

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		LEAVE BANK (NARA use only)	
		JOB NUMBER <i>NI-563-07-16</i>	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		Date Received <i>9-10-07</i>	
1 FROM (Agency or establishment) <b>Department of Homeland Security</b>		NOTIFICATION TO AGENCY	
2 MAJOR SUB DIVISION <b>Office of Intelligence &amp; Analysis</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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER <b>Kathy Schultz</b>	5 TELEPHONE <b>202-447-5075</b>	DATE <i>5/30/07</i>	ARCHIVIST OF THE UNITED STATES <i>Alma Wank</i>
<b>6 AGENCY CERTIFICATION</b> 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 <u>4</u> 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 <b>8/29/07</b>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Kathleen Schultz</i>		TITLE <b>Senior Records Officer</b>
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
<b>1</b>	<b>See attached sheet(s) for:</b> <b>Office of Intelligence &amp; Analysis (I&amp;A) Program Records</b>  <i>The transfer / accession instruction for the permanent item on this schedule applies only to paper or hardcopy files. When DHS changes the record version from paper to electronic and establishes an electronic recordkeeping system, NARA and DHS will develop appropriate transfer instructions to cover the electronic records.</i>		

**U.S. Department of Homeland Security  
Headquarters Records Schedules**

**Intelligence and Analysis, Office of**

To fulfill the responsibilities and functions listed on the Homeland Security Act of 2002, the mission of the Office of Intelligence & Analysis (I&A) is to provide homeland security intelligence to the Secretary, other government officials, and our State, Local, and Private Sector partners. I&A is a member of the Intelligence Community, and ensures that any information related to protecting the homeland is collected, processed, analyzed and disseminated to the full spectrum of domestic customers. I&A provides threat warning, term/estimative, and alternative analysis. It also provides intelligence support to Infrastructure Protection studies. I&A works closely with DHS Component Intelligence organizations to ensure non-traditional streams of domestic information are fused with traditional sources of information from other members of the Intelligence Community to give a complete picture of potential threats to the nation.

**Unless otherwise noted, all disposition instructions are media neutral; they apply regardless of the media or format of the records.**

**1 Declassification Request Files**

Include request forms, copies of email messages, source documents, and responses indicating outcome of request. Declassification requests are received electronically or hard copy and are authorized by the originating law enforcement agency. Requests are maintained electronically and hard copy and may be used for briefings.

**Disposition:**

TEMPORARY Cut off at end of calendar year  
Destroy or delete 10 years after cutoff

**U.S. Department of Homeland Security  
Headquarters Records Schedules**

**2 Dissemination Files and Lists**

Dissemination files contain finished and current intelligence report information distributed to support the Intelligence Community, DHS Components and Federal, State, Local, Tribal and Foreign Governments. Dissemination lists contain contact information for the distribution of finished and current intelligence reports.

**Disposition:**

TEMPORARY Cut off at end of calendar year  
Destroy or delete 2 years after cutoff

**3 Raw Reporting Files**

Include information Reports that contain raw, unevaluated intelligence on threat reporting originating from operational data (such as Homeland Intelligence Reports) and supporting documentation distributed via email and/or web based posting to support the Intelligence Community, DHS Components, the Private Sector and Federal, State, Local, Tribal and Foreign Governments

**Disposition:**

TEMPORARY Cut off at end of calendar year  
Destroy or delete 30 years after cutoff

**4 Finished Intelligence Case Files**

Include, but is not limited to, finished intelligence and associated background material for products such as Warning Products identifying imminent homeland security threats, Assessments providing intelligence analysis on specific topics, Executive Products providing intelligence reporting to DHS senior leadership, Intelligence Summaries about current intelligence events, and Periodic Reports containing intelligence awareness information for a specific region, sector, or area of interest

**Disposition:**

PERMANENT Cut off at end of calendar year in which case is closed Transfer to the National Archives  
20 years after cutoff

Currently, the official recordkeeping versions of these files are maintained on paper

**U.S. Department of Homeland Security  
Headquarters Records Schedules**

**5 Requests for Information (RFI) / Data Calls**

Requests for information routinely received from DHS Components, the Private Sector, and Federal, State, and Local law enforcement agencies. Requests and responses are assigned an RFI number and catalogued for tracking purposes. Requests, research, responses and supporting documentation are maintained and disseminated electronically and additionally printed to hard copy and filed by FY and RFI number. Includes RFI data in any electronic information system (e.g., Pantheon)

**Disposition:**

TEMPORARY. Cut off at end of calendar year  
Destroy or delete 10 years after cutoff

~~**6 Situation Awareness Reports**~~

~~Provide information on significant incidents/events regarding emerging or potential incidents with possible operational consequences. The reports are compiled daily from submitted to I&A Management.~~

~~**Disposition:**~~

~~TEMPORARY. Cut off at end of calendar year  
Destroy or delete 6 years after cutoff.~~

\* Item 6 is struck-through because it will be covered by a department-wide schedule (N1-563-08-3)

~~**7 Workflow Tracking Systems**~~

~~Contain information pertinent to tracking and maintaining production status~~

~~**Disposition:**~~

~~TEMPORARY. Cut off at end of calendar year  
Destroy or delete 2 years after cutoff.~~

\* Item 7 is struck-through because it is covered by GRS 23 Item 8

**U.S. Department of Homeland Security  
Headquarters Records Schedules**

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**Intelligence and Analysis, Office of**

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To fulfill the responsibilities and functions listed on the Homeland Security Act of 2002, the mission of the Office of Intelligence & Analysis (I&A) is to provide homeland security intelligence to the Secretary, other government officials, and our State, Local, and Private Sector partners. I&A is a member of the Intelligence Community, and ensures that any information related to protecting the homeland is collected, processed, analyzed and disseminated to the full spectrum of domestic customers. I&A provides threat warning, term/estimative, and alternative analysis. It also provides intelligence support to Infrastructure Protection studies. I&A works closely with DHS Component Intelligence organizations to ensure non-traditional streams of domestic information are fused with traditional sources of information from other members of the Intelligence Community to give a complete picture of potential threats to the nation.

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**Unless otherwise noted, all disposition instructions are media neutral; they apply regardless of the media or format of the records.**

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**1 Assessment Report Files**

Recommendations distributed electronically on how to correct gaps in staffing and services based on information gathered during assessments of the individual Fusion Centers.

**Disposition:**

TEMPORARY. Cut off at end of calendar year. Destroy or delete 2 years after cutoff.

**2 Bulletin**

Intelligence publications that are produced periodically to provide analysis and evaluations on intelligence information relevant to homeland security.

**Disposition:**

TEMPORARY. Cut off at end of calendar year in which bulletin is produced, or when obsolete. Destroy or delete 10 years after cutoff

**U.S. Department of Homeland Security  
Headquarters Records Schedules**

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**3 Declassification Requests**

Declassification requests are received electronically or hard copy and are authorized by the originating law enforcement agency. Requests are maintained electronically and hard copy and may be used for briefings.

**Disposition:**

a. Paper Copies  
TEMPORARY. Cut off at end of calendar year. Destroy or delete 30 years after cutoff.

b. Electronic Copies  
TEMPORARY. Cut off at end of calendar year. After electronic information is verified against the hard copy file, purge file and destroy or delete 2 years after cutoff or when no longer needed for business purposes.

**4 Dissemination Files and Lists**

a. Dissemination Files  
Information distributed via email and/or web based posting to support the Intelligence Community, DHS Components and Federal, State, Local, Tribal and Foreign Governments.

b. Dissemination lists  
Electronic and hard copy listings of contacts for the distribution of finished and current intelligence reports.

**Disposition:**

TEMPORARY. Cut off at end of calendar year. Destroy or delete 2 years after cutoff.

**5 Production and Reporting Files / Finished and Current Intelligence**

Includes daily intelligence reports, briefings, binders, and supporting documentation distributed via email and/or web based posting to support the Intelligence Community, DHS Components and Federal, State, Local, Tribal and Foreign Governments. Information is received, assessed, analyzed and reported and serves as unique documentation and may include collections, feedback reporting, and source acquisition, assessment, and debriefing.

**Disposition:**

TEMPORARY. Cut off at end of calendar year. Destroy or delete 30 years after cutoff.

**U.S. Department of Homeland Security  
Headquarters Records Schedules**

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**6 Production and Reporting Files / Significant Intelligence Files**

Significant intelligence files are those case files that: 1) attract national media or Congressional attention; or 2) result in substantive changes in DHS or the Intelligence Community policies and procedures and will be selected by the DHS Chief Intelligence Officer based on these criteria.

**Disposition:**

PERMANENT. Cut off at end of calendar year in which case is closed. Offer to the National Archives for permanent retention 30 years after cutoff.

**7 Production and Reporting Files / Support Documentation**

Documents that support the development of production and reporting files, including source documents, backup and supporting data, and other similar documents.

**Disposition:**

TEMPORARY. Cut off at end of calendar year. Destroy or delete 30 years after cutoff.

**8 Program Development Files**

Records which support the development of new programs. Includes standards, policies, and supporting documentation that help manage and maintain the program.

**Disposition:**

PERMANENT. Cut off annually. Transfer to NARA 10 years after cutoff.

**9 Requests for Information (RFI)**

**a. Reporting Files**

Requests for information routinely received via e-mail from DHS Components, Federal, State, and Local law enforcement agencies. Requests and responses are assigned an RFI number and catalogued in an Access database for tracking purposes. Requests, research, responses and supporting documentation are maintained and disseminated electronically and additionally printed to hard copy and filed by FY and RFI number.

**Disposition:**

**1) Paper Copies**

TEMPORARY. Cut off at end of calendar year. Destroy or delete 30 years after cutoff.

**2) Electronic Copies**

TEMPORARY. Cut off at end of calendar year. After electronic information is verified against the hard copy file, purge file and destroy or delete 2 years after cutoff or when no longer needed for business purposes.

**b. Tasking Orders**

Information relative to initiating tasking requests for information to other DHS components and divisions, State and Local Fusion Centers, and the intelligence community.

**U.S. Department of Homeland Security  
Headquarters Records Schedules**

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**10 Situation Awareness Reports**

Provide information on significant incidents/events regarding emerging or potential incidents with possible operational consequences. The reports are compiled daily from submitted to I&A Management.

**Disposition:**

TEMPORARY. Cut off at end of calendar year Destroy 6 years after cutoff