and/or Congress.

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  
N1-311-01-004 / ADM/45/2  
N1-311-01-004 / ADM/46/3  
N1-560-10-003 / 8/a

#### Disposition Instruction

Cutoff Instruction Cut off at the end of fiscal year in which the report is produced

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff

#### Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown  
Unknown

How frequently will your agency transfer these records to the National Archives? Unknown  
Unknown

2.2

#### Performance Plan Development Files

Disposition Authority Number DAA-0563-2019-0002-0003

Documentation of performance plan development to support plan findings, conclusions, and recommendations. Includes correspondence, draft plans, preliminary reports, and other materials used in the development of performance plans.

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
	GRS or Superseded Authority Citation	N1-560-04-002 / 9 N1-311-01-004 / ADM/46/1 N1-311-01-004 / ADM/46/2 N1-563-09-010 / 7/b N1-563-09-010 / 7/a
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off at the end of the fiscal year covered by the Performance Plan
	Retention Period	Destroy 5 year(s) after cutoff
	<b>Additional Information</b>	
	GAO Approval	Not Required
3	<b>Strategic Planning Files</b>	
3.1	<b>Final Strategic Plans</b>	
	Disposition Authority Number	DAA-0563-2019-0002-0004
	<b>Final, approved Strategic and similar plans that are prepared on behalf of the Secretary, Deputy Secretary, or Component Head.</b>	
	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 / 5 N1-311-01-004 / ADM/45/2 N1-560-04-0002 / 1/a N1-87-11-0004 / 1/a
	<b>Disposition Instruction</b>	

	Cutoff Instruction	Cut off at the end of the fiscal year covered by the plan
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 15 year(s) after cutoff
	<b>Additional Information</b>	
	What will be the date span of the initial transfer of records to the National Archives?	Unknown Unknown
	How frequently will your agency transfer these records to the National Archives?	Unknown Unknown
3.2	<b>Strategic Plan Development Files</b>	
	Disposition Authority Number	DAA-0563-2019-0002-0005
	<b>Documentation of strategic plan development to support findings, conclusions, and recommendations. Includes correspondence, draft plans, preliminary reports, and other materials used in the development of strategic plans.</b>	
	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
	GRS or Superseded Authority Citation	N1-560-04-002 / 7 N1-311-01-004 / ADM/45/1 N1-311-01-004 / ADM/46/1 N1-311-01-004 / ADM/46/2 N1-87-11-0004 / 1/b N1-87-11-0004 / 1/c
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off at the end of the fiscal year covered by the Strategic Plan
	Retention Period	Destroy 5 year(s) after cutoff
	<b>Additional Information</b>	

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
03/04/2019	Certify	Tammy Hudson	Acting Records Officer	CIO - ESDO
07/23/2019	Return for Revision	Laura McHale	Appraisal Archivist	National Archives and Records Administration - Records Management Services
07/24/2019	Submit For Certification	Sara Cheeseman	OBIM Records Officer	Department of Homeland Security - Office of Biometric and Identity Management
07/24/2019	Certify	Sara Cheeseman	OBIM Records Officer	Department of Homeland Security - Office of Biometric and Identity Management
11/15/2019	Return for Revision	Laura McHale	Appraisal Archivist	National Archives and Records Administration - Records Management Services
12/16/2019	Submit For Certification	Sara Cheeseman	OBIM Records Officer	Department of Homeland Security - Office of Biometric and Identity Management
12/16/2019	Certify	Sara Cheeseman	OBIM Records Officer	Department of Homeland Security - Office of Biometric and Identity Management
06/10/2020	Submit for Concurrence	Laura McHale	Appraisal Archivist	National Archives and Records Administration - Records Management Services
06/16/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services

06/16/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
06/22/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist