

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MID 20740-6001		JOB NUMBER <i>NI-563-08-4</i>	
1 FROM (Agency or establishment) Department of Homeland Security		Date Received <i>1-7-2008</i>	
2 MAJOR SUB DIVISION		NOTIFICATION TO AGENCY	
3 MINOR SUBDIVISION		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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
4 NAME OF PERSON WITH WHOM TO CONFER Kathy Schultz	5 TELEPHONE 202-447-5075	DATE <i>1-29-09</i>	ARCHIVIST OF THE UNITED STATES <i>Adrian Thomas</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 <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 12/18/07	SIGNATURE OF AGENCY REPRESENTATIVE <i>Kathleen A. Schultz</i>		TITLE Senior Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1	See attached sheet(s) for: Investigative Files		

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

Department of Homeland Security

N1-503-08-4

Investigations may be undertaken for any Department of Homeland Security (DHS) employee or contractor who is suspected of criminal activity including known or alleged fraud and abuse, and irregularities and violations of laws and regulations. Other investigations include those background investigations conducted on employee and contractor personnel for security and/or suitability purposes, criminal and non-criminal intelligence investigations of persons, groups or organizations that involve, or could involve, the use of threats, force or violence, and security investigations involving alleged crimes against DHS or its employees.

Documents contained in the files may include, but are not limited to, investigative reports and related documents, such as correspondence, notes, attachments and working papers. Also included may be statements by suspects, personal history summaries on suspects, photos, court documents and newspaper clippings.

Guidance It is the responsibility of DHS personnel to dispose of duplicate records and other non-records materials that do not have lasting administrative or legal value. Any evidence and other materials retained at the close of a case will be considered part of the case file. All retention provisions in the schedule apply to both the case file and any retained evidence or other related case materials.

[If the investigation is program specific and has a current records disposition schedule (ex. OIG, CRCL) file and retain the document according to the program records disposition schedule.]

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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 Counterintelligence Case Files

Documentation of activities designed to identify and prevent potential threats within all DHS components. These files may also contain executive summaries written by Division personnel used to brief the Secretary and Executive Secretariat. In addition, other Federal agencies may send copies of counterintelligence reports for reference to current DHS cases or the case file may contain "derivative memos" that describe a threat assessment compiled by outside sources.

Disposition:

TEMPORARY Cut off at the end of the fiscal year when the case is closed. Destroy 20 years after cut off.

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2 Criminal Investigation Case Files

Case files developed during investigations of known or alleged fraud and abuse, and irregularities and violations of laws and regulations. The case files are related to DHS personnel and programs administered or financed by DHS, including contractors and others having a relationship with DHS.

Disposition:

TEMPORARY Cut off at end of the fiscal year in which the case is closed. Destroy 20 years after cut off.

3 Non-Referral Files

Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation. They include anonymous vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files providing general information which may prove useful in investigations.

Disposition:

TEMPORARY Destroy when 5 years old.