

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-563-07-3</i>	
1 FROM (Agency or establishment) Department of Homeland Security		Date Received <i>2-22-2007</i>	
2 MAJOR SUB DIVISION Office of Public Affairs		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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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>1/31/08</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</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>3</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 1/31/07	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 GRS OR SUPERSEDED JOB CITATION	10.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: History Office		
<i>20 1/11/08 copies sent to agency, NWMS, NOME, NWMW, NWES, NWCT, & NR</i>			

**Records Disposition Schedule
Department of Homeland Security
Public Affairs, History Office**

The History Office, under the leadership of the Chief Historian, produces historical studies and provides historical information and analysis to support senior leadership decision and policymaking. The History Office also oversees an Oral History Program, recording and transcribing interviews with current and former leaders and employees of the Department of Homeland Security (DHS). Additionally, the History Office maintains a collection of background reference files that document the history of the department for use in the preparation of departmental histories and for eventual use by the entire department.

Unless otherwise noted, these disposition instructions are media neutral, they apply regardless of the media or format of the records

1. History Office Project Files

These records consist of published and unpublished historical studies, historical information and analysis to support senior leadership decision and policy making and background research files used in preparation of History Office products

a. Historical Collection Files

Includes published and unpublished studies and research projects on the history of the Department of Homeland Security and related historical topics in the form of articles, manuscripts, white papers, presentations, report, chronologies, and other products

1) Electronic Records

Disposition: PERMANENT: Cut off annually. Transfer to NARA 5 years after cutoff according to NARA transfer guidance and regulations

2) Paper Records

Disposition: PERMANENT: Cut off annually and place in inactive file. Transfer to NARA 10 years after cutoff

b. Background Research Files

Resource documents used in the preparation of History Office products. Includes, but not limited to, copies of speeches, congressional testimony, daily briefings, decision memorandums, editorial notes, prepared statements, press releases, remarks, reports, research notes, articles from magazines and newspapers, papers, publications, correspondence, and other documents. Also includes finding aids and tracking systems, Access databases or similar, which contain data fields necessary to find materials in the background research files

Disposition: TEMPORARY: Destroy when no longer need for administrative purposes.

2. Oral History Program

Oral History is a method of gathering and preserving historical information through recorded interviews with participants in past events and social and business organizations. It can also be said that Oral History is a disciplined conversation between two people about some aspect of the past considered to be of historical significance and intentionally recorded. An Oral History can reveal "the story underneath the story," social history, memories of a specific event, or document the career of a noteworthy individual. The DHS Oral History Program interviews DHS employees and former employees, including political appointees, civilian and military personnel assigned or detailed to DHS, and other individuals who volunteer to be

interviewed to provide information on the history of the creation and continuing development of the DHS

The interviewer gathers background information to develop interview questions and insure that the information given by the interviewee is accurate. The interview results in the creation of some form of audio and/or video recording, cassette tapes, CDs, VHS, etc. Transcripts are created for most interviews. Interviewees may sign a Deed of Gift and an Access Agreement. These agreements may contain restrictions on the availability of the audio and/or video recordings and transcripts and instructions on how these materials may be used

Background/research materials provide the basis and foundation for conducting the interview and may be referred to by the interviewer to ensure that answers to questions are comprehensive and as accurate as possible

Finding aids and indices, as well as procedures documenting each phase of the program, facilitate finding specific information and provide a basis for achieving the goals of the program

a. Oral History Audio or Video Recordings, Transcripts, Access Agreements, Deeds of Gifts, and Restrictions

The voice and/or video recordings of actual interviews conducted, accompanied by the corresponding written transcriptions and any agreements with the person being interviewed, setting specific handling requirements for releasing, lending, as well as any restrictions placed on access to the Oral History Interviews or Transcripts. The recording medium may vary, depending on technology, as well as the length and purpose of the interview. Interviews began in 2004 and it is projected that written transcripts will begin in 2008.

1) Federal Employee Interviews. Records of interviews with federal employees while on-duty

Disposition: PERMANENT: Cut off at end of the calendar year in which the recording is created. Transfer in blocks of 2 years, 5 years after cutoff

2) Non-Federal Employee Interviews. Records of interviews with federal employees in a non-duty status, federal employees no longer federally-employed, and individuals who have never been federally-employed

Note: These records are eligible for donation to the National Archives and must be accompanied by a Deed of Gift

* Non-Records

b. Finding Aids/Tracking Systems - Access database, or similar, which contains data fields necessary to find information regarding interviews, transcripts, list of prospective interviewees and interview dates

Disposition: PERMANENT. Transfer an up-to-date version of the database to NARA along with each new block of Oral History Transcripts.

According to NARA transfer guidance and regulations:

c. Background/Research Materials - Information gathered from various resources used to construct questions or provide the basis for a particular interview

Disposition: TEMPORARY: Destroy when no longer needed for administrative and research use

3. History Office Program Management Files

Records that serve as unique documentation of historical programs and functions
Documents relate to internal policies, procedures, guidelines, or other instructional material that deal with publications of historical studies, the Oral History Program, and a wide range of subjects such as preservation of historical records, historical inquiries, and records policy

1) Electronic Records

Disposition: PERMANENT; Cut off annually. Transfer to NARA 5 years after cutoff according to NARA transfer guidance and regulations.

2) Paper Records

Disposition: PERMANENT; Cut off annually and place in inactive file. Transfer to NARA 10 years after cutoff

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Public Affairs, History Office**

The History Office, under the leadership of the Chief Historian, produces historical studies and provides historical information and analysis to support senior leadership decision and policymaking. The History Office also oversees an Oral History Program, recording and transcribing interviews with current and former leaders and employees of the Department of Homeland Security (DHS). Additionally, the History Office maintains a collection of background reference files that document the history of the department for use in the preparation of departmental histories and for eventual use by the entire department.

1. History Office Project Files

These records consist of published and unpublished historical studies, historical information and analysis to support senior leadership decision and policy making and background research files used in preparation of History Office products.

a. Historical Collection Files

Includes published and unpublished studies and research projects on the history of the Department of Homeland Security and related historical topics in the form of articles, manuscripts, white papers, presentations, report, chronologies, and other products.

Disposition: PERMANENT: Cut off annually. Transfer to the Federal Records Center in blocks of five years [insert language about blocks]. Transfer to the National Archives and Records Administration (NARA) in blocks of five years 30 years after cut off [insert language about blocks].

b. Background Research Files

Resource documents used in the preparation of History Office products. Includes, but not limited to, copies of speeches, congressional testimony, daily briefings, decision memorandums, editorial notes, prepared statements, press releases, remarks, reports, research notes, articles from magazines and newspapers, papers, publications, correspondence, and other documents. Also includes finding aids and tracking systems, Access databases or similar, which contain data fields necessary to find materials in the background research files

Disposition: TEMPORARY: Destroy when no longer need for administrative purposes.

2. Oral History Program

Oral History is a method of gathering and preserving historical information through recorded interviews with participants in past events and social and business organizations. It can also be said that Oral History is a disciplined conversation between two people about some aspect of the past considered to be of historical significance and intentionally recorded. An Oral History can reveal "the story underneath the story," social history, memories of a specific event, or document the career of a noteworthy individual. The DHS Oral History Program interviews DHS employees and former employees, including political appointees, civilian and military personnel assigned or detailed to DHS, and other individuals who volunteer to be interviewed to provide information on the history of the creation and continuing development of the DHS

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Background/research materials provide the basis and foundation for conducting the interview and may be referred to by the interviewer to ensure that answers to questions are comprehensive and as accurate as possible.

Finding aids and indices, as well as procedures documenting each phase of the program, facilitate finding specific information and provide a basis for achieving the goals of the program

a. Oral History Audio or Video Recordings, Transcripts, Access Agreements, Deeds of Gifts, and Restrictions

The voice and/or video recordings of actual interviews conducted, accompanied by the corresponding written transcriptions and any agreements with the person being interviewed, setting specific handling requirements for releasing, lending, as well as any restrictions placed on access to the Oral History Interviews or Transcripts. The recording medium may vary, depending on technology, as well as the length and purpose of the interview. Interviews began in 2004 and it is projected that written transcripts will begin in 2008.

Disposition: PERMANENT: Cut off one year after the final transcript is completed. Transfer to NARA in blocks of 5 years, 20 years after cutoff. [insert language about blocks.]

b. Finding Aids/Tracking Systems - Access database, or similar, which contains data fields necessary to find information regarding interviews, transcripts, list of prospective interviewees and interview dates

Disposition: PERMANENT. Transfer an up-to-date version of the database to NARA along with each new block of Oral History Transcripts.

c. Background/Research Materials – Information gathered from various resources used to construct questions or provide the basis for a particular interview.

Disposition: TEMPORARY: Destroy when no longer needed for administrative and research use.

3. History Office Program Management Files

These records document the management of the history office and its programs.

a. History Office Documentation Files

Records that serve as unique documentation of historical programs and functions. Documents relate to internal policies, procedures, guidelines, or other instructional material that deal with publications of historical studies, the Oral History Program, and a wide range of subjects such as preservation of historical records, historical inquiries, and records policy.

Disposition: PERMANENT. Cut off annually. Transfer to the Federal Records Center in blocks of five years [insert language about blocks]. Transfer to NARA in blocks of five years 30 years after cut off [insert language about blocks].

b. Administrative Files

Records accumulated by the office that relate to the internal administrative or housekeeping activities of the office. These records relate to office organization, staffing, and communications; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities.

Disposition: TEMPORARY. Destroy when 6 years old or when no longer needed for administrative, legal, fiscal, audit or other operational purposes, whichever is later.