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| REQUEST FOR RECORDS DISPOSITION AUTHORITY | | LEAVE BLANK (NARA use only) | |
| To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001 | | JOB NUMBER <i>NI-563-04-1</i> | |
| 1 FROM (Agency or establishment) Department of Homeland Security | | Date Received <i>10-5-06</i> | |
| 2 MAJOR SUB DIVISION Office of the Executive Secretary | | NOTIFICATION TO AGENCY 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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 | |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 Kathy Schultz | 5 TELEPHONE (202) 692-4220 | DATE <i>5/14/08</i> | ARCHIVIST OF THE UNITED STATES <i>Alan W...</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>2</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 2/9/04 | SIGNATURE OF AGENCY REPRESENTATIVE <i>Kathy 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| 7 ITEM NO | 8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9 GRS OR SUPERSEDED JOB CITATION | 10 ACTION TAKEN (NARA USE ONLY) |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 | Executive Correspondence Tracking and Management System See attached sheets. <i>* Outputs & system documentation are scheduled under GRS 20.</i> <i>Note: Media neutrality was not requested.</i> | | |

LE 6/5/08 copies to sent to agency, NWMB, NWME, NWOMW, & DWCT-2P

U.S. Department of Homeland Security Office of the Executive Secretariat

This schedule will apply to officials/appointees and respective Components reporting directly to the immediate Office of the Secretary of Homeland Security.

Office of the Executive Secretariat

The Department of Homeland Security (DHS) Office of the Executive Secretariat (ExecSec) coordinates Department-wide review and analysis of policy initiatives, regulations, testimony, correspondence, memoranda, reports, and briefing material for the Secretary, Deputy Secretary, and Chief of Staff. The ExecSec also coordinates or undertakes special projects at the request of the Secretary, Deputy Secretary, and the Chief of Staff.

One of the primary responsibilities of the ExecSec is to maintain the record copy of correspondence for the Secretary, Deputy Secretary and the Chief of Staff. The ExecSec primary responsibilities include: ensures the prompt and proper coordination of information and policy documents to and from the department's Principals, directorates, overseas posts and other government agencies; reviews, tracks, and responds to all correspondence received within the Office of the Secretary; facilitates achievement of the Department's goals by establishing protocol and procedures to be implemented by all offices.

Intranet Quorum (IQ) Correspondence and Document Management System

- Records appraised on another schedule*
- ~~1. **Inputs.** Information used to populate the system consists of incoming and outgoing correspondence, electronic mail, reports, policy and planning documents, briefing books, invitations, Questions for the Record (QFRs), and samples of write-in campaigns.~~

~~NOTE: Refer to Job Number N1-563-07-13 for disposition instructions for inputs.~~

- Master Data Files.** Contains electronic ~~images~~ ^{versions} and associated metadata of unclassified incoming and outgoing letters, internal memoranda, e-mails, reports, plans, policy documents, briefing books, invitations, and Questions for the Record (QFRs). After the incoming document is scanned, the electronic version is sent to a departmental office for the development of a response for the Secretary's signature, or signature of an appropriate official at Homeland Security. The system tracks the assignment of responses with deadlines, maintaining scanned images of incoming and outgoing letters. The system does not contain any scanned images of classified documents. Data fields include assigned profile number, document date, from and to, title or subject, required action, and action taken.

Disposition: **TEMPORARY.** Cut off files at the end of the fiscal year in which the record was created in the system. Destroy 10 years after cutoff.

change approved via e-mail 2/4/08 HPC

DEPARTMENT OF HOMELAND SECURITY

Correspondence Tracking and Management

This schedule will apply to officials/appointees and respective Components reporting directly to the immediate Office of the Secretary of Homeland Security. This schedule is media neutral.

The Executive Secretariat coordinates Department-wide review and analysis of policy initiatives, regulations, testimony, correspondence, memoranda, reports, and briefing material for the Secretary, Deputy Secretary, and Chief of Staff. The Executive Secretariat also coordinates or undertakes special projects at the request of the Secretary, Deputy Secretary, and the Chief of Staff.

One of the primary responsibilities of the Office of the Executive Secretariat is to maintain the record copy of correspondence for the Secretary, Deputy Secretary and the Chief of Staff. The Executive Secretariat primary responsibilities include: ensures the prompt and proper coordination of information and policy documents to and from the Department's principals, Directorates, overseas posts and other government agencies; reviews, tracks, and responds to all correspondence received on behalf of the Office of the Secretary; facilitates achievement of the Department's goals by establishing protocol and procedures to be implemented by all offices.

1. Correspondence Tracking and Management System

The Electronic Business Process Management system is used to maintain unclassified incoming and outgoing executive correspondence within Department of Homeland Security offices, internal memoranda, e-mails and related attachments or enclosures. There are no scanned images of classified documents, but some relevant metadata from classified documents received is entered into the system. This system contains some records categories such as chronological files, trip books, briefing books and invitations.

a. Input

Information used to populate the system consists of incoming and outgoing correspondence, directives, appointment letters, internal briefing and decision memorandums, and some attachments and enclosures.

i. Official Correspondence. This system contains copies of incoming and outgoing correspondence, memoranda, e-mails, and other documents requiring actions by the Secretary, Deputy Secretary or the Chief of Staff. These records document the Department's programs, policies, procedures, decisions, and other program-related or policy-related management issues. This system tracks correspondence with the private sector, internal Department offices, and other government agencies, including the White House and Congress. Also includes Briefing Books, Congressional Mail, Citizen Mail and White House Referrals (official, non-citizen mail).

Disposition for Paper Records

TEMPORARY. Destroy paper records after they have been digitized and verified within the Correspondence Tracking and Management System, Master Files (Item 1.b.). (See the Executive Level Records Schedule for exceptions.)

Electronic Records. Refer to Correspondence Tracking and Management System, Master Files (Item 1.,b.,i. – vi.).

ii. **Classified Correspondence and associated unclassified spreadsheet.** Unclassified description logged into unclassified spreadsheet. Classified documents stored in approved storage container.

PERMANENT. Cut off at end of Calendar Year. Transfer to the National Archives 5 years after cut off.

iii. **Write-in Campaigns.** 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.

TEMPORARY. Destroy after sample has been forwarded to appropriate component with related tally.

b. Master File

Electronic images and associated data of unclassified incoming and outgoing letters, internal memoranda, e-mails, and related attachments and enclosures. After the incoming letter is scanned, the electronic version is sent to a departmental office for the development of a response for the Secretary's signature, or signature of an appropriate official at Homeland Security. The system tracks the assignment of responses with deadlines, maintaining scanned images of incoming and outgoing letters. The system does not contain any scanned images of classified documents. Data fields include assigned profile number, document date, from and to, title or subject, required action, and action taken. (Records are defined having an ECT Task Identifier as categorized in items i.– vi. which enables a distinction between permanent and temporary dispositions.)

- i. **Official Correspondence**
- ii. **Briefing Book**
- iii. **Congressional Mail**
- iv. **White House Referrals** (official business mail)

PERMANENT. Cut off files at end of Calendar Year of last action. Transfer electronic copy to the National Archives for pre-accessioning one year after cut off. (In accordance with NARA Bulletin 2004-02). Transfer to the legal custody of the National Archives 10 years after cut off (in accordance with NARA regulations at 36 CFR 1228.270.).

- v. **Citizen Mail**
- vi. **White House Referrals** (forwarded citizen mail)

TEMPORARY. Cut off files at end of Calendar Year of last action. Delete 10 years after cut off.

c. Outputs

This system generates some standard reports such as reports that summarize pending workload, preparer workgroup statistics, and status of suspense. These reports are generated on an ad hoc basis.

TEMPORARY. Destroy when no longer required for business purposes or according to the disposition schedules of the components to which the reports were transferred.

d. System Documentation

System and file specifications; codebooks; record layouts; data dictionaries; user manuals; and final reports, regardless of medium.

PERMANENT. Maintain for the life of the system. Transfer copy and any updates to National Archives when transferring pre-accessioned records.