

## Request for Records Disposition Authority

Records Schedule Number      DAA-0563-2019-0008

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      Administrative and Operational Records Common to All Offices

Internal agency concurrences will be provided      No

Background Information      This Department-wide schedule supersedes component-level disposition schedule items covering administrative and operational records common to all offices as documented in this schedule.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
7	2	5	0

GAO Approval

## Outline of Records Schedule Items for DAA-0563-2019-0008

Sequence Number	
1	Requests for Information (RFI)/Data Calls Disposition Authority Number: DAA-0563-2019-0008-0001
2	Administrative Standard Operating Procedures (SOPs) Disposition Authority Number: DAA-0563-2019-0008-0002
3	Periodic Reports Disposition Authority Number: DAA-0563-2019-0008-0003
4	Mission/Operational Directives Disposition Authority Number: DAA-0563-2019-0008-0004
5	Administrative Directives Disposition Authority Number: DAA-0563-2019-0008-0005
6	Executive Delegations of Authority Disposition Authority Number: DAA-0563-2019-0008-0006
7	Non-Executive Delegations of Authority Disposition Authority Number: DAA-0563-2019-0008-0007

## Records Schedule Items

Sequence Number	
1	<p><b>Requests for Information (RFI)/Data Calls</b></p> <p>Disposition Authority Number      <b>DAA-0563-2019-0008-0001</b></p> <p>Requests for information is the formal process through which information is obtained and provided to Federal departments and agencies; state, local, tribal, and territorial entities; and private sector partners. The RFI process tracks incoming requests, determines their validity, and ensures responses are provided by obtaining the requested information. Records include, but are not limited to, logs, requests, responses, related analysis, and supporting documentation.</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>N1-563-08-003 / 8</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      <b>Cut off at end of calendar year when request is completed</b></p> <p>Retention Period                      <b>Destroy 3 year(s) after cutoff</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                              <b>Not Required</b></p>
2	<p><b>Administrative Standard Operating Procedures (SOPs)</b></p> <p>Disposition Authority Number      <b>DAA-0563-2019-0008-0002</b></p> <p>Guidance issued to achieve uniformity of the performance of an administrative function or detail instructions for day-to-day or administrative operations. Records include, but are not limited to, procedures, manuals, and supporting documentation.</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                              <b>Active</b></p>

3	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	N1-560-03-004 / 6/c N1-560-06-001 / 11 N1-563-08-003 / 11
	Disposition Instruction	
	Cutoff Instruction	Cut off when superseded or when obsolete
	Retention Period	Destroy 3 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Periodic Reports	
	Disposition Authority Number	DAA-0563-2019-0008-0003
	Periodic reports created and maintained by operational units and submitted to component and/or senior leadership, which are not submitted to Congress, Government Accountability Office (GAO), Office of Management and Budget (OMB), or other oversight authority; are not required under directive, regulation, statute, or public law; and are not covered elsewhere in Agency records control schedules.	
	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?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year
	Retention Period	Destroy 5 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required

4	<p><b>Mission/Operational Directives</b></p> <p>Disposition Authority Number      <b>DAA-0563-2019-0008-0004</b></p> <p>Directives establishing policies, procedures, and/or instructions regarding programs, operations, and activities supporting the missions of the Department of Homeland Security. Missions include preventing terrorism and enhancing security; managing borders; administering immigration laws; cybersecurity; and ensuring disaster resilience. Records include, but are not limited to, directives, background material, comments, and supporting documentation.</p> <p>Final Disposition                      <b>Permanent</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>N1-563-07-004 / 1</b>  <b>N1-563-07-013 / 6</b>  <b>N1-560-10-003 / 2a</b>  <b>N1-560-03-002 / 10</b>  <b>N1-560-03-003 / 3</b>  <b>N1-560-04-007 / 1</b>  <b>N1-560-04-010 / 4</b>  <b>N1-560-04-010 / 5b</b>  <b>N1-560-04-010 / 6</b>  <b>NC1-026-80-004 / 355a</b>  <b>NC1-026-80-004 / 356a</b>  <b>NC1-026-83-003 / 40a</b>  <b>NC1-026-76-002 / 13</b>  <b>NC10-26-76-002 / 91a</b>  <b>NC1-026-76-002 / 101a</b>  <b>NC1-026-76-002 / 170a</b>  <b>NC1-026-76-002 / 171</b>  <b>NC1-026-76-002 / 321a</b>  <b>NC1-026-76-002 / 341a</b>  <b>NC1-026-76-002 / 371a</b>  <b>NC1-026-76-002 / 401a</b>  <b>NC1-026-76-002 / 451</b>  <b>NC1-026-76-002 / 511a</b>  <b>NC1-087-76-001 / 600 / rule 03</b>  <b>NC1-087-78-001 / 000 / rule 06</b>  <b>NC1-087-78-001 / 300 / rule 04</b></p>
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NC1-087-78-001 / 800 / rule 05  
N1-085-01-001 / 1b  
N1-085-01-001 / 1a

### Disposition Instruction

Cutoff Instruction

Cut off when superseded or cancelled

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?

From 2002 To 2007

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

Every 5 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	260 MB	25 MB
Paper	40 Cubic feet	5 Cubic feet
Microform		
Hardcopy or Analog Special Media		

### Administrative Directives

Disposition Authority Number

DAA-0563-2019-0008-0005

Directives establishing policies and procedures regarding administrative, day-to-day, non-mission operations and activities of DHS. Records include, but are not limited to, directives, background materials, comments, and supporting documentation.

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

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6	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NC1-056-78-003 / 6
	Disposition Instruction	
	Cutoff Instruction	Cut off when superseded or cancelled
	Retention Period	Destroy 7 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Executive Delegations of Authority	
	Disposition Authority Number	DAA-0563-2019-0008-0006
	Delegation of authority at the executive level that assign others responsibility for mission related programs and/or functions, and authorizes them to take action on their behalf. Individuals are identified by title or position, not by name. Executive level includes designations such as Secretary, Under-Secretary, Director or Deputy Director, and/or Chief. Records include, but are not limited to, delegations and supporting documentation.	
	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	N1-568-06-001 / 1a N1-568-06-001 / 1b N1-563-07-004 / 2
	Disposition Instruction	
	Cutoff Instruction	Cut off when superseded or cancelled
	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? **From 2002 To 2007**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	50 MB	1 MB
Paper	22 Cubic feet	2 Cubic feet
Microform		
Hardcopy or Analog Special Media		

#### Non-Executive Delegations of Authority

Disposition Authority Number **DAA-0563-2019-0008-0007**

Delegation of authority at the non-executive level that assign others responsibility to accomplish programmatic functions or actions. Records include, but are not limited to, delegations and supporting documentation.

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 **N1-568-06-001 / 1c  
N1-568-06-001 / 2**

#### Disposition Instruction

Cutoff Instruction **Cut off when superseded or cancelled**

Retention Period **Destroy 3 year(s) after cut off**

#### Additional Information

7



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
08/21/2019	Certify	Sara Cheeseman	OBIM Records Officer	Department of Homeland Security - Office of Biometric and Identity Management
02/11/2020	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
02/18/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
02/18/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
02/20/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist