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*"Rummaging in the government's attic"*

Description of document: **Correspondence between the National Archives and Records Administration (NARA) and the Department of Homeland Security (DHS), 2001 - 2008**

Requested date: 20-June-2008  
Appeal date: 23-October-2008

Released date: 10-October-2008  
Appeal response: 24-April-2009

Posted date: 11-December-2008  
Update posted: 12-October-2009

Source of document: FOIA Officer  
National Archives and Records Administration  
NGC-Room 3110  
8601 Adelphi Road  
College Park, MD 20740  
Telephone: (301) 837-FOIA (3642)  
FAX: (301) 837-0293

Note: An additional 393 pages were released under appeal of original determination to withhold 416 pages. The newly released pages have been appended to this file and start on page 705.

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# *National Archives and Records Administration*

8601 Adelphi Road  
College Park, Maryland 20740-6001

October 10, 2008

## Re: Freedom of Information Act Request NGC08-195

This is in response to your Freedom of Information Act (FOIA) request of June 20, 2008, for correspondence between the National Archives and Records Administration (NARA) and the Department of Homeland Security from January 1, 2001 to the present. Your request was received in this office on June 26, 2008, and assigned tracking number NGC08-195. On June 27, 2008, you narrowed your request to include only records from the Office of Record Services and the Office of the Archivist. I apologize for the delay in our response.

We located a total of 1,174 pages responsive to your request. Four hundred and sixteen pages are being withheld in full pursuant to 5 U.S.C. 552(b)(5), the deliberative process privilege. Ten pages are being withheld in part and released in part pursuant to 5 U.S.C. 552(b)(5), the deliberative process privilege. Nine pages are being withheld in part and released in part pursuant to 5 U.S.C. 552(b)(6), privacy. Fifty-seven pages have been identified as containing no substantive content other than e-mail signatures and declared to be "non-responsive." The remaining 682 pages are being released in full and are enclosed.

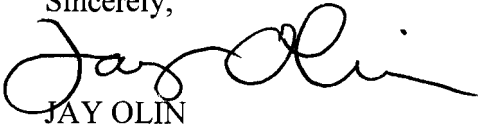
You agreed to pay up to \$132.00 for costs associated with this request. Per OMB guidelines, we are allowed to charge \$0.20 for reproductions. According to 36 CFR § 1250.52 (c), you will not be charged for the first 100 pages duplicated. To cover the fees associated with the remaining 601 pages of reproductions enclosed, please send a check made out to NARA for \$120.20 to my attention in Room 3110 at the above address.

If you are not satisfied with our action on this request, you have the right to file an administrative appeal. Address your appeal to the Deputy Archivist (ND), National Archives and Records Administration, College Park, Maryland 20740. Your appeal should be received within 35 calendar days of the date of this letter and it should explain why you think this response does not meet the requirements of the FOIA. Both the letter and the envelope should be clearly marked "Freedom of Information Act Appeal." All correspondence should reference the tracking number NGC08-195.



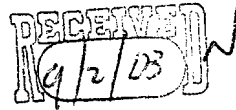
Please let us know if we may be of further assistance.

Sincerely,

A handwritten signature in black ink, appearing to read "Jay Olin", with a stylized flourish at the end.

JAY OLIN  
Deputy FOIA Officer  
Office of General Counsel

Enclosures



# U.S. Department of Homeland Security

Office of the Secretary

August 29, 2003

Mr. John W. Carlin  
Archivist of the United States  
8601 Adelphi Road  
College Park, Maryland 20740-6001

Dear Mr. Carlin:

Thank you for your letter dated July 31, 2003, requesting that the re-dedication of the Rotunda of the National Archives building and the re-display of our national historical documents be designated a National Special Security Event (NSSE). After careful consideration, this letter is to advise you that the event at the National Archives building will not be designated an NSSE.

Regardless of the NSSE designation, the appropriate federal agencies will continue to provide security planning assistance. The FBI can continue to provide assistance on crisis management and the Emergency Preparedness and Response Directorate of the Department of Homeland Security can provide assistance on consequence management to ensure a safe and secure environment.

Finally, I commend you, your staff and the event planners in Washington, D.C., for the security plan you have been working on so diligently. As you know, because of the expected attendance of many high-ranking government officials and distinguished guests at this event, the U.S. Secret Service will continue to work closely with you. The re-dedication of the National Archives Rotunda and the re-display of our national historical documents will generate great interest and showcase your hard work. I wish you great success with this event.

Sincerely,

Tom Ridge

cc:

The Honorable John Ashcroft  
Attorney General

The Honorable John Snow  
Secretary of Treasury

MAR - 6 2003

The Honorable Tom Ridge  
Secretary  
U.S. Department of Homeland Security  
Washington, D.C. 20528

Dear Secretary Ridge:

It was a pleasure to speak with you at the recent "Retiring to a New Beginning" ceremony for the Immigration and Naturalization Service (INS) on February 27, 2003. The INS has had a long and admirable history in the Department of Justice, and I am sure the INS staff will serve the new Department of Homeland Security and the American people equally well. I would like to take the opportunity to recap our discussion concerning the importance of records and information management, and summarize the activities that staff from the National Archives and Records Administration (NARA) have initiated to assist in addressing the issues we discussed.

Since November, 2002, a team of NARA senior managers and staff has met with senior managers and staff in the Office of Homeland Security, the Homeland Security Transition Planning Office, and the Office of Management and Budget, to help develop a centralized records and information management program for the new Department of Homeland Security (DHS). We worked closely with DHS staff to develop a DHS records management handbook, provided senior DHS managers with practical information on how to organize a successful records and information management program, and also provided a set of practical tools for DHS senior management to assure that all DHS electronic systems and information are appropriately managed and preserved. Beginning in January, 2003, a team of NARA archivists, under our Targeted Assistance Partnership initiative with DHS, has met regularly with Transition Office and DHS staff in the Management Directorate to identify critical records and information management priorities as the reorganization progresses.

Thank you again for taking the time to discuss with me our mutual interests in promoting effective records management in DHS. We are committed to assisting you and all DHS components in meeting the records and information management challenges that lie ahead. We look forward to working with DHS and the records management planning team. If you have any questions about our Targeted Assistance initiative with DHS, please do not hesitate to contact Michael Kurtz, Assistant Archivist for Records Services--Washington, D.C., on 301-837-3110.

Sincerely,

**JOHN W. CARLIN**

JOHN W. CARLIN  
Archivist of the United States

Official file - NWML  
Day file - NWML

**File: 1311.1a Department of Homeland Security**

cc: N  
NCON  
NW  
NWML (Baume)  
NWML (Willis)  
NWML (Hawkins)

Doc: s:\correspondence\Ridge letter from N.doc

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

JUL 31 2003

The Honorable Thomas J. Ridge  
Secretary of the U.S. Department of Homeland Security  
Washington, DC 20528

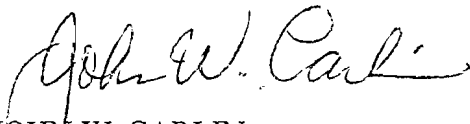
Dear Mr. Secretary:

On September 17, 2003, The National Archives and Records Administration will re-display the Declaration of Independence, the United States Constitution, and the Bill of Rights in the newly renovated Rotunda of the National Archives Building in Washington, DC. The documents were removed from public display in July 2001, in preparation for the building renovation.

Guest invited to the event include the President of the United States, the President pro tempore of the Senate, the Senate Majority and Democratic Leader, the Speaker, the Majority Leader and the Democratic Leader of the House of Representatives, the Chief Justice of the Supreme Court, the Governors of the original thirteen colonies, former Presidents of the United States, and other senior members of the United States Government. In total, approximately 200 distinguished guests will be attending.

The re-dedication of the Rotunda of the National Archives Building and the re-display of the documents will be a significant symbolic national historical event. We expect broad live media coverage. I believe the Department of Homeland Security should consider this occasion to be a National Special Security Event.

Your assistance in this event will be greatly appreciated.

  
JOHN W. CARLIN  
Archivist of the United States

JUL 7 2004

The Honorable  
Tom Ridge  
Secretary of Homeland Security  
Washington, DC 20528

Dear Mr. Secretary:

September 11, 2001, is a pivotal moment in our history. The terrorist attacks on the United States have had far-reaching effects on our country and the world, and, therefore, the United States Government must preserve the fullest possible documentation on those events. To that end, the National Archives and Records Administration is working with the National Commission on Terrorist Attacks Upon the United States ("9/11 Commission") to ensure the proper disposition of its records.

The Commission informs us that your agency, in addition to providing it with copies of documents, also loaned to the Commission or made available to its staff in your agency's offices certain documents that the Commission was not permitted to retain. Those materials tell an important part of the story of September 11 and the Commission's work. As you can see from the enclosed letter, the Commission has urged us to ensure that those materials are preserved along with those of the Commission.

We have determined that the collections of documents loaned to the Commission or made available or briefed to Commission staff in your agency's offices must be preserved as ancillary files to the records of the Commission itself. For your convenience, we have prepared the enclosed SF 115, Request for Records Disposition Authority, to cover those records. Please have your records officer or other designated official complete block 6, sign, date, and return the form to us within 30 days of the date of this letter.

The proposed schedule calls for the transfer of the records when the records of the Commission itself are transferred to the National Archives. That transfer will take place within two months of the Commission issuing its final report. It is standard practice for temporary commissions to transfer their records to the National Archives upon termination. Since the materials held by your agency are so closely

related to the records of the Commission, we believe that it is appropriate that they be transferred at the same time. This will also remove the burden of storing those materials from your agency. If, however, transfer that soon is not possible, please submit a revised SF 115 that provides a transfer date consistent with 44 USC 2107(2), which mandates the transfer of permanent records to NARA when no more than 30 years old, unless the records are needed for day-to-day agency business.

We appreciate your cooperation in dealing with these significant files. Please contact Paul M. Wester, Jr., Director of the Life Cycle Management Division, on 301-837-3120 if you have any questions. David Langbart is handling our liaison with the Commission. He can be reached on 301-837-3172.

Sincerely,

JOHN W. CARLIN

JOHN W. CARLIN  
Archivist of the United States

Enclosures

cc: Kathy Schultz, DHS Records Officer  
John Mitnick, Commission Contact

Official File-NWML  
Reading File-NWML  
-N

cc: Langbart  
Armentrout  
Hunsaker  
Kathy Schultz, DHS  
John Mitnick, DHS

doc: s:\correspondence\911.commission.DHS.letter

file: 1301-1a DEPARTMENT OF HOMELAND SECURITY

Drafted by: Langbart

DL/dl/6/30/04

August 27, 2004

Ms. Kathy Schultz  
Department of Homeland Security  
7th and D Street SW  
Washington, DC 20528

Dear Ms. Schultz:

This is a follow-up to the July 7, 2004, letter of the Archivist of the United to the head of your agency concerning collections of materials prepared for use by the National Commission on Terrorist Attacks Upon the United States ("9/11 Commission").

Enclosed with the letter was an SF 115, Request for Records Disposition Authority, designating the copies of materials loaned, made available, or briefed to the Commission as permanent. We requested return of the signed SF 115 within 30 days. We have yet to hear from your agency and would appreciate it if you would look into the status of the schedule at your agency and report back to us by September 10, 2004.

Thank you for your cooperation. Please contact David Langbart via e-mail at <[david.langbart@nara.gov](mailto:david.langbart@nara.gov)> or by telephone on 301-1837-3172 with your report or if you have any questions.

Sincerely,

PAUL M. WESTER, JR.  
Director  
Life Cycle Management Division



Official File-NWML  
Reading File-NWML

cc: Langbart  
Hawkins

doc:s:\correspondence\911.commission.tickle.DHS.letter

file:1301-1a: DEPARTMENT OF HOMELAND SECURITY

Drafted by: Langbart

DL  
3/24/04 DL/dl/8/24/04

July 7, 2004

Ms. Kathy Schultz  
Departmental Records Officer  
Department of Homeland Security  
7<sup>th</sup> and D Street SW  
Washington, DC 20528

Dear Ms. Schulz:

A copy of the Department of Homeland's (DHS) Management Directive 11042 entitled, "Safeguarding Sensitive But Unclassified (For Official Use Only) Information," issued on May 11, 2004, was recently reviewed by the National Archives and Records Administration (NARA). We believe the directive as written may permit the unauthorized destruction of Federal records and should be revised.

The directive does not contain statutory records management requirements and incorrectly suggests under item 6K1, that DHS records can be "destroyed when no longer needed." Items I4, 6K1(c), 6L1, 6L2 and 6L3 discuss the inadvertent loss of records without the citing the statutory reporting requirements as listed in 36 CFR 1220.104.

Appropriate records management regulations should be inserted to ensure that Federal records will only be destroyed in accordance with the General Records Schedules (GRS) or NARA approved DHS record schedules as authorized by 36 CFR 1220.38b. The insertion of statutory records management language into all DHS directives along with guidance to contact the Departmental Records Officer for additional records management information will assist proper recordkeeping requirements throughout the Department.



We look forward to working with you on this matter. If you have any questions regarding this matter, please contact Larry Baume of my staff at (301) 837-1505.

Sincerely,

HOWARD P. LOWELL  
Director  
Modern Records Programs

Cc: NWM Reading File  
NWML Reading File  
Official File 1301-1a Correspondence Department of Homeland Security  
Prep: WLogan 6/23/04 Doc Name: S:/DHS Letter 6.23.04.doc

Wl/sg/07/07/04

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

July 7, 2004

Ms. Kathy Schultz  
Departmental Records Officer  
Department of Homeland Security  
7<sup>th</sup> and D Street SW  
Washington, DC 20528

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Sincerely,

HOWARD P. LOWELL  
Director  
Modern Records Programs

MAR - 6 2003

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Secretary  
U.S. Department of Homeland Security  
Washington, D.C. 20528

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Sincerely,

JOHN W. CARLIN

 JOHN W. CARLIN  
Archivist of the United States

Official file - NWML

**File: 1311.1a Department of Homeland Security**

Day file - NWML

cc: N  
NCON  
NW  
NWML (Baume)  
NWML (Willis)  
NWML (Hawkins)

Doc: s:\correspondence\Ridge letter from N.doc

**Julie Hunsaker - Revised Records Schedule for OIG Investigative Files and Data Management System**

---

**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 8/9/2007 11:20 AM  
**Subject:** Revised Records Schedule for OIG Investigative Files and Data Management System  
**CC:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>, "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>, "Hurley, Kim" <kim.hurley@dhs.gov>

---

Julie, per our various discussions, I am forwarding our revised records schedule for the OIG Investigative Files and Data Management System. The attached document shows the edits we agreed to using MS Word's Track Changes feature. Also, I'm summarizing the key changes below. P.S. I will send you the 20-question survey on the data management system hopefully by August 16. Thanks.

**SUMMARY OF CHANGES**

- **Disposition instructions for paper case files and the Investigations Data Management System.** We have deleted language about file cutoffs and transferring files to the Federal Records Center for temporary storage (see Items 1a, 1b, 2b.1 and 2b.2 in the attached document). The revised disposition statements now state: **"Destroy 20 years after completion of the investigation and all actions based thereon."** Although the National Archives typically prefers cutoff language in a records schedule, you agreed that the revised text is an acceptable alternative because it conveys the cutoff concept and explains when the OIG will close a case.
- **Criteria for Determining Significant Investigations.** This relates to Item 1b. We added a 4<sup>th</sup> criteria that talks about investigations relating to national security.
- **Changes to the Investigations Data Management System.** Please see sections 2a, 2b and their related subsections. The changes represent edits to improve information clarity, rather than substantive revisions.

Michelle Adler  
DHS Office of Inspector General  
(202) 254-4068

---

**From:** Andrea Loiselle  
**To:** Tammy.Hudson@associates.dhs.gov  
**Date:** 3/28/2008 11:53:47 AM  
**Subject:** Re: Investigative Files

Tammy,

666  
I've heard back from everyone and there will be five of us attending from NARA. I also want to make sure we're not going to run into any clearance problems. [REDACTED]  
[REDACTED] so if that is going to be an issue we should work out how to deal with it.

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 03/28/08 7:43 AM >>>  
Quick message before my computer dies again (having terrible computer problems!!!)

Schedule 4/25 for the Investigative records review. All meetings will be held at 7th & D (which is across the street from L'Enfant Plaza metro).

They wanted to know how many people are coming from your office?

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

**CC:** Julie.Hunsaker@nara.gov

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Mon, Mar 31, 2008 7:34 AM  
**Subject:** RE: Investigative Files

I'm checking on the clearance issue. What time do you want to do this?

I would prefer a morning meeting (especially since it's a Friday!) :)

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Friday, March 28, 2008 11:54 AM  
To: Hudson, Tammy  
Cc: Julie Hunsaker  
Subject: Re: Investigative Files

Tammy,

I've heard back from everyone and there will be five of us attending from NARA. I also want to make sure we're not going to run into any clearance problems. [REDACTED]

(b)(6) [REDACTED] so if that is going to be an issue we should work out how to deal with it.

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 03/28/08 7:43 AM >>>

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Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Mon, Mar 31, 2008 10:30 AM  
**Subject:** RE: Investigative Files

No clearance is necessary

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Friday, March 28, 2008 11:54 AM  
To: Hudson, Tammy  
Cc: Julie Hunsaker  
Subject: Re: Investigative Files

Tammy,

(b)(6) I've heard back from everyone and there will be five of us attending from NARA. I also want to make sure we're not going to run into any clearance problems. [REDACTED]

[REDACTED] so if that is going to be an issue we should work out how to deal with it.

Thanks,  
Andrea

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Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

**CC:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>



**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Tue, Apr 1, 2008 8:17 AM  
**Subject:** RE: Investigative Files

Okay - see you then.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Tuesday, April 01, 2008 7:59 AM  
To: Tammy <CTR> Hudson  
Subject: RE: Investigative Files

Tammy,

9:30 appears to work for all of us. Some of us may be a little earlier depending on the timing of the Archives shuttle, but I didn't want to cut it too close.

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/31/2008 7:34 AM >>>  
I'm checking on the clearance issue. What time do you want to do this?

I would prefer a morning meeting (especially since it's a Friday!) :)

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DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

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Sent: Friday, March 28, 2008 11:54 AM  
To: Hudson, Tammy  
Cc: Julie Hunsaker  
Subject: Re: Investigative Files

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(b)(6)  
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Andrea

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Quick message before my computer dies again (having terrible computer problems!!!)

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They wanted to know how many people are coming from your office?

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** <julie.hunsaker@nara.gov>, <andrea.pugsley@nara.gov>  
**Date:** Fri, Apr 25, 2008 11:05 AM  
**Subject:** FW: Investigative Case Files Schedule Review

Just so you can see it really wasn't me that messed this up.

I am so sorry about the mix-up!!

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Hudson, Tammy <CTR>  
Sent: Thursday, March 27, 2008 6:22 AM  
To: Seay, Linda <CTR>  
Subject: RE: Investigative Case Files Schedule Review

7th & D works well for us too. I'm not sure how many people, I'll check with NARA today and let you know.

Are you available on 4/24 or 4/25 to do this?

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Seay, Linda <CTR>

Sent: Wednesday, March 26, 2008 3:29 PM  
To: Hudson, Tammy <CTR>  
Subject: RE: Investigative Case Files Schedule Review

Can we set up a meeting with them at 7th & D? How many people will be coming over?

Thanks

Linda A. Seay

Counterintelligence and Investigations Division

DHS, Office of Security

202-254-6444 (office)

202-254-6403 (fax)

---

From: Hudson, Tammy <CTR>  
Sent: Wednesday, March 26, 2008 11:18 AM  
To: Seay, Linda <CTR>  
Subject: RE: Investigative Case Files Schedule Review

That's okay if they can't view them. With those, they'll probably just want to ask about process and general content.

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Seay, Linda <CTR>  
Sent: Wednesday, March 26, 2008 11:16 AM  
To: Hudson, Tammy <CTR>; Zawodny, Kenneth; Wisniewski, Leo  
Cc: Jones, Stephen; Smith, Ora; Parkinson-Irving, Jean; Boyce, Daniel <CTR>

Subject: RE: Investigative Case Files Schedule Review

I will need to speak to our Chief in this department, as our investigative files are not for public view.

Linda A. Seay

Counterintelligence and Investigations Division

DHS, Office of Security

202-254-6444 (office)

202-254-6403 (fax)

---

From: Hudson, Tammy <CTR>  
Sent: Wednesday, March 26, 2008 6:55 AM  
To: Zawodny, Kenneth; Wisniewski, Leo; Seay, Linda <CTR>  
Cc: Jones, Stephen; Smith, Ora; Parkinson-Irving, Jean; Boyce, Daniel <CTR>  
Subject: RE: Investigative Case Files Schedule Review

NARA has requested a site visit to review the Investigative Case Files. I need to coordinate a time that they can meet with a representative to discuss (and possibly view) the records.

They are currently available on the following dates: April 18, 21, 24, 25, and 28.

Please let me know by COB Friday, 3/28, which of these dates you are available.

Thank you

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Zawodny, Kenneth  
Sent: Wednesday, March 05, 2008 8:24 AM  
To: Hudson, Tammy <CTR>  
Cc: Jones, Stephen; Smith, Ora; Parkinson-Irving, Jean; Boyce, Daniel <CTR>; Wisniewski, Leo; Seay, Linda <CTR>  
Subject: RE: Investigative Case Files Schedule Review

Stephen;

Please review below and attached and coordinate with Ms. Hudson regarding our records retention intentions for the BI files.

Jean;

I think Leo has the lion's share of the rest of the files, but a few might be part of other Division operations.

Thanks, Ken Z.

Kenneth J. Zawodny Jr.

Chief, Personnel Security

Department of Homeland Security

(202) 447-5371 (Ofc)

(202) 557-6029 (Cell)

---

From: Hudson, Tammy <CTR>  
Sent: Wednesday, March 05, 2008 7:58 AM  
To: Wisniewski, Leo; Zawodny, Kenneth  
Cc: Seay, Linda <CTR>  
Subject: RE: Investigative Case Files Schedule Review

Good morning,

I'm just following up on this.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Hudson, Tammy <CTR>  
Sent: Tuesday, February 19, 2008 12:45 PM  
To: Wisniewski, Leo; Zawodny, Kenneth; Boese, Erik  
Cc: Seay, Linda <CTR>  
Subject: Investigative Case Files Schedule Review

Good afternoon,

We recently submitted the Investigative Case Files schedule to NARA for registration. They are currently in the appraisal portion of the review which will require a site review where they would like to ask you some questions about these items.

I've attached a copy of the schedule that we submitted - could you let me know which of the items your program handles and that you (or someone you designate) would feel comfortable discussing with them? I haven't actually scheduled a date for this yet - I want to see how many different meetings we need to arrange first.

Thanks again for your help! Let me know if you have any questions.

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Wed, Mar 26, 2008 6:57 AM  
**Subject:** FW: Investigative Case Files Schedule Review

fyi

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Hudson, Tammy <CTR>  
Sent: Wednesday, March 26, 2008 6:55 AM  
To: Zawodny, Kenneth; Wisniewski, Leo; Seay, Linda <CTR>  
Cc: Jones, Stephen; Smith, Ora; Parkinson-Irving, Jean; Boyce, Daniel <CTR>  
Subject: RE: Investigative Case Files Schedule Review

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Thank you

Tammy Hudson

DHS Records Management - Contractor



NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

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Sent: Wednesday, March 05, 2008 8:24 AM  
To: Hudson, Tammy <CTR>  
Cc: Jones, Stephen; Smith, Ora; Parkinson-Irving, Jean; Boyce, Daniel <CTR>; Wisniewski, Leo; Seay, Linda <CTR>  
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Thanks, Ken Z.

Kenneth J. Zawodny Jr.

Chief, Personnel Security

Department of Homeland Security

(202) 447-5371 (Ofc)

(202) 557-6029 (Cell)

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Sent: Wednesday, March 05, 2008 7:58 AM  
To: Wisniewski, Leo; Zawodny, Kenneth  
Cc: Seay, Linda <CTR>  
Subject: RE: Investigative Case Files Schedule Review

Good morning,

I'm just following up on this.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Hudson, Tammy <CTR>  
Sent: Tuesday, February 19, 2008 12:45 PM  
To: Wisniewski, Leo; Zawodny, Kenneth; Boese, Erik  
Cc: Seay, Linda <CTR>  
Subject: Investigative Case Files Schedule Review

Good afternoon,

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I've attached a copy of the schedule that we submitted - could you let me know which of the items your program handles and that you (or someone you designate) would feel comfortable discussing with them? I haven't actually scheduled a date for this yet - I want to see how many different meetings we need to arrange first.

Thanks again for your help! Let me know if you have any questions.

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Wed, Feb 20, 2008 10:38 AM  
**Subject:** FW: Investigative Case Files Schedule Review

fyi

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Hudson, Tammy <CTR>  
Sent: Tuesday, February 19, 2008 12:45 PM  
To: Wisniewski, Leo; Zawodny, Kenneth; Boese, Erik  
Cc: Seay, Linda <CTR>  
Subject: Investigative Case Files Schedule Review

Good afternoon,

We recently submitted the Investigative Case Files schedule to NARA for registration. They are currently in the appraisal portion of the review which will require a site review where they would like to ask you some questions about these items.

I've attached a copy of the schedule that we submitted - could you let me know which of the items your program handles and that you (or someone you designate) would feel comfortable discussing with them? I haven't actually scheduled a date for this yet - I want to see how many different meetings we need to arrange first.

Thanks again for your help! Let me know if you have any questions.

Tammy

## Julie Hunsaker - RE: DHS records retention policy

---

**From:** Julie Hunsaker  
**To:** Schultz, Kathy  
**Date:** 3/31/2008 12:13:22 PM  
**Subject:** RE: DHS records retention policy  
**CC:** Hudson, Tammy <CTR>

---

Hi, Kathy.

I'd be happy to get involved in this discussion. Is this something I can participate in via phone? It's going to be hard for me to get out of the office.

I'm available:  
 Apr 2 a.m. or late afternoon (after 3:00)  
 Apr 4 afternoon  
 Apr 7  
 Apr 11 a.m.  
 Apr 14  
 Apr 15  
 Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 3/31/2008 11:20 AM >>>  
 Jeffrey,

As Tammy noted, GRS 20 and 24 cover user accounts. I included item 6.b, since 6.a is for special accountability.

-----  
 GRS 24, item 6. User Identification, Profiles, Authorizations, and Password Files, EXCLUDING records relating to electronic signatures.

a. Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records.

Destroy/delete inactive file 6 years after user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later.

b. Routine systems, i.e., those not covered by item 6a.

See GRS 20, item 1c.

-----  
 GRS 20, item 1c

1. Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records.

c. Electronic files and hard-copy printouts created to monitor system usage, including, but not limited to, log-in files, password files,

audit trail files, system usage files, and cost-back files used to assess charges for system use.

Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.

-----

Also, I mentioned on the phone that there needs to be a justification for the 4 and 7 year retentions. Item 3.2 from the PIA needs to be explained, since the current statement is not sufficient.

It appears that we should meet with all the relevant parties to discuss the retention that OCIO is proposing that falls outside of the GRS, and why. I would like to invite representatives from the National Archives also. Please let me know your availability during the next couple of weeks.

Thank you.

Kathy

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

DHS Core Values: Integrity, Vigilance, and Respect

-----Original Message-----

From: Hudson, Tammy <CTR> [<mailto:Tammy.Hudson@associates.dhs.gov>]  
Sent: Monday, March 31, 2008 10:55 AM  
To: Carrington, Jeffrey <CTR>  
Cc: Schultz, Kathy  
Subject: RE: DHS records retention policy

Jeffrey,

Below are the GRS items that pertain to this information. The first if for the records gathering the data and the second covers the contact list information and the last covers the user data.

GRS 11, Item 3. Directory Service Files  
Correspondence, forms, and other records relating to the compilation of directory service listings.

Destroy 2 months after issuance of listing.

GRS 20, Item 9. Finding Aids (or Indexes)  
Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.

Delete with related records or when the agency determines that they are no longer needed for

administrative, legal, audit, or other operational purposes, whichever is later.

GRS 24, Item 6a. User Identification, Profiles, Authorizations, and Password Files, EXCLUDING records relating to electronic signatures.

Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records.

Destroy/delete inactive file 6 years after user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later.

Let me know if you have any questions.

Tammy

-----Original Message-----

From: Carrington, Jeffrey <CTR>  
[mailto:Jeffrey.Carrington@associates.dhs.gov]  
Sent: Monday, March 24, 2008 7:39 PM  
To: Schultz, Kathy; Carrington, Jeffrey <CTR>  
Cc: Hudson, Tammy <CTR>  
Subject: RE: DHS records retention policy

Kathy,

Here is the PIA in progress for DSES. The section in question is 3.2 of this doc. Thank you for your assistance.

Jeffrey H. Carrington, CISSP  
Information Systems Security Officer  
Department of Homeland Security  
DSES Project

---

From: Schultz, Kathy [mailto:Kathy.Schultz@DHS.GOV]  
Sent: Mon 3/24/2008 7:55 AM  
To: Carrington, Jeffrey <CTR>  
Cc: Hudson, Tammy <CTR>  
Subject: RE: DHS records retention policy

Jeffrey,

We can help you with the retention period for the system. Please send the system description (what it is and how it is used). So that we can take a look and provide assistance.

Thanks.

Kathy

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

DHS Core Values: Integrity, Vigilance, and Respect

-----Original Message-----

From: Carrington, Jeffrey <CTR>  
[mailto:Jeffrey.Carrington@associates.dhs.gov]  
Sent: Friday, March 21, 2008 11:07 AM  
To: Schultz, Kathy  
Subject: FW: DHS records retention policy

Hi Kathy,

I'm looking for the records retention policy for DHS. I'm trying to complete a PIA for the DSES system.

Jeffrey H. Carrington, CISSP

Information Systems Security Officer

Department of Homeland Security

DSES Project

**Julie Hunsaker - RE: DHS records retention policy**

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>, "Kathy Schultz" <Kathy.Schultz@DHS.GOV>  
**Date:** 3/31/2008 12:36 PM  
**Subject:** RE: DHS records retention policy

Kathy,

I've run into this before. The CIO shop is using the standards from NIST:

800-53 Family	Control Number	800-53 Title	Source	Impact Level	Enhancement	Security Objective C-I-A	800-53 Control	Comments on Possible Tailoring
AU	AU-11	Audit Retention	800-53	LMH		A	The organization retains audit logs for [organization-defined time period] to provide support for after-the-fact investigations of security incidents and to meet regulatory and organizational information retention requirements.	Scalability - Audit records must be retained on-line for 90 days. They must be retained off-line for 7 years.

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, March 31, 2008 12:13 PM  
**To:** Kathy Schultz  
**Cc:** Tammy <CTR> Hudson  
**Subject:** RE: DHS records retention policy

Hi, Kathy.

I'd be happy to get involved in this discussion. Is this something I can participate in via phone? It's going to be hard for me to get out of the office.

I'm available:  
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Apr 14  
 Apr 15  
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Let me know if you have any questions.

Tammy

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[mailto:Jeffrey.Carrington@associates.dhs.gov]  
Sent: Monday, March 24, 2008 7:39 PM  
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Cc: Hudson, Tammy <CTR>  
Subject: RE: DHS records retention policy

Kathy,

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Jeffrey H. Carrington, CISSP  
Information Systems Security Officer  
Department of Homeland Security  
DSES Project

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Sent: Mon 3/24/2008 7:55 AM  
To: Carrington, Jeffrey <CTR>  
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Subject: RE: DHS records retention policy

Jeffrey,

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Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
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Jeffrey H. Carrington, CISSP

Information Systems Security Officer

Department of Homeland Security

DSES Project

**Julie Hunsaker - FW: NARA - S&T Record Appraisal Question - awareness bulletin and short term assessment**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/18/2008 8:44 AM  
**Subject:** FW: NARA - S&T Record Appraisal Question - awareness bulletin and short term assessment

---

Julie,

Password is  (b)(6)

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Hawkins, Natasha <CTR>  
**Sent:** Friday, April 18, 2008 8:39 AM  
**To:** Hudson, Tammy <CTR>  
**Cc:** Points, Michelle <CTR>  
**Subject:** RE: NARA - S&T Record Appraisal Question

Tammy – Per your request, attached is an example of a short term assessment. I will send the password in a separate email.

You should know have an example of both an awareness bulletin and short term assessment that is FOUO.

Thank you.

Natasha Hawkins  
Support Contractor  
Chem Bio Division  
Science & Technology Directorate  
Department of Homeland Security  
202-254-6021 work  
202-557-6039 cell  
202-254-6164 fax  
EMAIL: [natasha.hawkins@associates.dhs.gov](mailto:natasha.hawkins@associates.dhs.gov)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Tuesday, April 15, 2008 6:26 AM  
**To:** Hawkins, Natasha <CTR>  
**Cc:** Points, Michelle <CTR>  
**Subject:** RE: NARA - S&T Record Appraisal Question

Thanks – this is extremely helpful.

One other request...can I get another sample of an awareness bulletin and 1 or 2 of the short term assessments (both FOUO obviously).

Thanks again!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Hawkins, Natasha <CTR>  
**Sent:** Monday, April 14, 2008 2:40 PM  
**To:** Hudson, Tammy <CTR>  
**Cc:** Points, Michelle <CTR>  
**Subject:** RE: NARA - S&T Record Appraisal Question

Tammy – Per your request, our Biodefense Knowledge Center (BKC) produces Awareness Bulletins that can be either classified or unclassified. Per our discussion earlier, you already have an example of an UNLCASS/FOUO Awareness Bulletin.

After discussion with the BKC PM, regarding the volume of Awareness Bulletins produced, he provided the numbers below on an annual basis.

---

7 Awareness Bulletins, approx half FOUO and half classified (not all topics known at this time)

We also produce Short Term Assessments for OIA. These are similar to Awareness Bulletins except that where Awareness Bulletins are on dual-use technologies (potentially peaceful and/or nefarious uses), Assessments are on topics decided by OIA and BKC together.

7 Short Term Assessments for OIA - approx half FOUO and half classified (not all topics known at this time)

If you have any additional questions, please let me know.

Thanks!

Natasha Hawkins  
Support Contractor  
Chem Bio Division  
Science & Technology Directorate  
Department of Homeland Security  
202-254-6021 work  
202-557-6039 cell  
202-254-6164 fax  
EMAIL: [natasha.hawkins@associates.dhs.gov](mailto:natasha.hawkins@associates.dhs.gov)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Monday, April 14, 2008 9:46 AM  
**To:** Points, Michelle <CTR>  
**Cc:** Winslow, Janett  
**Subject:** NARA - S&T Record Appraisal Question

Good morning,

In the process of completing the appraisal for S&T records, NARA has requested additional information on Bulletins (see below)

Having reviewed one of these now, I think these records may have permanent value. The bulletin you sent me contains substantive information about how DHS carries out its core function. It also likely significantly impacted DHS policies and

priorities. However, to be more certain I'd like to review a few more bulletins. Is this possible?

Do you have a sense of the current volume of these bulletins and what the annual accumulation might be?

Can you please supply additional samples of bulletins for NARA's review? Let me know if you have any questions.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - Re: NCSD Schedule Review

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 5/9/2008 2:45 PM  
**Subject:** Re: NCSD Schedule Review  
**CC:** Pritchard, Kimberly [USA]; Sourinho, John

---

Tammy,

Thank you for sending me these revisions. I apologize it's taken me so long to respond to your message. I appreciate the time NCSD spent with me explaining their processes and their records. Here are my comments and questions:

Yes, we agreed to delete Items 2 and 4.

Item 1:

a & b) If I'm reading this correctly, the New Format Items 1a and 1b will not show up on the NCSD schedule, but rather are covered by the Records Common to All schedule.

c) The PAG item's title and description look good. I do have a question about it, though. Do you know how many other DHS divisions or directorates might have records like this? It doesn't seem like an NCSD program-specific type of record. If PAGs show up in multiple places, it might also be a good candidate for the Records Common to All schedule.

d) I don't recall reviewing a formal Communication Plan with Sean. My notes only refer to something called a Media Advisory, which was described as something one notch below a full press release. NCSD sends them to major press outlets to let them know about a major upcoming event.

Item 3:

We will remove Item 3 from this schedule. (At least this is what I think your notes in red indicate. Please let me know if I'm wrong about this.) I'd like to wait to provide comments on the wording of the new items until I can see them in context on their incoming schedules.

Items 5 & 6:

While I wasn't able to get a real good handle on these records during the site visit, I recommend removing these items from the schedule. It appears the records likely exist in multiple DHS offices; NCSD is responsible only for a portion of the program (relating to cyber infrastructure). Do you know which DHS offices are involved in carrying out this function? I would recommend including this item on the highest-level schedule possible so it will cover all offices that might need it. For example, if this function only happens within NPPD, I would recommend scheduling these records on an NPPD schedule. We (NARA) will definitely need to review these records in detail in order to process them and determine which records have permanent value. This will entail viewing the records and talking with subject matter experts.

One related question: How do these records relate to the IICP electronic information system on N1-563-08-14?

Item 7:

b) Is fine.



a & c) I do think it's a viable approach to move Program Monitoring and Project Control type records to the Records Common to All schedule and designating them as temporary - if the items cover the types of records I saw at NCSD (i.e., the Quad Charts which are one-page summaries of the program plans, the Program One-Pagers which show primary duties and accomplishments of programs, and the Program Plans which shows a quarterly work breakdown and progress towards meeting performance measures). This is because the expectation is information about the important metrics and accomplishments in these records are passed up the chain of command and will be included in more high-level DHS records. (Records about DHS's major accomplishments should be preserved.) That said, without becoming more familiar with other types of records these items would cover, I wouldn't be able to say whether the proposed titles and descriptions are viable. (This is really just a matter of being able to confirm that the items will cover temp records in all cases; I can't tell at this point.) Should we drop Item 7 from the NCSD schedule and handle this on the Records Common to All schedule?

Let me know what you think and if you have any questions.

By the way, I will be out of the office all next week - I'll be back on May 19.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/18/2008 8:08 AM >>>  
Julie,

Sorry I had to jump out in the middle of the review yesterday.

Just to verify with you - we are deleting items 2 (customer service records) and 4 (hr strategy) from the NCSD schedule. Also, I looked at the database and think I can re-work items 1, 3 and 7 (see below).

Lastly, I'd be interested to hear what happened with items 5 & 6. I have other program areas that we have yet to submit the schedules for that fall in that same category.

Thanks! - tlh

#### **Item modifications:**

##### **1. Communication and Distribution Strategy Files**

*Records contain communications and distribution plans used to document strategies to announce and disseminate NCSD information, publications, and reports. A communications plan is an internal NCSD document containing basic information on regulations, reports to Congress, and major policy statements and actions and the strategy for their communication to the affected communities and interested public. A distribution plan is an internal NCSD document containing basic information about publications and the strategies for public distribution. Files include copies of the communications and distribution plan (with latest comments), copies of the action or publication, transmittal memos and letters, copies fact sheets, copies of any press notifications*

*TEMPORARY. Cut off when superseded or obsolete. Destroy or delete 5 years after cutoff.*

#### **NEW FORMAT:**

- a. Dissemination Files and Lists (Records Common)  
Information distributed via email and/or web based posting to support DHS Components and Federal, State, and Local Governments. Electronic and hard copy listings of contacts for the distribution of action reports.

TEMPORARY. Cut off at end of calendar year. Destroy or delete 3 years after cutoff.

- b. Standard Operating Procedures (SOP) (Records Common)  
Detailed, written instructions issued to achieve uniformity of the performance of a specific function. The SOP describes a unique operating procedure within a Division where official guidance is lacking, or

extremely broad.

TEMPORARY. Cutoff when replaced or becomes obsolete. Destroy or delete when cutoff or when no longer needed for business purposes, whichever is later.

c. Public Affairs Guidance (PAG)

A product that provides guidance on how to respond to the press with regard to a potential threat, warning or situation. PAGs are distributed across Federal departments and agencies, state and homeland security advisors, security managers, state and local law enforcement, and information sharing and analysis centers.

TEMPORARY. Cut off closed files monthly. Destroy or delete 10 years from cutoff.

d. Communication Plan

An internal NCSD document containing basic information on regulations, reports to Congress, and major policy statements and actions and the strategy for their communication to the affected communities and interested public. Developed to craft strategies to enhance both the public's and NCSD personnel's interpretation and understanding of policy and also serve as coordination points for stakeholders including DHS components and other Federal, state and local agencies in articulating the program's position and message.

TEMPORARY. Cut off when superseded or obsolete. Destroy or delete 5 years after cutoff.

### **3. Cyber Security Standards and Best Practices and Research and Development Records**

*Records related to the development of cyber security standards, best practices, and research and development*

TEMPORARY. Cutoff at the end of the calendar year or when no longer needed for review and analysis, whichever is later. Destroy or delete 3 years after cutoff.

#### **NEW FORMAT:**

a. Telecommunications Standards Records (NCS Schedule - not submitted yet)

Records related to the development of telecommunications standards, best practices, and research and development.

Files maintained may include, but are not limited to, copies of authorizations; preparation instructions; documents relating to the evaluation, revision, or implementation of standards; and may also include correspondence, memoranda and final reports.

TEMPORARY. Cutoff at the end of the calendar year or when no longer needed for review and analysis, whichever is later. Destroy or delete 3 years after cutoff.

b. Federal Register Files (OGC - Regulatory Schedule - not submitted yet)

Record copies of drafts showing development of rule or notice, clearance records, public comments, final signed documents, and a copy of the regulations to be published in the Federal Register.

TEMPORARY. Cut off on date of publication. Destroy or delete 20 years after cutoff.

c. Federal Register Files (OGC - Regulatory Schedule - not submitted yet)

Copies of internal comments and working papers pertaining to the process of the publications of DHS regulations to the Federal Register.

TEMPORARY. Cut off on date of publication. Destroy or delete 5 years after cutoff.

### **7. Program Monitoring Records**

*Includes records which relate to the on-going management of programs and routine projects within programs.*

*Types of files include both mission and operational programs and may be maintained by one or more organizational units. Specific types of records include correspondence; memoranda; staff meeting records such as agendas, background papers, attendance lists, and meeting minutes or summaries; routine office procedures; and reports and data relating to general policy and program matters, oversight reviews, interagency activity, research and other similar materials. Also includes project control files showing assignments, progress, and completion of projects*

TEMPORARY. Cut off at the end of the calendar year. Destroy or delete 7 years after cutoff.

#### NEW FORMAT:

a. Program Management Files/Strategic Plans (Records Common)

Strategic plans documenting the program in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.

TEMPORARY. Cut off annually. Destroy or delete when 7 years old or when no longer needed, whichever is later.

**\*\*I do like some of their wording for the Program Records - maybe we should adjust our Program Mgmt/Strategic Plan description to read:**

*Includes records which relate to the on-going management of programs and routine projects within programs. Types of files include both mission and operational programs and may be maintained by one or more organizational units. Strategic plans files documenting the program in support of the agency mission may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.*

b. Office Administrative Files (GRS 23, Item 1)

Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications, including facsimile machine logs; 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. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office.

TEMPORARY. Destroy 2 years after cut off.

c. Project Control Files (Records Common)

Files maintained for each project may include, but are not limited to, copies of authorizations; preparation instructions; and documents relating to the evaluation, continuation, revision, or discontinuance of the project; may also include materials from projects that are not implemented.

Correspondence, memoranda, reports, and other records documenting assignments, progress, management and completion of the project, including such matters as performance measurements, benchmarks and final reports

a. Project file (excluding Final Report)

TEMPORARY. Destroy or delete 5 years after completion or cancellation of project or 1 year after responsible office determines it is no longer needed for legal, audit, administrative or business purposes.

b. Final Report

TEMPORARY. Destroy or delete 15 years from the completion of the project.

c. Projects not implemented

TEMPORARY. Cut off on date of decision to decline project. Destroy or delete when no longer needed

for business purposes.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - Quick GRS Question**

---

**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 7/21/2008 4:43:16 PM  
**Subject:** Quick GRS Question

---

Hi Julie. Normally, I'd go to Tammy Hudson for this question. But if I do, she'll probably press me for the status of our SF-115. So I hope you won't mind indulging me on this. If you recall, I'm speaking on Thursday at our administrative conference. I just want to ensure that I'm accurately conveying the retention times for Commuter Transit subsidy records. Although GRS 9 concerns Travel and Transportation records, I vaguely recall Steve Cooper telling me that this applies to movement of goods and persons for commercial travel. I believe he said that GRS 6 would be more suitable for individual/non-commercial travel. Shown below is what I plan to say for the disposition of Commuter Transit Subsidy files. Please verify that I'm correct. In case you need it, I'm also providing the weblinks to GRS 6 and 9. Thanks in advance!!!!!!!

**Commuter Transit Subsidy Files.** Includes transit subsidy applications, quarterly subsidy requests, and commuter check request logs.

**Disposition: Destroy after 6 years, 3 months [GRS 6, Item 1b]**

<http://www.archives.gov/records-mgmt/ardor/grs06.html>

<http://www.archives.gov/records-mgmt/ardor/grs09.html?template=print>

## Julie Hunsaker - Re: Quick GRS Question

---

**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 7/21/2008 5:33:30 PM  
**Subject:** Re: Quick GRS Question

---

Hi, Michelle.

You would use GRS 9, item 7.

---

### 7. Federal Employee Transportation Subsidy Records.

Documents in either paper or electronic form relating to the disbursement of transportation subsidies to employees, including applications of employees no longer in the program, superseded applications, certification logs, vouchers, spreadsheets, and other forms used to document the disbursement of subsidies.

Destroy when 3 years old.

---

I'll give you a call tomorrow about your IDP question. I'll be teaching an all-day class but will try to give you a call before class starts.

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 7/21/2008 4:43 PM >>>

Hi Julie. Normally, I'd go to Tammy Hudson for this question. But if I do, she'll probably press me for the status of our SF-115. So I hope you won't mind indulging me on this. If you recall, I'm speaking on Thursday at our administrative conference. I just want to ensure that I'm accurately conveying the retention times for Commuter Transit subsidy records. Although GRS 9 concerns Travel and Transportation records, I vaguely recall Steve Cooper telling me that this applies to movement of goods and persons for commercial travel. I believe he said that GRS 6 would be more suitable for individual/non-commercial travel. Shown below is what I plan to say for the disposition of Commuter Transit Subsidy files. Please verify that I'm correct. In case you need it, I'm also providing the weblinks to GRS 6 and 9. Thanks in advance!!!!!!!

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<http://www.archives.gov/records-mgmt/ardor/grs09.html?template=print>

## Julie Hunsaker - RE: Quick GRS Question

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**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 7/21/2008 5:37:17 PM  
**Subject:** RE: Quick GRS Question

---

UR like so wonderful.

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, July 21, 2008 5:34 PM  
**To:** Michelle Adler  
**Subject:** Re: Quick GRS Question

Hi, Michelle.

You would use GRS 9, item 7.

-----  
 7. Federal Employee Transportation Subsidy Records.

Documents in either paper or electronic form relating to the disbursement of transportation subsidies to employees, including applications of employees no longer in the program, superseded applications, certification logs, vouchers, spreadsheets, and other forms used to document the disbursement of subsidies.

Destroy when 3 years old.

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<http://www.archives.gov/records-mgmt/ardor/grs06.html>

<http://www.archives.gov/records-mgmt/ardor/grs09.html?template=print>

## Julie Hunsaker - Privacy Office

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/10/2008 3:20:33 PM  
**Subject:** Privacy Office  
**CC:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>

---

Julie,

The Privacy Officer wants to set up a meeting on their schedule. Do you have any time before June 18? If you only have time from June 18 – 27, it will have to be coordinated with Tammy Hudson. Please give me a couple of dates we can use for setting up a meeting.

Thanks so much.

Kathy

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*



## Julie Hunsaker - Re: Privacy Office

---

**From:** Julie Hunsaker  
**To:** Schultz, Kathy  
**Date:** 6/10/2008 4:08:53 PM  
**Subject:** Re: Privacy Office  
**CC:** Hudson, Tammy <CTR>

---

Hi, Kathy.

Which schedule does this relate to?

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 6/10/2008 3:20 PM >>>  
Julie,

The Privacy Officer wants to set up a meeting on their schedule. Do you have any time before June 18? If you only have time from June 18 - 27, it will have to be coordinated with Tammy Hudson. Please give me a couple of dates we can use for setting up a meeting.

Thanks so much.

Kathy

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

## Julie Hunsaker - RE: Privacy Office

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>, "Kathy Schultz" <Kathy.Schultz@DHS.GOV>  
**Date:** 6/11/2008 7:06:48 AM  
**Subject:** RE: Privacy Office  
**CC:** "Tammy <CTR> Hudson" <Tammy.Hudson@associates.dhs.gov>

---

The Privacy Office – they do not agree that PIA are not permanent.

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, June 10, 2008 4:09 PM  
**To:** Kathy Schultz  
**Cc:** Tammy <CTR> Hudson  
**Subject:** Re: Privacy Office

Hi, Kathy.

Which schedule does this relate to?

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 6/10/2008 3:20 PM >>>  
Julie,

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Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

**Julie Hunsaker - RE: Privacy Office**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>, "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/11/2008 7:33:22 AM  
**Subject:** RE: Privacy Office

---

Julie,

I'm not sure if you have a copy of the schedule – you and I had discussed this thru email, but I don't think you ever received the draft.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Schultz, Kathy [mailto:Kathy.Schultz@DHS.GOV]  
**Sent:** Wednesday, June 11, 2008 7:06 AM  
**To:** Julie Hunsaker; Kathy Schultz  
**Cc:** Tammy <CTR> Hudson  
**Subject:** RE: Privacy Office

The Privacy Office – they do not agree that PIA are not permanent.

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, June 10, 2008 4:09 PM  
**To:** Kathy Schultz  
**Cc:** Tammy <CTR> Hudson  
**Subject:** Re: Privacy Office

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

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**Privacy Officer, Chief**

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**Privacy Office**

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The Privacy Office mission is to minimize the impact on individuals' privacy, particularly the individual's personal information and dignity, while achieving the mission of the Department of Homeland Security (DHS). It operates under the direction of the Chief Privacy Officer and Chief Freedom of Information Act Officer, who is appointed by the Secretary.

The DHS Privacy Office serves as the steward of Section 222 of the Homeland Security Act, the Privacy Act of 1974, the Freedom of Information Act, the E-Government Act of 2002 and the numerous laws, Executive Orders, court decisions and DHS policies that protect the collection, use, and disclosure of personal and Departmental information.

The Electronic Government (e-Gov) Act of 2002 mandates an assessment of the privacy impact of any substantially revised or new Information Technology System. In its efforts to fulfill the e-Gov initiative of IT Privacy and Security, the DHS Privacy Office requires for automated systems owners to develop a Privacy Threshold Analysis (PTA) to determine privacy issues related to the system and if a full Privacy Impact Assessment (PIA) is necessary. PTAs are one step in the Certification & Accreditation (C & A) process for systems which assures a system meets appropriate standards. Through the C & A process the Privacy Office reviews PTAs submitted by each program and/or system. The PTA provides documentation whether or not a full PIA is necessary

Upon completion of these reviews any identified release or disclosure of personal information is published in a System of Record Notice (SORN) in the Federal Register. This serves public notice as to what elements of personal information are collected and how the data is used.

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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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**Privacy Impact Assessment (PIA)**

The PIA is an analysis of how personally identifiable information is collected, stored, protected, shared and managed. "Personally identifiable information" is defined as information in a system or online collection that directly or indirectly identifies an individual whether the individual is a U.S. Citizen, Legal Permanent Resident, or a visitor to the U.S. The PIA represents the final analysis of the Department regarding the impact that a system or program would have on the privacy of individuals and should be available publicly (via website) for the life of the system or program (and when appropriate any successor programs).

**Disposition:**

TEMPORARY. Cut off upon termination of the system for which the guide was established. Destroy or delete 5 years after cutoff.

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

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**Privacy Officer, Chief**

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**Privacy Threshold Analysis (PTA)**

The Privacy Threshold Analysis is used to determine what personally identifiable information is gathered by the computer systems employed by DHS. The results of the PTA determine if the information is substantial enough to warrant a more detailed evaluation via the Privacy Impact Assessment.

**Disposition:**

a. When PII does not reside in the system.

TEMPORARY. Cut off upon termination of the system for which the guide was established. Destroy or delete 5 years after cutoff.

b. When PII does reside in the system, but because of policy considerations a PII is not deemed necessary (i.e. review of uses of the Global Address List, email surveys, etc.

TEMPORARY. Cut off upon termination of the system for which the guide was established. Destroy or delete 2 years after cutoff.

c. When PII does reside in the system and a PIA is deemed necessary.

TEMPORARY. Cut off upon termination of the system for which the guide was established. Destroy or delete 5 years after cutoff.

**System of Record Notice (SORN)**

The Privacy Act of 1974 requires agencies to publish Systems of Records Notices that describe the categories of personally identifiable information that they collect, maintain, retrieve, and use. The SORN represents the operative notice for the Department's operation of a System of Records, is published in the Federal Register and should be available publicly (via website) for the life of the system.

**Disposition:**

TEMPORARY. Cut off upon termination of the system for which the guide was established. Destroy or delete 5 years after cutoff.

## Julie Hunsaker - RE: Privacy Office

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>; Schultz, Kathy  
**Date:** 6/11/2008 9:25:55 AM  
**Subject:** RE: Privacy Office

---

Thank you, Tammy! I don't recall discussing this schedule, but that doesn't mean we didn't. I'm juggling so many things, it's sort of gotten to that point!

Before we set up a meeting, let me look into how other agencies have scheduled these records. I'll get back with you with this information by the end of the week.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/11/2008 7:32 AM >>>  
Julie,

I'm not sure if you have a copy of the schedule - you and I had discussed this thru email, but I don't think you ever received the draft.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Schultz, Kathy [mailto:Kathy.Schultz@DHS.GOV]  
**Sent:** Wednesday, June 11, 2008 7:06 AM  
**To:** Julie Hunsaker; Kathy Schultz  
**Cc:** Tammy <CTR> Hudson  
**Subject:** RE: Privacy Office

The Privacy Office - they do not agree that PIA are not permanent.

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, June 10, 2008 4:09 PM  
**To:** Kathy Schultz  
**Cc:** Tammy <CTR> Hudson  
**Subject:** Re: Privacy Office

Hi, Kathy.

Which schedule does this relate to?

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 6/10/2008 3:20 PM >>>  
Julie,

The Privacy Officer wants to set up a meeting on their schedule. Do you have any time before June 18? If you only have time from June 18 - 27, it will have to be coordinated with Tammy Hudson. Please give me a couple of dates we can use for setting up a meeting.

Thanks so much.

Kathy

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

## Julie Hunsaker - FW: Privacy Office

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/11/2008 9:29:25 AM  
**Subject:** FW: Privacy Office  
**CC:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>

---

Here's the string of messages from our original conversation about this – maybe it will help.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, June 14, 2007 11:55 AM  
**To:** Tammy <CTR> Hudson; Kathy Schultz  
**Subject:** RE: Privacy Office

Hi, Kathy.

Even though the PIA's are new and mandated by OMB, we still view them as temporary records, albeit with long-term value to agencies. NARA has never tried to actively maintain a historical record of all electronic information systems maintained by agencies - or even of the subset of all electronic information systems that contain information about individuals. I agree with you that a retention period for these records that covers the life of the system makes sense.

Good luck with your meeting next week!

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 6/14/2007 11:45 AM >>>  
Julie,

The Privacy Impact Assessment is new and mandated by OMB. I believe that will be the rationale for making the PIAs permanent. But my opinion is that it is needed for the life of the system, even the different iterations.

Thanks.

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, June 14, 2007 11:01 AM  
**To:** Tammy <CTR> Hudson  
**Cc:** Kathy Schultz



**Subject:** RE: Privacy Office

Tammy,

I'm not sure - but I wouldn't worry about that. DHS should retain these records for the length of time that meets its business needs.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/14/2007 10:45 AM >>>  
Julie,

One last question:

Is the retention of 2 years beyond the life of the system in line with other agencies?

Tammy

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, June 14, 2007 10:20 AM  
**To:** Tammy <CTR> Hudson  
**Cc:** Kathy Schultz  
**Subject:** Re: Privacy Office

Tammy,

We view these as temporary records. The one caveat is that all System of Record Notices are maintained by NARA via the Federal Register, which is a publication we maintain permanently.

Please give me a call if you'd like to discuss.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/14/2007 9:52 AM >>>  
Julie,

Here's the Privacy Office schedule we just spoke about. If you could let us know what NARA's view is, I'd appreciate it.

We have a meeting with them next Thursday (6/21) to discuss this.

Thanks for all your help!

Tammy

Tammy Hudson  
Contractor - DHS Records Management  
NAC 2, Room 2207 E (202) 282-8562  
VTA, Room 10-254 (202) 254-6363  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - Re: FW: Privacy Office

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>; Schultz, Kathy  
**Date:** 6/11/2008 10:13:39 AM  
**Subject:** Re: FW: Privacy Office

---

Yes, thank you - that helps a lot.

I am currently caught in the grips of preparing the Records Schedule to go live in our ERA system at the end of the month - so I'm going to be a bit tied-up here in the office these next few weeks. I'd be happy to participate in a telecon to talk through this issue, however. Afternoons will be best for me. I'm available in the afternoons on the following days: 12, 13, 16 (after 2:00), 17, 20, 23-26.

Alternatively, Ivan and I will be downtown for multiple meetings with ICE on the 18th - beginning at 10:00 and ending by 3:00. That day I could probably make an 8:00 meeting work or a meeting in the late afternoon. If we met, which DHS location would it be in?

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/11/2008 9:28 AM >>>  
 Here's the string of messages from our original conversation about this - maybe it will help.

-tlh

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**Sent:** Thursday, June 14, 2007 11:55 AM  
**To:** Tammy <CTR> Hudson; Kathy Schultz  
**Subject:** RE: Privacy Office

Hi, Kathy.

Even though the PIA's are new and mandated by OMB, we still view them as temporary records, albeit with long-term value to agencies. NARA has never tried to actively maintain a historical record of all electronic information systems maintained by agencies - or even of the subset of all electronic information systems that contain information about individuals. I agree with you that a retention period for these records that covers the life of the system makes sense.

Good luck with your meeting next week!

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 6/14/2007 11:45 AM >>>  
 Julie,

The Privacy Impact Assessment is new and mandated by OMB. I believe that will be the rationale for making the PIAs permanent. But my opinion is that it is needed for the life of the system, even the different iterations.

Thanks.

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, June 14, 2007 11:01 AM  
**To:** Tammy <CTR> Hudson  
**Cc:** Kathy Schultz  
**Subject:** RE: Privacy Office

Tammy,

I'm not sure - but I wouldn't worry about that. DHS should retain these records for the length of time that meets its business needs.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/14/2007 10:45 AM >>>  
Julie,

One last question:

Is the retention of 2 years beyond the life of the system in line with other agencies?

Tammy

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, June 14, 2007 10:20 AM  
**To:** Tammy <CTR> Hudson  
**Cc:** Kathy Schultz  
**Subject:** Re: Privacy Office

Tammy,

We view these as temporary records. The one caveat is that all System of Record Notices are maintained by NARA via the Federal Register, which is a publication we maintain permanently.

Please give me a call if you'd like to discuss.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/14/2007 9:52 AM >>>  
Julie,

Here's the Privacy Office schedule we just spoke about. If you could let us know what NARA's view is, I'd appreciate it.

We have a meeting with them next Thursday (6/21) to discuss this.

**Julie Hunsaker - RE: Privacy Office**

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/14/2007 12:28 PM  
**Subject:** RE: Privacy Office  
**CC:** "Tammy <CTR> Hudson" <Tammy.Hudson@associates.dhs.gov>

---

Thank you Julie.

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, June 14, 2007 11:55 AM  
**To:** Tammy <CTR> Hudson; Kathy Schultz  
**Subject:** RE: Privacy Office

Hi, Kathy.

Even though the PIA's are new and mandated by OMB, we still view them as temporary records, albeit with long-term value to agencies. NARA has never tried to actively maintain a historical record of all electronic information systems maintained by agencies - or even of the subset of all electronic information systems that contain information about individuals. I agree with you that a retention period for these records that covers the life of the system makes sense.

Good luck with your meeting next week!

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 6/14/2007 11:45 AM >>>  
Julie,

The Privacy Impact Assessment is new and mandated by OMB. I believe that will be the rationale for making the PIAs permanent. But my opinion is that it is needed for the life of the system, even the different iterations.

Thanks.

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, June 14, 2007 11:01 AM  
**To:** Tammy <CTR> Hudson  
**Cc:** Kathy Schultz

**Subject:** RE: Privacy Office

Tammy,

I'm not sure - but I wouldn't worry about that. DHS should retain these records for the length of time that meets its business needs.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/14/2007 10:45 AM >>>  
Julie,

One last question:

Is the retention of 2 years beyond the life of the system in line with other agencies?

Tammy

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, June 14, 2007 10:20 AM  
**To:** Tammy <CTR> Hudson  
**Cc:** Kathy Schultz  
**Subject:** Re: Privacy Office

Tammy,

We view these as temporary records. The one caveat is that all System of Record Notices are maintained by NARA via the Federal Register, which is a publication we maintain permanently.

Please give me a call if you'd like to discuss.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/14/2007 9:52 AM >>>  
Julie,

Here's the Privacy Office schedule we just spoke about. If you could let us know what NARA's view is, I'd appreciate it.

We have a meeting with them next Thursday (6/21) to discuss this.

Thanks for all your help!

Tammy

Tammy Hudson  
Contractor - DHS Records Management  
NAC 2, Room 2207 E (202) 282-8562  
VTA, Room 10-254 (202) 254-6363  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - NARA's Review of OIG Workpapers

---

**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>, "Hurley, Kim" <kim.hurley@dhs.gov>  
**Date:** 7/8/2008 2:59:17 PM  
**Subject:** NARA's Review of OIG Workpapers

---

When: Friday, July 11, 2008 9:00 AM-12:00 PM (GMT-05:00) Eastern Time (US & Canada).  
Where: 1120 Vermont Avenue

\*~\*~\*~\*~\*~\*~\*~\*~\*

Julie, I just wanted to formalize our meeting date and time. If you are coming by subway, McPherson Square is the nearest subway stop. When you arrive at our building, please call me at (202) 254-4068. I will come down and escort you to the various locations where we have placed the workpapers. We look forward to seeing you.

**Julie Hunsaker - Re: NARA's Review of OIG Workpapers**

---

**From:** Julie Hunsaker  
**To:** Adler, Michelle; Hurley, Kim  
**Date:** 7/8/2008 4:49:09 PM  
**Subject:** Re: NARA's Review of OIG Workpapers

---

Thank you, Michelle! I'll give you a call when I arrive at the building.

I would like to bring one of my team members with me. She is new to our team and I think it would be a good training experience for her. Would you all have any objections to this?

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 7/8/2008 2:58 PM >>>

When: Friday, July 11, 2008 9:00 AM-12:00 PM (GMT-05:00) Eastern Time (US & Canada).  
Where: 1120 Vermont Avenue

\*~\*~\*~\*~\*~\*~\*~\*~\*

Julie, I just wanted to formalize our meeting date and time. If you are coming by subway, McPherson Square is the nearest subway stop. When you arrive at our building, please call me at (202) 254-4068. I will come down and escort you to the various locations where we have place the workpapers. We look forward to seeing you.

**J Hunsaker - Site Visits**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 7/9/2008 10:05:27 AM  
**Subject:** Site Visits

---

Julie,

Just to keep you updated... I most likely will no longer be here after 7/22. I know we have several site reviews to set up on the new schedules we just submitted. I am going to work with Kathy next week and let her know who needs to be contacted for each of the records.

I'm not sure how it's all going to work. I know Brian sent me a list of dates that he wanted to set something up for, but I obviously can't schedule those and you'll probably want to wait until Kathy gets up to speed on what's outstanding (which should be next week).

I'm going to try and complete all the outstanding modifications for you also.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)



## Julie Hunsaker - FW: NARA Visit

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/26/2008 10:57:50 AM  
**Subject:** FW: NARA Visit

---

Julie,

See below. If this won't work I have a feeling we'll have to reschedule. Let me know.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Seay, Linda <CTR>  
**Sent:** Thursday, June 26, 2008 10:53 AM  
**To:** Hudson, Tammy <CTR>  
**Subject:** NARA Visit

Is it ok if they see our case file spreadsheet? It will tell them the subject, brief description and type of case it is without seeing the actual case file.

## Linda A. Seay

Counterintelligence and Investigations Division  
DHS, Office of Security  
202-254-6444 (office)  
202-254-6403 (fax)

**Julie Hunsaker - FW: NARA Visit**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/26/2008 11:23:43 AM  
**Subject:** FW: NARA Visit

---

Let me know if this won't work.

If we need to cancel, Kathy will have to work with them to get you access to the physical files. I've hit my limit with what I can do as a contractor.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Seay, Linda <CTR>  
**Sent:** Thursday, June 26, 2008 11:14 AM  
**To:** Hudson, Tammy <CTR>  
**Subject:** RE: NARA Visit

Correct.

**Linda A. Seay**

Counterintelligence and Investigations Division  
DHS, Office of Security  
202-254-6444 (office)  
202-254-6403 (fax)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Thursday, June 26, 2008 11:11 AM  
**To:** Seay, Linda <CTR>  
**Subject:** RE: NARA Visit

I forwarded this to NARA to see what their response is. I take it that this means they would not be able to actually view any of the physical files.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Seay, Linda <CTR>  
**Sent:** Thursday, June 26, 2008 10:53 AM  
**To:** Hudson, Tammy <CTR>  
**Subject:** NARA Visit

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**Linda A. Seay**

Counterintelligence and Investigations Division

DHS, Office of Security

202-254-6444 (office)

202-254-6403 (fax)

**Julie Hunsaker - Re: FW: NARA Visit**

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 6/26/2008 12:01:03 PM  
**Subject:** Re: FW: NARA Visit  
**CC:** Loiselle, Andrea

---

Thanks for the update, Tammy. No, this will not work. We will need to view the actual records. Reviewing the actual records associated with an SF 115 during a site visit is standard practice for the appraisal process. This standard practice applies to every office within every Federal agency, from the DOE to the DOJ to the DHS. NARA appraisers have security clearance precisely to conduct site visits like this one.

Please let me know if the Monday meeting is canceled.

Thanks for all your hard work trying to get this set up!

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/26/2008 11:22 AM >>>  
Let me know if this won't work.

If we need to cancel, Kathy will have to work with them to get you access to the physical files. I've hit my limit with what I can do as a contractor.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Seay, Linda <CTR>  
**Sent:** Thursday, June 26, 2008 11:14 AM  
**To:** Hudson, Tammy <CTR>  
**Subject:** RE: NARA Visit

Correct.

**Linda A. Seay**

Counterintelligence and Investigations Division  
DHS, Office of Security  
202-254-6444 (office)  
202-254-6403 (fax)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Thursday, June 26, 2008 11:11 AM  
**To:** Seay, Linda <CTR>  
**Subject:** RE: NARA Visit

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actually view any of the physical files.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Seay, Linda <CTR>  
**Sent:** Thursday, June 26, 2008 10:53 AM  
**To:** Hudson, Tammy <CTR>  
**Subject:** NARA Visit

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## **Linda A. Seay**

Counterintelligence and Investigations Division  
DHS, Office of Security  
202-254-6444 (office)  
202-254-6403 (fax)

**Julie Hunsaker - Re: FW: NARA Visit**

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 6/26/2008 12:02:30 PM  
**Subject:** Re: FW: NARA Visit  
**CC:** Loiselle, Andrea

---

p.s. I put all that info in my message in case you wanted to forward it (not that you have to). In other words, it wasn't directed at you - it's more for the benefit of the program office.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/26/2008 11:22 AM >>>  
Let me know if this won't work.

If we need to cancel, Kathy will have to work with them to get you access to the physical files. I've hit my limit with what I can do as a contractor.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Seay, Linda <CTR>  
**Sent:** Thursday, June 26, 2008 11:14 AM  
**To:** Hudson, Tammy <CTR>  
**Subject:** RE: NARA Visit

Correct.

**Linda A. Seay**

Counterintelligence and Investigations Division  
DHS, Office of Security  
202-254-6444 (office)  
202-254-6403 (fax)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Thursday, June 26, 2008 11:11 AM  
**To:** Seay, Linda <CTR>  
**Subject:** RE: NARA Visit

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-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Seay, Linda <CTR>  
**Sent:** Thursday, June 26, 2008 10:53 AM  
**To:** Hudson, Tammy <CTR>  
**Subject:** NARA Visit

Is it ok if they see our case file spreadsheet? It will tell them the subject, brief description and type of case it is without seeing the actual case file.

**Linda A. Seay**

Counterintelligence and Investigations Division  
DHS, Office of Security  
202-254-6444 (office)  
202-254-6403 (fax)

**Julie Hunsaker - RE: FW: NARA Visit**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/26/2008 2:00:42 PM  
**Subject:** RE: FW: NARA Visit  
**CC:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>

---

I did take that part and sent it to her. I'll let you know tmrw am what the verdict is.

Thanks-

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, June 26, 2008 12:03 PM  
**To:** Tammy <CTR> Hudson  
**Cc:** Andrea Loiselle  
**Subject:** Re: FW: NARA Visit

p.s. I put all that info in my message in case you wanted to forward it (not that you have to). In other words, it wasn't directed at you - it's more for the benefit of the program office.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/26/2008 11:22 AM >>>  
 Let me know if this won't work.

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-tlh

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Seay, Linda <CTR>  
**Sent:** Thursday, June 26, 2008 11:14 AM  
**To:** Hudson, Tammy <CTR>  
**Subject:** RE: NARA Visit

Correct.

**Linda A. Seay**

Counterintelligence and Investigations Division  
 DHS, Office of Security  
 202-254-6444 (office)  
 202-254-6403 (fax)



---

**From:** Hudson, Tammy <CTR>  
**Sent:** Thursday, June 26, 2008 11:11 AM  
**To:** Seay, Linda <CTR>  
**Subject:** RE: NARA Visit

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-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Seay, Linda <CTR>  
**Sent:** Thursday, June 26, 2008 10:53 AM  
**To:** Hudson, Tammy <CTR>  
**Subject:** NARA Visit

Is it ok if they see our case file spreadsheet? It will tell them the subject, brief description and type of case it is without seeing the actual case file.

## **Linda A. Seay**

Counterintelligence and Investigations Division  
DHS, Office of Security  
202-254-6444 (office)  
202-254-6403 (fax)

## Julie Hunsaker - Re:

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 6/19/2008 8:20:11 AM  
**Subject:** Re:

---

Absolutely. I'm leaving in just a couple minutes to head over to Lockheed for what may be an all-day meeting, but I'll call you when I get back and see if I can find you. If we don't talk today, I'll try to get ahold of you tomorrow morning.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/19/2008 8:15 AM >>>  
Julie,

I know you're really busy for the next couple weeks, but when you get a chance, can you give me a quick call please?

Thanks!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - RE:**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/19/2008 8:22:00 AM  
**Subject:** RE:

---

Okay - thanks

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, June 19, 2008 8:20 AM  
**To:** Tammy <CTR> Hudson  
**Subject:** Re:

Absolutely. I'm leaving in just a couple minutes to head over to Lockheed for what may be an all-day meeting, but I'll call you when I get back and see if I can find you. If we don't talk today, I'll try to get ahold of you tomorrow morning.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/19/2008 8:15 AM >>>  
Julie,

I know you're really busy for the next couple weeks, but when you get a chance, can you give me a quick call please?

Thanks!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/19/2008 8:15:47 AM

---

Julie,

I know you're really busy for the next couple weeks, but when you get a chance, can you give me a quick call please?

Thanks!

-t/h

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - Re:

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 6/19/2008 8:20:11 AM  
**Subject:** Re:

---

Absolutely. I'm leaving in just a couple minutes to head over to Lockheed for what may be an all-day meeting, but I'll call you when I get back and see if I can find you. If we don't talk today, I'll try to get ahold of you tomorrow morning.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/19/2008 8:15 AM >>>  
Julie,

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Thanks!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - Next DHS RO Mtg

---

**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 5/27/2008 2:39:40 PM  
**Subject:** Next DHS RO Mtg

---

Hi, Kathy.

I just wanted to touch base with you and find out whether you're planning to have a DSH RO meeting in June.

Julie

## Julie Hunsaker - Handouts from 3/27/08 Meeting

---

**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 4/15/2008 3:02:32 PM  
**Subject:** Handouts from 3/27/08 Meeting

---

Kathy,

I've attached the handouts I distributed at the March meeting.

Julie

## REQUEST FOR RECORDS DISPOSITION AUTHORITY

JOB NUMBER *N1-566-05-1*To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408DATE RECEIVED  
*9/23-05*

1. FROM (Agency or establishment)

Department of Homeland Security

NOTIFICATION

In --

2. MAJOR SUBDIVISION

SAMPLE OF TRADITIONAL LAYOUT

(202) 616-1205

DATE

*2/15/06*

ARCHIVIST OF THE UNITED STATES

*Allen W. Wacker*

6. I am authorized to act for this agency in matters pertaining to the disposition of its records and that the  
1. proposed for disposal on the attached \_\_\_\_ page(s) are not now needed 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 of the GAO manual for Guidance of Federal Agencies,

☒ is not required; ☐ is attached; or ☐ has been requested.

DATE

9/1/05

SIGNATURE OF AGENCY REPRESENTATIVE

*Marwan L. Smith*

TITLE

USCIS Records Officer

7. Item  
No.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR SUPERSEDED  
JOB CITATION10. ACTION TAKEN  
(NARA USE ONLY)1. FRAUD DETECTION AND NATIONAL SECURITY  
(FDNS) DATA SYSTEM

**Description.** The Fraud Detection and National Security (FDNS) Data System is a case management system that is used to track and control fraud administrative inquiries, criminal referrals, and national security cases. The system will be located at the Vermont Service Center, St. Albans, VT, and will be accessible via the intranet by authorized users.

**Categories of Individuals Covered By The System:**

Individuals covered by provisions of the Immigration and Nationality Act of the United States (e.g. applicants for immigration benefits), including subjects of administrative inquiries (e.g. applicants, preparers, and representatives) into potentially fraudulent applications for immigration benefits, individuals whose applications have been randomly selected for assessment of the effectiveness of fraud detection programs, and individuals of concern based on possible national security reasons or criminal activity.

*cc RA, NWD, NME  
NWD, NME*



The FDNS Data System will interface with all USCIS benefit application data.

**Program:** Office of Fraud Detection and National Security

**Applicability:** Agency-wide

**Specific Restrictions:** Highly sensitive tracking and monitoring information. All records and FDNS are protected from unauthorized access through appropriate administrative, physical, and technical safeguards. The safeguards include restricting access to those with a need-to-know to perform their official duties, using a permanent ID and password.

**Vital Record:** Yes.

**Specific Legal Requirements:** 8 USC §§ 1103.

**a. INPUTS.**

**Categories of Records In The System:**

The FDNS Data System will contain information collected in the process of conducting administrative inquiries (i.e., the process by which USCIS determines if fraud exists) and performing background checks and requests for assistance from law enforcement agencies, including biographical information and corporate information. These records will also include data compiled from the internet and commercial and other governmental data sources such as Choicepoint/Autotrack, Lexis/Nexis, various local, county and state police information networks, various state motor vehicle administration databases, State websites, Driver License retrieval sites, State Bar Associations, CIA Department of State, FAA websites, FedEx tracking, various state comptrollers, appraisal districts (counties), state probation/paroles, American Immigration Lawyers Association, Legal Information Institute, university websites, state sexual predator websites, news media websites, various search engines (e.g. Ask Reeves, Google etc.), Desk Ref, UPI, Reuters, and foreign news media websites.

**TEMPORARY.** Destroy or delete after the data has been transferred to the masterfile and verified.

**b. MASTER FILE.**

Types of data elements include:

Fraud Detection and National Security Data Fields					
Case Num	DHS Assoc Number	DHS ICE LEAC Notified Flag	DHS Results	HLSFileDockReqFlg	Source Last Name
Activity UID	DHS Attachment	DHS Interviews	DHS SCClaims	HLSFileSize	Source Organization
BFU Case Number	DHS Birth Date	DHS Last Name	DHS SEVIS	HLSFileSrcType	Source Type
Case	DHS Call Up Date	DHS Level of Investigation	DHS Site Check	Last Name	State
Case Id	DHS Checks	DHS Maiden Name	DHS Source	Middle Name	Status
Case Num	DHS CIS	DHS NAILS	DHS SSN	Name	Synopsis
Case Rel Type Code	DHS City	DHS Nails Number	DHS State	Note	Threat
Citizenship	DHS Class Preference	DHS NIIS	DHS State Motor Vehicles Record	Note Type	Type
City	DHS Closed	DHS Number of Files	DHS State Wage and Earnings Records	Owned By	
Comment	DHS Closed Remarks	DHS Number Reviewed	DHS Status Date	Owned By Id	
Contact Last Name	DHS Confirmed Fraud	DHS Office Code	DHS Street Address	Party Type Code	
Date Created	DHS Contacted Flag	DHS Other	DHS Street Address 2	Place of Birth	
Date Declined BPU	DHS Country	DHS Other Comments	DHS Synopsis	Planned	
Date Occurred	DHS DACS	DHS Owner Fax Number	DHS Tecs	Planned Completion	
Date of Birth	DHS Date of Incident	DHS Owner Phone Number	DHS Text	Position	

Date to BFU	DHS Date of Report	DHS Postal Code	DHS To	Postal Code	
Description	DHS Disposition	DHS Primary Employee Id	DHS To Title	Priority	
DHS A Number	DHS Distribution	DHS Primary Phone #	Due	Private	
DHS Activity Type	DHS Division	DHS Public Record Information	End Date	Reason Declined BFU	
DHS Adjudications	DHS Division Id	DHS RAPS	First Name	SAC Office	
DHS Admin Inquiry	DHS Enclosures	DHS Receipt Number	HLS Created	Sales Rep	
DHS Alias First Name	DHS Files	DHS Recommendation Action	HLS Created By	Short Comment	
DHS Approved By	DHS First Name	DHS Recommendations	HLS Created By Name	Source	
DHS Approved Date	DHS Fraud Results	DHS Record of Action Taken	HLSFileAutoUpdFlg	Source First Name	
DHS Approving IO	DHS IBIS	DHS Reliability	HLSFileDate	Source Id	

**TEMPORARY.** Delete/Destroy when 75 years old. If the data becomes too large it will be copied onto electronic media and stored at the Department of Justice Data Center in Rockville, MD or Dallas, TX.

*Note: DHS/BICE agrees to maintain these records in accordance with 36 CFR 1234 §§ 30-32 for their entire 75-year retention period.*

**c. OUTPUTS:** Reports, etc.

**TEMPORARY.** Delete/destroy when no longer needed for agency business.

**d. System Documentation:**

User Manual

**TEMPORARY.** Destroy when the system becomes obsolete, superseded, or no longer needed for agency business.

**Privacy Act Restriction: 552a (b) (3)** The Secretary of Homeland Security has exempted this system from subsections (c) (3) and (4), (d), (e)(1), (2) and (3), (e)(4)(G) and (H), (e)(5) and (8) and (g) of the Privacy Act. These exemptions apply only to the extent that records in the system are subject to exemption pursuant to 5 U.S.C. 552a(j)(2) and (k)(2). The Department of Homeland Security has published implementing regulations in accordance with the requirements of 5 U.S.C. 553 (b), (c), and (e) and these have been published in the Federal Register and can be found at 6 CFR Appendix C to Part 5.

1. [Temporary example]

Disposition Instruction: TEMPORARY. Cut off at end of calendar year in which case closed. Delete/Destroy 15 years after cutoff.

2. [Media neutral item]

Disposition Instruction: PERMANENT. Cut off at end of fiscal year in which created. Transfer paper records to Federal Records Center 3 years after cutoff. Transfer paper records to the National Archives 10 years after cutoff. Transfer electronic records to the National Archives 5 years after cutoff.

3. [Media neutral item]

Disposition Instruction: PERMANENT. Cut off at end of fiscal year in which created. Transfer paper records to Federal Records Center 3 years after cutoff. Transfer paper and electronic records to the National Archives 5 years after cutoff.

4. [Media neutral item]

Disposition Instruction: PERMANENT. Cut off at the end of fiscal year in which created. Transfer to Federal Records Center 3 years after cutoff. Transfer to the National Archives 10 years after cutoff.

NOTE: The transfer/accession instruction for this item applies only to paper or hard copy 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.

5. [Pre-accessioning example]

Disposition Instruction: PERMANENT. Cut off at the end of the calendar year in which case closed. Transfer physical custody to the National Archives upon cutoff. Transfer legal custody to the National Archives 20 years after cutoff.

## 6. Recreational Boating Accident Report System

These electronic records consist of statistical information taken from Boating Accident Reports submitted to the United States Coast Guard in accordance with 46 United States Code 6102(a). The reports received are used to generate statistics on marine casualties. The owner/operator of a vessel submits the accident report when as a result of an occurrence that involves the vessel or equipment: (1) a person dies; (2) a person is injured and requires medical treatment beyond first aid; (3) damage to the vessel and other property totals more than \$500 or there is a complete loss of a vessel; or (4) a person disappears from the vessel under circumstances that indicate death or injury. Some of the information covered in the records are: county, state and type of body of water; the number of deaths; the number of injuries; the type of vessel; the type of accident; the cause of the accident; and the type, propulsion, hull material, manufacturer's code and year built of the reporting operator's vessel.

System inclusive dates: 1969 to present

Date span of records within the system: 1969 to present

Estimated year of first transfer: 2009

Estimated total volume: 3 GB

Estimated annual accumulation: 100 MB

Disposition Instruction: PERMANENT. Cut off at end of calendar year in which record created. Transfer to the National Archives immediately upon cutoff.

## 7. Casualty Maintenance (CASMAIN) System

These electronic records consist of information Investigating Officers at Marine Safety field units report on commercial vessel and outer-continental shelf platform incidents, including personnel injuries meeting the criteria in 46 Code of Federal Regulations (CFR) 4.05-1, 33 CFR 140.201 and 33 CFR 173.55. The records contain incident specific information as well as causal factors derived from each casualty investigation report. Information in the records includes incident types, location and dates, identities of vessels, platforms and injured personnel, and measures of the extent of the casualty.

System inclusive dates: 2007 to present

Date span of records within the system: 1980 to present

Estimated year of first transfer: 2013

Estimated total volume: 1 GB

Estimated annual accumulation: 100 MB

Disposition Instruction: PERMANENT. Cut off at end of calendar year in which case closed. Transfer to the National Archives 5 years after cutoff.

## SUMMARY OF NEWLY ISSUED MEDIA NEUTRAL GUIDANCE

**When do agencies need to submit an SF 115 to NARA?**

*(as presented at 12/19/2007 BRIDG Meeting)*

TYPE OF RECORD	NEED 115?	CONDITIONS/LIMITS	CITATION
Electronic versions of records covered by a media neutral schedule item	No	Does not apply to temporary program records maintained on an agency web site.	GRS 20, Item 3(b)(4) and 3.1 36 CFR 1228.31(b)(4)(ii)
Scanned images of temporary hard copy records	No	1. Applies to administrative/housekeeping records and program records. 2. Does not apply to program records maintained on an agency web site.	GRS 20, Item 3(a) 36 CFR 1228.31(b)(3)
Electronic records that replace permanent records	No	1. Electronic records must meet NARA standards for permanent records. 2. Permanent disposition may be applied if the electronic records replace more than one permanent series. 3. Agencies must provide notification to NARA within 90 days of when electronic recordkeeping system becomes operational.	GRS 20, Item 3.1 36 CFR 1228.31(b)(1)
Electronic versions of temporary audio-visual records	No	1. Applies regardless of format of electronic records. 2. Does not apply to program records maintained on an agency web site.	GRS 20, Item 3(b)(3) 36 CFR 1228.31(b)(2)
Electronic versions of administrative/housekeeping records covered by the GRS or an agency schedule	No	1. For certain specified GRS items, a new schedule is needed for electronic formats other than scanned image (see GRS 20, Item 3b2 for these exclusions). 2. If electronic records are drawn from multiple series, the longest previously approved retention period applies. 3. May be applied to administrative or housekeeping web site records.	GRS 20, Item 3(b)(1) 36 CFR 1228.31(b)(4)(i)
Electronic versions of temporary program records other than scanned images	Yes	NARA review required due to potential increase in value of the electronic records (e.g., manipulability).	GRS 20, Item 3(b)(5) 36 CFR 1228.31(a)(4)

## Julie Hunsaker - RE: Tomorrow's Meeting

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**From:** Julie Hunsaker  
**To:** Schultz, Kathy  
**Date:** 3/26/2008 2:19:14 PM  
**Subject:** RE: Tomorrow's Meeting

---

Okay, great!

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 3/26/2008 1:42 PM >>>

Julie,

Yes, in fact I was thinking about going back to meeting every month since we have some activities picking up.

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, March 26, 2008 1:00 PM  
**To:** Schultz, Kathy  
**Subject:** Tomorrow's Meeting

Hi, Kathy.

It looks like we may have a fair amount of content for our meeting tomorrow. Would it be okay for me to say that if we don't get through it all, we (NARA) could come back for another DHS RO meeting?

Julie

## Julie Hunsaker - Records Advisory Group Meeting

---

**From:** "Walsh, Christopher" <Christopher.Walsh@associates.dhs.gov>  
**To:** <Joe.m.gerhart@dhs.gov>, <k.f.payne@dhs.gov>, "Rotolo, Lucrezia" <lucrezia.rotolol@dhs.gov>, "Hard, Richard L" <richard.hard@dhs.gov>, "Jenkins, Andrea M" <Andrea.Jenkins@associates.dhs.gov>, "Riggs, Stephen W" <stephen.riggs@dhs.gov>, "Dia, Mamadou B" <Mamadou.Dia@associates.dhs.gov>, "Jackson, Kevin B" <kevin.b.jackson@dhs.gov>, <James.jospeh@dhs.gov>, "Bice, William" <william.bice@dhs.gov>, "Hackney, Johanna H" <Johanna.Hackney@dhs.gov>, "McMillan, Karen" <karen.mcmillan@dhs.gov>, "Gray, Dino" <dino.gray@dhs.gov>, "Taylor, Danielle S" <danielle.taylor@dhs.gov>, "Balough, Ann V" <ann.balough@dhs.gov>, "West, Sarah A" <sarah.west@dhs.gov>, "Pitts, Yasmeen M" <yasmeen.m.pitts@dhs.gov>, "Thompson, Samuel L" <samuel.l.thompson@dhs.gov>, "Pavlik-Keenan, Catrina M" <catrina.m.pavlik-keenam@dhs.gov>, "Law, Ryan A" <ryan.law@dhs.gov>, "Riley, Matthew B" <matthew.riley1@dhs.gov>, "Records, ICE" <ice.records1@dhs.gov>, "Robinson, Angela L" <angela.robinson1@dhs.gov>, <mario.bellamy1@dhs.gov>, <Ivan.king@nara.gov>, <Julie.hunsaker@nara.gov>  
**Date:** 6/6/2008 3:32 PM  
**Subject:** Records Advisory Group Meeting

---

### Records Advisory Group Meeting

Date	June 18, 2008
Time	10:00 to 12:00
Place	Shaughnessy Room (6 <sup>th</sup> floor, CAB)
Host	ICE Records Management Branch
Contact	christopher.walsh@associates.dhs.gov

The Records Management Branch seeks to continue the lines of communications among all members of the Records Advisory Group and to promote sound records management practices. As part of this effort, The Records Advisory Group will conduct its second meeting on Wednesday, June 18, 2008, in the Shaughnessy Room from 10:00 a.m. until 12:00 noon. All Records Advisory Group members are encouraged to attend.

### Meeting Objectives:

This meeting is designed to provide updates to the Advisory Group on current activities and upcoming endeavors, answer questions, and to foster an information exchange among Group members.

### Projected Agenda Items:

- Introduction
- Records Management Update
- Privacy Office Update
- Paperwork Reduction Act
- NARA Training
- Meet Ice's Archivist

- Federal Records Centers
- Virtual University Training
- Identification of Records Custodians
- Update on the ICE Records Schedule Development
- Update of Forms Management Development
- Records Management and decommissioning of the CAB
- Question and Answers

We will be sending a calendar announcement next week in which you can RSVP by accepting or declining the invitation to attend.

You are receiving this notice based on a 2007 data call to the Records Management Branch requesting records management advisors. If you have received this message in error or should no longer be on the advisory board, please contact the Records Management Branch Chief Joseph Gerhart at [joseph.m.gerhart@dhs.gov](mailto:joseph.m.gerhart@dhs.gov) or by phone at (202) 305-3014. If you have any questions or recommendations for this meeting, please forward them to Mr. Gerhart as soon as possible.

Thank you



## Julie Hunsaker - May 15 Meeting

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**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 5/5/2008 4:33 PM  
**Subject:** May 15 Meeting  
**CC:** Cotter, Thomas; King, Ivan; Loiselle, Andrea; Woodall, Brian

---

Hi, Kathy.

I just wanted to follow-up my voicemail with a quick email. As it turns out, we won't be able to make the May 15 DHS RO's meeting. I am going out of town that weekend and had thought I was flying out that night, but I am leaving that morning. Please keep us in the loop for the June meeting. We'd be happy to make a presentation about the new GRS items and media neutral instructions that indicate when agencies no longer need to submit schedules.

I apologize for any inconvenience this may cause! Please feel free to give me a call if you'd like to discuss.

Julie

**Julie Hunsaker - Meeting Request**

---

**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/2/2008 2:44 PM  
**Subject:** Meeting Request  
**CC:** "Hurley, Kim" <kim.hurley@dhs.gov>, "Hudson, Tammy <CTR>"  
<Tammy.Hudson@associates.dhs.gov>

---

Hi, this is a follow-up to the voice mail I just left you. Would you be free Friday, 4/4/08 to come to our 1120 Vermont Avenue building and meet with Kim Hurley and me? As we talked last week, it may be better to just sit down and discuss the various issues associated with retention of our audit reports. We can do anytime from 8:30 AM or later. Once you confirm, I will send a formal invite via MS Outlook's Meeting Scheduler and copy Tammy Hudson.

P.S. Today's *Federal Register* shows that NARA is seeking public comments for the Treasury Inspector General for Tax Administration (TIGTA)'s proposed retention of audit reports, audit plans, and working papers. Since this is a new schedule (versus the samples I've showed you from the year 2000), it would be very interesting to see how TIGTA is approaching its retention time frames. The Job # is N1-56-08-1. Would you be able to get a copy of this and bring it to the meeting? Thanks.

## Julie Hunsaker - RMFC Meeting

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Winslow, Janett" <Janett.Winslow@dhs.gov>, "Adler, Michelle" <michelle.adler@dhs.gov>, "Alston, Thomas M" <thomas.m.alston@dhs.gov>, "KING, AVIS L" <avis.king@dhs.gov>, "Causway, Mary L" <Mary.Causway@usss.dhs.gov>, "Coney, Steven" <Steven.L.Coney@uscg.dhs.gov>, "East, JaNelle" <janelle.east@dhs.gov>, <eborja@historyassociates.com>, "Howard, Tammy" <Tammy.Howard@dhs.gov>, "Jackson, Lawan" <Lawan.Jackson@dhs.gov>, "Lutz, Brian C" <brian.lutz@dhs.gov>, "Lymus, Stacey" <Stacey.Lymus@dhs.gov>, "Mankin, Amy" <Amy.Mankin@dhs.gov>, "Page, Michael" <Michael.A.Page@dhs.gov>, "Palmer, Geoff <CTR>" <Geoff.Palmer@associates.dhs.gov>, "Ruiz, Rojelio <CTR>" <Rojelio.Ruiz@associates.dhs.gov>, "Sharetts-Sullivan, John A" <john.sharetts-sullivan@dhs.gov>, "Shirkey, Lee" <lee.shirkey@dhs.gov>, "Taylor, Danielle S" <danielle.taylor@dhs.gov>, "Daniel, Terri" <Terri.Daniel@dhs.gov>, "Manigault, Troy" <Troy.Manigault@dhs.gov>, <sharon.l.tucker@uscg.dhs.gov>, "Zimmerman-Pate, Marty" <Marty.Zimmerman-Pate@dhs.gov>  
**Date:** 3/17/2008 3:45 PM  
**Subject:** RMFC Meeting  
**CC:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>, "Peasley, Mark" <Mark.Peasley1@dhs.gov>, "Julie Hunsaker" <Julie.Hunsaker@nara.gov>

---

Sorry for the late notice on the RMFC Meeting, but I was out all last week and did not have the opportunity to send out a notice before I left town.

Julie Hunsaker is due to meet with us on Thursday, March 20<sup>th</sup> to speak about scheduling systems. Since she could not make it tomorrow, we will meet Thursday at 10 am. Please keep in mind that I could not reach her today so our plans could change again. I do apologize for any inconvenience concerning these arrangements.

### RMFC Quarterly Meeting

Date: March 20, 2008

Time: 10am

Location: 7<sup>th</sup> & D St, SW, Rm 7511

RSVP – reply to this message

Thank you.

Kathy

Kathy Schultz  
 Senior Records Officer  
 Department of Homeland Security  
 (202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

## Julie Hunsaker - Room Reservation

---

**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 3/18/2008 9:55 AM  
**Subject:** Room Reservation

---

Hi, Kathy.

I sent a room reservation request to the person who handles them for A1. She's out of the office today, though, and apparently no one else seems to be able to take her place. I'll let you know what I find out tomorrow.

Julie

## Julie Hunsaker - RO Meeting

---

**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 3/19/2008 1:11 PM  
**Subject:** RO Meeting  
**CC:** King, Ivan; Loiselle, Andrea

---

Hi, Kathy.

I've reserved the Adams Conference Room (#4813) at AI on Thursday morning, March 27th. They've set it aside for us from 9:30 to 12:30 - but my assumption is the meeting will start at 10:00 and probably won't last more than an hour. Please let me know if this works for you. If it does, I'll get information on how to find the room for everyone (which side of the building to enter, etc.).

Julie

**Julie Hunsaker - RE: RO Meeting**

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 3/19/2008 1:17 PM  
**Subject:** RE: RO Meeting

---

Julie,

We usually go from 10 to 11:30. If we only have an hour, that is okay. If these arrangements are firm I will send out another message.

Thank you.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, March 19, 2008 1:11 PM  
**To:** Schultz, Kathy  
**Cc:** Andrea Loiselle; Ivan King  
**Subject:** RO Meeting

Hi, Kathy.

I've reserved the Adams Conference Room (#4813) at AI on Thursday morning, March 27th. They've set it aside for us from 9:30 to 12:30 - but my assumption is the meeting will start at 10:00 and probably won't last more than an hour. Please let me know if this works for you. If it does, I'll get information on how to find the room for everyone (which side of the building to enter, etc.).

Julie

**Julie Hunsaker - RE: RO Meeting**

---

**From:** Julie Hunsaker  
**To:** Schultz, Kathy  
**Date:** 3/19/2008 2:55 PM  
**Subject:** RE: RO Meeting  
**CC:** King, Ivan; Loisel, Andrea

---

Kathy,

Yes, the arrangements are firm. 10:00-11:30 is fine - we have the room pretty much the entire morning.

Please let attendees know they should enter on the Constitution Avenue side of the building (NOT the Pennsylvania Ave side). Constitution Avenue is the side of the building the public uses to enter and view exhibits. Because of this, the main exhibit entrance will likely have a very long line. So people should **use the Special Events/Exit door** on Constitution to enter the building. Let the guards know you're there for a meeting and they will let you cut into the metal detector line.

We will have someone in the lobby to show everyone how to get to the Adams Room. However, if no one is there, after entering the building, you go up to the Main Level to get to the Adams Room. This is the level that has the Rotunda for the Charters of Freedom. The Adams Room is down a hall to the right of the Rotunda.

Here is a link to a map of the building:

<http://www.archives.gov/nae/visit/archives-map.pdf>

The second page of the map shows the layout of the Main Level of the building. The Adams Room is on the right side of the map in blue.

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 3/19/2008 1:17 PM >>>

Julie,

We usually go from 10 to 11:30. If we only have an hour, that is okay. If these arrangements are firm I will send out another message.

Thank you.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]

**Sent:** Wednesday, March 19, 2008 1:11 PM

**To:** Schultz, Kathy

**Cc:** Andrea Loiselle; Ivan King

**Subject:** RO Meeting

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Julie



**Julie Hunsaker - RE: RO Meeting**

---

**From:** Julie Hunsaker  
**To:** Schultz, Kathy  
**Date:** 3/19/2008 2:57 PM  
**Subject:** RE: RO Meeting

---

I just realized I forgot to mention one more thing. The room number is NOT 4813. I was confused about that in my prior message. That is actually the confirmation number for the room reservation. The room is simply known as the Adams Room.

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 3/19/2008 1:17 PM >>>

Julie,

We usually go from 10 to 11:30. If we only have an hour, that is okay. If these arrangements are firm I will send out another message.

Thank you.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, March 19, 2008 1:11 PM  
**To:** Schultz, Kathy  
**Cc:** Andrea Loisel; Ivan King  
**Subject:** RO Meeting

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Julie

**Julie Hunsaker - RE: RO Meeting**

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 3/19/2008 3:25 PM  
**Subject:** RE: RO Meeting

---

Will there be a phone for FLETC to call into, with a speaker? Marty may be the only one to call in, so we may not need to set up a conference call line.

Thanks.

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, March 19, 2008 2:57 PM  
**To:** Kathy Schultz  
**Subject:** RE: RO Meeting

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Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 3/19/2008 1:17 PM >>>

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Thank you.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

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---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, March 19, 2008 1:11 PM  
**To:** Schultz, Kathy  
**Cc:** Andrea Loiselle; Ivan King  
**Subject:** RO Meeting

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Julie

**Julie Hunsaker - RE: RO Meeting**

---

**From:** Julie Hunsaker  
**To:** Schultz, Kathy  
**Date:** 3/19/2008 3:56 PM  
**Subject:** RE: RO Meeting

---

I'll look into that and let you know.

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 3/19/2008 3:24 PM >>>

Will there be a phone for FLETC to call into, with a speaker? Marty may be the only one to call in, so we may not need to set up a conference call line.

Thanks.

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

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---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, March 19, 2008 2:57 PM  
**To:** Kathy Schultz  
**Subject:** RE: RO Meeting

I just realized I forgot to mention one more thing. The room number is NOT 4813. I was confused about that in my prior message. That is actually the confirmation number for the room reservation. The room is simply known as the Adams Room.

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 3/19/2008 1:17 PM >>>

Julie,

We usually go from 10 to 11:30. If we only have an hour, that is okay. If these arrangements are firm I will send out another message.

Thank you.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, March 19, 2008 1:11 PM  
**To:** Schultz, Kathy  
**Cc:** Andrea Loiselle; Ivan King  
**Subject:** RO Meeting

Hi, Kathy.

I've reserved the Adams Conference Room (#4813) at AI on Thursday morning, March 27th. They've set it aside for us from 9:30 to 12:30 - but my assumption is the meeting will start at 10:00 and probably won't last more than an hour. Please let me know if this works for you. If it does, I'll get information on how to find the room for everyone (which side of the building to enter, etc.).

Julie

**Julie Hunsaker - RE: RO Meeting**

---

**From:** Julie Hunsaker  
**To:** Schultz, Kathy  
**Date:** 3/19/2008 4:20 PM  
**Subject:** RE: RO Meeting

---

Kathy,

I've received a confirmation that the room will have a polycom. I won't have a phone number in advance, though, so we'll need to call Marty once the meeting starts.

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 3/19/2008 3:24 PM >>>

Will there be a phone for FLETC to call into, with a speaker? Marty may be the only one to call in, so we may not need to set up a conference call line.

Thanks.

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, March 19, 2008 2:57 PM  
**To:** Kathy Schultz  
**Subject:** RE: RO Meeting

I just realized I forgot to mention one more thing. The room number is NOT 4813. I was confused about that in my prior message. That is actually the confirmation number for the room reservation. The room is simply known as the Adams Room.

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 3/19/2008 1:17 PM >>>

Julie,

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Thank you.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]

**Sent:** Wednesday, March 19, 2008 1:11 PM

**To:** Schultz, Kathy

**Cc:** Andrea Loiselle; Ivan King

**Subject:** RO Meeting

Hi, Kathy.

I've reserved the Adams Conference Room (#4813) at AI on Thursday morning, March 27th. They've set it aside for us from 9:30 to 12:30 - but my assumption is the meeting will start at 10:00 and probably won't last more than an hour. Please let me know if this works for you. If it does, I'll get information on how to find the room for everyone (which side of the building to enter, etc.).

Julie



## Julie Hunsaker - Tomorrow's Meeting

---

**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 3/26/2008 12:59 PM  
**Subject:** Tomorrow's Meeting

---

Hi, Kathy.

It looks like we may have a fair amount of content for our meeting tomorrow. Would it be okay for me to say that if we don't get through it all, we (NARA) could come back for another DHS RO meeting?

Julie

## Julie Hunsaker - RE: Tomorrow's Meeting

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 3/26/2008 1:43 PM  
**Subject:** RE: Tomorrow's Meeting

---

Julie,

Yes, in fact I was thinking about going back to meeting every month since we have some activities picking up.

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, March 26, 2008 1:00 PM  
**To:** Schultz, Kathy  
**Subject:** Tomorrow's Meeting

Hi, Kathy.

It looks like we may have a fair amount of content for our meeting tomorrow. Would it be okay for me to say that if we don't get through it all, we (NARA) could come back for another DHS RO meeting?

Julie

## Julie Hunsaker - Next Meeting

---

**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 3/27/2008 3:35 PM  
**Subject:** Next Meeting  
**CC:** King, Ivan; Loisel, Andrea

---

Hi, Kathy.

It looks like the next BRIDG meeting is on April 16. I've reserved the Adams Room that afternoon. I don't know what time you want to start the meeting, but we have the room from 1:00 to 3:30.

Julie

## Julie Hunsaker - RE: Next Meeting

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 3/27/2008 3:47 PM  
**Subject:** RE: Next Meeting

---

Julie,

Thanks so much. I will send out the invitation now to see who is available.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, March 27, 2008 3:35 PM  
**To:** Schultz, Kathy  
**Cc:** Andrea Loiselle; Ivan King  
**Subject:** Next Meeting

Hi, Kathy.

It looks like the next BRIDG meeting is on April 16. I've reserved the Adams Room that afternoon. I don't know what time you want to start the meeting, but we have the room from 1:00 to 3:30.

Julie

## Julie Hunsaker - RE: Site Visit

---

**From:** Julie Hunsaker  
**To:** Mason, Quinton  
**Date:** 12/10/2007 1:05 PM  
**Subject:** RE: Site Visit  
**CC:** Delawter, Denise; Hudson, Tammy <CTR>; Schultz, Kathy

---

Quinton,

I will plan on this. Thank you for setting this up!

Julie

>>> "Mason, Quinton" <Quinton.Mason@dhs.gov> 12/10/2007 12:45 PM >>>

Julie,

The meeting is a "GO" for Jan 8<sup>th</sup> @ 0900, Bldg #19. I will meet you at the same location as before (Visitor Entrance). If you have additional questions or information for the group, please submit and I will distribute to personnel prior to meeting.

Meeting will be held in Bldg 19<sup>th</sup> and I will submit necessary documents for your entrance.

v/r

Quinton S. Mason

Records Officer/

Acting Freedom of Information Officer

Department of Homeland Security

Intelligence and Analysis (I&A)

(202) 282-9385

[quinton.mason@dhs.gov](mailto:quinton.mason@dhs.gov)

This communication, along with any attachments, is covered by federal and state law governing electronic communications and may contain confidential and legally privileged information. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution, use or copying of this message is strictly prohibited. If you have received this in error, please reply immediately to the sender and delete this message. Thank you.

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, December 10, 2007 10:36 AM  
**To:** Quinton Mason

**Cc:** Tammy <CTR> Hudson; Schultz, Kathy  
**Subject:** Site Visit

Quinton,

It was nice speaking with you on the phone this morning. This is to confirm the dates we spoke about for the next I&A site visit. My understanding is this visit will be with multiple I&A staff.

Dec 11 (though, I understand this likely this won't be possible due to the short timeframe)

Dec 14

Jan 8

Jan 10

Thank you,

Julie

## Julie Hunsaker - RE: Site Visits

---

**From:** "Ingalls, Sarah" <ingalls\_sarah@bah.com>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/19/2007 10:27 AM  
**Subject:** RE: Site Visits

---

Hi Julie -

Sorry for the delay in my response. I had no e-mail access yesterday. This is tremendously helpful. I'll let the NCSD Records Officers know about the stipulations and the results should the NCSD not make needed records available.

I appreciate your help in navigating this process!

Regards,  
 Sarah Ingalls Sartori  
 Booz Allen Hamilton

Mobile Number: (816) 678-5256  
 Fax Number: (703) 902-3567  
[ingalls\\_sarah@bah.com](mailto:ingalls_sarah@bah.com)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, June 18, 2007 11:50 AM  
**To:** Ingalls, Sarah  
**Subject:** Site Visits

Hi, Sarah.

Here are some sources that reference NARA's practice of conducting site visits to review records on proposed schedules:

NARA's website explains the scheduling process. In the "Review" section it states:

The review of schedules covering records with legal rights implications or potentially permanent series is more time consuming than the review of simple schedules. The time required for the review of such schedules depends on such factors as the number of items in the schedule and their complexity, how many separate agency offices must be contacted or visited, how quickly agency records officers can arrange for site visits and other needed agency contacts, and the appraiser's workload.

Here's the website address: <http://www.archives.gov/records-mgmt/policy/records-schedule-review-process.html>

In *Disposition of Federal Records: A Records Management Handbook*, chapter five gives instructions on schedule preparation and clearance. Page V-16 states, "In processing the SF 115, NARA takes one or more of the following actions: Consultation and examination. After reviewing the 115 for completeness, NARA appraisers may need to consult with agency officials and either see samples of the records or examine them at the agency or an FRC."

Also, Privacy Act Notices in the Federal Register indicate that one of the routine uses of records maintained

in one of these systems is to the National Archives and Records Administration for records management inspections conducted under the authority of 44 USC 2904 and 2906. NARA's ability to review agency records is also referenced by 36 CFR 1220.50.

Ultimately, if we feel we need to review records in order to make an appraisal decision and the agency does not make the records available to us, we simply cannot process the schedule.

I hope this is helpful! Feel free to give me a call if you have any questions.

Julie



**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Fri, Oct 12, 2007 1:24 PM  
**Subject:** RE: Requesting Site Visits

Andrea,

We have a bit of an issue with the Executive Correspondence Tracking and Management Schedule (job no. N1-563-07-001). The person who was in charge of that system is no longer in that position and has not been replaced (she is still with DHS). I spoke to her and she stated that if you wanted to meet with her she could explain the system to you and go over the record information, but she could not show you the actual documentation.

Would that be helpful?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Hudson, Tammy <CTR>  
Sent: Wednesday, October 10, 2007 11:10 AM  
To: 'Andrea Loiselle'  
Cc: Julie Hunsaker; Schultz, Kathy  
Subject: RE: Requesting Site Visits

Andrea,

Let me check with the people in these groups - they're all located at the NAC (Nebraska Ave Complex), so we should be able to schedule these for 1 day.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, October 10, 2007 10:56 AM  
To: Hudson, Tammy; Schultz, Kathy  
Cc: Julie Hunsaker  
Subject: Requesting Site Visits

Kathy and Tammy,

I am working on the appraisal of the Executive Level Records Schedule (job no. N1-563-07-013) and also inherited the Executive Correspondence

Tracking and Management Schedule (job no. N1-563-07-001) from Jennie Guilbaud. Since the records in these two schedules are related, Julie and I would like to set up a site visit to view the records and the system. I realize that you've already been through a visit for the system with Debbie and Jennie, and apologize for the need to repeat this process of the appraisal, but it would be helpful for our understanding.

We also need to arrange a site visit for the Office of Intelligence & Analysis (I&A) Program Records (job no. N1-563-07-016) and hoped that we might be able to schedule the visits on the same day if possible.

Julie and I are available on the following dates in October: 15, 18, 22, 25, 29, and 30. If these dates do not work, please let us know and we will provide November dates as well.

Thanks,  
Andrea

Andrea Pugsley Loiselle  
Records Analyst  
Lifecycle Management Division (NWML)  
National Archives and Records Administration-College Park  
8601 Adelphi Road, Rm. 2100  
College Park, MD 20740  
(301) 837-1684

**CC:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>, "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Mon, Jun 23, 2008 7:04 PM  
**Subject:** RE: Site Visit on 6/30

She and I have been playing telephone tag. I'll try her in the am - I'm out tmrw afternoon.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207-E (202) 282-8562  
tammy.hudson@associates.dhs.gov

---

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Mon 6/23/2008 3:31 PM  
To: Hudson, Tammy  
Cc: Julie Hunsaker  
Subject: Site Visit on 6/30

Tammy,

Have you recieved any response about the availability of viewing records during the site visit next Monday? If we will not be able to see the records, preferably at a location in which they are maintained, we may want to reschedule for a time when we can. Please let me know as soon as possible, as I will be out of the office Wed-Fri this week.

Thanks,  
Andrea

**CC:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 6/24/2008 10:50:04 AM  
**Subject:** RE: Site Visit on 6/30

Tammy,

Thanks for trying to get this worked out. If we can't arrange to have the visit on site by Monday, we will need to reschedule. If we will not ever be able to have the visit on site, we will have to withdraw the schedule.

If you don't get a positive response by the end of the day, please correspond with Julie the rest of the week to let us know if we're on for Monday or not.

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/24/2008 10:29 AM >>>

I'm not getting a good feeling about this. They are very hesitant to let you look at the records even though I explained how it would work and that you've done this before.

I gave them Quinton Mason's name in I&A to talk to. Hopefully he can make them feel more comfortable...

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loiselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Monday, June 23, 2008 3:32 PM  
To: Hudson, Tammy  
Cc: Julie Hunsaker  
Subject: Site Visit on 6/30

Tammy,

Have you recieved any response about the availability of viewing records during the site visit next Monday? If we will not be able to see the records, preferably at a location in which they are maintained, we may want to reschedule for a time when we can. Please let me know as soon as possible, as I will be out of the office Wed-Fri this week.

Thanks,  
Andrea

**CC:** Hunsaker, Julie

**From:** Andrea Loïselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 6/24/2008 11:04:49 AM  
**Subject:** RE: Site Visit on 6/30

Thanks.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/24/2008 11:00 AM >>>  
We won't let the schedule get withdrawn - they'll have to comply at some point. My problem is that I'm a contractor and Kathy is on vacation this week. She will be the one that will have to be more aggressive on this with the program.

I'll keep Julie updated.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loïselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Tuesday, June 24, 2008 10:50 AM  
To: Tammy <CTR> Hudson  
Cc: Julie Hunsaker  
Subject: RE: Site Visit on 6/30

Tammy,

Thanks for trying to get this worked out. If we can't arrange to have the visit on site by Monday, we will need to reschedule. If we will not ever be able to have the visit on site, we will have to withdraw the schedule.

If you don't get a positive response by the end of the day, please correspond with Julie the rest of the week to let us know if we're on for Monday or not.

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/24/2008 10:29 AM >>>

I'm not getting a good feeling about this. They are very hesitant to let you look at the records even though I explained how it would work and that you've done this before.

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Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loiselle [<mailto:Andrea.Pugsley@nara.gov>]

Sent: Monday, June 23, 2008 3:32 PM

To: Hudson, Tammy

Cc: Julie Hunsaker

Subject: Site Visit on 6/30

Tammy,

Have you recieved any response about the availability of viewing records during the site visit next Monday? If we will not be able to see the records, preferably at a location in which they are maintained, we may want to reschedule for a time when we can. Please let me know as soon as possible, as I will be out of the office Wed-Fri this week.

Thanks,  
Andrea

**CC:** Hunsaker, Julie

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** Thu, Jun 26, 2008 1:57 PM  
**Subject:** RE: FW: NARA Visit

I did take that part and sent it to her. I'll let you know tmrw am what the verdict is.

Thanks-

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
Sent: Thursday, June 26, 2008 12:03 PM  
To: Tammy <CTR> Hudson  
Cc: Andrea Loiselle  
Subject: Re: FW: NARA Visit

p.s. I put all that info in my message in case you wanted to forward it (not that you have to). In other words, it wasn't directed at you - it's more for the benefit of the program office.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/26/2008 11:22 AM >>>

Let me know if this won't work.

If we need to cancel, Kathy will have to work with them to get you access to the physical files. I've hit my limit with what I can do as a contractor.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Seay, Linda <CTR>  
Sent: Thursday, June 26, 2008 11:14 AM  
To: Hudson, Tammy <CTR>  
Subject: RE: NARA Visit

Correct.

Linda A. Seay

Counterintelligence and Investigations Division

DHS, Office of Security

202-254-6444 (office)

202-254-6403 (fax)

---

From: Hudson, Tammy <CTR>  
Sent: Thursday, June 26, 2008 11:11 AM  
To: Seay, Linda <CTR>  
Subject: RE: NARA Visit

I forwarded this to NARA to see what their response is. I take it that this means they would not be able to actually view any of the physical files.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562



tammy.hudson@associates.dhs.gov

---

From: Seay, Linda <CTR>  
Sent: Thursday, June 26, 2008 10:53 AM  
To: Hudson, Tammy <CTR>  
Subject: NARA Visit

Is it ok if they see our case file spreadsheet? It will tell them the subject, brief description and type of case it is without seeing the actual case file.

Linda A. Seay

Counterintelligence and Investigations Division

DHS, Office of Security

202-254-6444 (office)

202-254-6403 (fax)

**CC:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>, "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Fri, Jun 27, 2008 11:02 AM  
**Subject:** FW: NARA Visit

fyi

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Hudson, Tammy <CTR>  
Sent: Friday, June 27, 2008 10:58 AM  
To: Seay, Linda <CTR>; Wisniewski, Leo  
Subject: RE: NARA Visit

I spoke to the NARA reps this morning and we will move forward with a scaled down version of the review. I've sent you the invitation for Monday, 6/30 at 1:00 at 7th & D. I reserved a conference room. Please bring along the case file spreadsheet that you mentioned below and we will work from there.

Thanks!

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>, "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**Date:** 7/2/2008 6:56:48 AM  
**Subject:** RE: Office Site Visit

Brian,

Please see Julie on this - we've had a slight change to the NCS schedule and have included it with an upper level schedule item which was submitted yesterday (Cyber Security and Communications program records).

I'll have to get back to you on dates.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Tuesday, July 01, 2008 3:47 PM  
To: Tammy <CTR> Hudson; Schultz, Kathy  
Cc: Julie Hunsaker  
Subject: Office Site Visit

Good afternoon Tammy and Kathy,

Below are proposed dates for a site visit to review the records in your submitted proposed schedules for the Committee of Principals Records, N1-563-08-21, and the National Communications Systems (NCS) Program Records, N1-563-08-22.

July 23-25, 30, afternoon of the 31, August 1, 4, and 8.

Tammy, I will be calling you over the next several days about smaller issues about these records.

thanks!

brian

BRIAN T. WOODALL, Archives Specialist  
Life Cycle Management Division  
National Archives and Records Administration  
8601 Adelphi Road  
College Park, MD 20740-6001  
V: 301.837.1574. F: 301.837.3698  
E-mail: brian.woodall@nara.gov

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** 7/2/2008 10:07:12 AM  
**Subject:** RE: Office Site Visit

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Tuesday, July 01, 2008 3:47 PM  
To: Tammy <CTR> Hudson; Schultz, Kathy  
Cc: Julie Hunsaker  
Subject: Office Site Visit

Good afternoon Tammy and Kathy,

Below are proposed dates for a site visit to review the records in your submitted proposed schedules for the Committee of Principals Records, N1-563-08-21, and the National Communications Systems (NCS) Program Records, N1-563-08-22.

July 23-25, 30, afternoon of the 31, August 1, 4, and 8.

Tammy, I will be calling you over the next several days about smaller issues about these records.

thanks!

brian

BRIAN T. WOODALL, Archives Specialist  
Life Cycle Management Division  
National Archives and Records Administration  
8601 Adelphi Road  
College Park, MD 20740-6001  
V: 301.837.1574. F: 301.837.3698  
E-mail: brian.woodall@nara.gov

---

**CC:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>

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

---

**National Protection and Programs Directorate**

---

Office of Cybersecurity and Communications (CS&C) has the mission of assuring the security, resiliency, and reliability of the nation's cyber and communications infrastructure in collaboration with the public and private sectors, including international partners.

Specifically, CS&C is focused on preparing for and responding to catastrophic incidents that could degrade or overwhelm the networks, systems, and assets that operate our nation's information technology (IT) and communications infrastructure.

Programs include the following:

- National Communications System
  - National Cyber Security Division
  - Office of Emergency Communications
- 

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

---

**1 Delegation/Meeting Files**

Contains meeting announcements, schedules and participant lists; may also include, topics of discussions, issue and talking points, biographies, summary and/or position papers and information and background.

**Disposition:**

TEMPORARY. Cut off annually. Destroy or delete 3 years after cutoff.

**2 Disaster Preparedness and Planning Records**

Records created through national coordination activities, including Exercise Concept Papers (CONOPS), Exercise Plans, Controller Observer Guidelines templates, Concept Development Conference documents, Initial Planning Conference documents, Mid-Term Planning Conference (MPC) documents, Final Planning Conference (FPC) documents, Final Master Scenario Event List Conference documents, After Action Conferences documents, Exercise reports, Conference reports (e.g. meeting notes, etc.), and After-Action reports.

**Disposition:**

PERMANENT. Cut off files annually. Transfer to the National Archives 10 years after cut off.

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

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**3 Federal Telecommunications Recommendations (FTR)**

Issued by the Technology and Standards Division, after approval by the Federal Telecommunication Standards Committee and the Deputy Manager, NCS, pursuant to Executive Order 12472, NCS Directive 4-1, and Public Law 104-113.

**Disposition:**

TEMPORARY. Review annually. Cut off files that have had no action in 5 years. Destroy or delete at cutoff.

**4 Federal Telecommunications Standard Committee (FTSC)**

Committees established by agency authority for facilitative or operational purposes, related to the agency's mission, e.g. committees tasked with reviewing policy, studying reorganizations, recommending new actions or developing multi-year plans.

Records created by committees, including agenda, minutes, reports, and related records documenting the accomplishments, policies, and membership of committees.

Files that relate to day-to-day committee activities and/or do not contain unique information of historical value, including such records as:

- correspondence
- other routine records, such as public mail, requests for information, consultant personnel files, etc.

**Disposition:**

TEMPORARY. Cut off on termination of committee. Destroy or delete 2 years after cutoff.

**5 Federal Telecommunications Standard Committee (FTSC)**

Copies of committee records, such as agendas, meeting minutes, final reports and related records created by or documenting the accomplishments of committees, excluding those kept by the sponsor or Secretariat.

**Disposition:**

TEMPORARY. Destroy or delete when 3 years old.

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

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**6 Federal Telecommunications Standard Committee (FTSC)**

In accordance with Executive Order 12472 relating to the Management responsibilities for the FTSP, the Manager, NCS established the Federal Telecommunications Standard Committee (FTSC) in which NCS member agencies may participate. Other Federal agencies may participate with concurrence of the Manager, NCS. The FTSC is chaired by the Assistant Manager, Office of Technology and Standards.

Files documenting the Committee's establishment, membership, policy, organization, deliberations, findings, and recommendations, including such records as

- original charter, renewal and amended charters, organization charts, functional statements, directives or memorandums to staff concerning their responsibilities, and other materials that document the organization and functions of the Committee and its components
- agendas, briefing books, minutes, testimony, and transcripts of meetings and hearings as well as audiotapes and/or videotapes of meetings and hearings which were not fully transcribed
- one copy each of reports, studies, pamphlets, posters (2 copies) and other publications produced by or for the committee as well as news releases, commissioners' speeches, formal photographs and other significant public affairs files
- correspondence, subject and other files maintained by key committee staff, such as the chair, executive director, and legal counsel, documenting the functions of the committee
- substantive records relating to research studies and other projects, including unpublished studies and reports and substantive research materials (may include electronic data).
- questionnaires, surveys and other raw data accumulated in connection with research studies and other projects where the information has been consolidated or aggregated in analyses, reports, or studies covered by Item 2(a) (may include data maintained electronically).
- Records created to comply with the provisions of the Government in the Sunshine Act, annual reports to Congress describing the agency's compliance with the act.

**Disposition:**

PERMANENT. Transfer to the National Archives on termination of the Committee. Earlier periodic transfers are authorized for committees operating for 3 years or longer.

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

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- Documentation of subcommittees, working groups, or other subgroups of advisory committees, that support their reports and recommendations to the full or parent committee. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records.
- Documentation of formally designated subcommittees and working groups. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records.

**7 National Communications Capabilities Report (NCCR)**

Provides a framework for evaluating current emergency communications capabilities across all levels of government (Federal, State, local, and tribal). Report results and findings provide valuable input into the development of the National Emergency Communications Plan.

Phase 1, Initial Results - delivered to Congress in Spring 2008 and assist government officials at all levels to determine priorities and allocate resources more effectively.

**Disposition:**

PERMANENT. Cut off files annually. Transfer to the National Archives 10 years after cut off.

**8 National Coordinating Center (NCC) Charter**

The legally binding document incorporating the organization and specifying its purpose, remit or bylaws.

**Disposition:**

PERMANENT. Transfer to the National Archives on termination of the NCC.



**U.S. Department of Homeland Security**  
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**9 National Emergency Communications Plan (NECP)**

Developed in coordination with the emergency response community, government officials, and industry representatives as part of OEC's practitioner-driven approach to addressing emergency communications issues. Leveraging the information gathered from the Statewide Communication Interoperability Plans (SCIPs) and Tactical Interoperable Communications Plans (TICPs) to identify gaps and priority initiatives for emergency communications nationwide, the NECP will provide overarching national goals and priorities for improving operable, interoperable, and continuity of communications within the Federal, State, local, and tribal emergency response community.

**Disposition:**

PERMANENT. Cut off when plan has been superseded. Transfer to NARA 5 years after cutoff.

**10 Strategic Planning Records**

Documents relating to the work and output of the office, including NCS missions and strategic and implementation plans, files containing formulation and issuance of NCS policy (including relevant background material such as drafts with substantive comments and/or drafts circulated for comment), copies of regulations, speeches, testimony for congressional hearings, and investigation and program and project reports, assets identified in the agency's capital investment portfolio; and clearance and review records

**Disposition:**

PERMANENT. Cut off files annually. Transfer to the National Archives 10 years after cutoff.

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

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**11 Technical Assessments**

Files maintained for each technical assessment may include, but are not limited to, copies of authorizations; preparation instructions; correspondence, memoranda, survey forms, risk assessments, and reports created and collected during the course of surveys and studies.

**Disposition:**

- a. Project file (excluding Final Report)  
Correspondence on assessments, working files, drafts, standards, studies, and work plans.  
TEMPORARY. Destroy or delete 5 years after completion or cancellation of assessment or 1 year after responsible office determines it is no longer needed for legal, audit, administrative or business purposes.
- b. Final Report  
TEMPORARY. Destroy or delete 25 years from the completion of the assessment.
- c. Projects not implemented  
TEMPORARY. Cut off on date of decision to decline. Destroy or delete when no longer needed for business purposes.

**12 Technical Information Bulletins/Tech Notes**

Describes the non-proprietary concepts and protocols that were components of the responses to a request for information (RFI), in addition to information obtained from sources such as standard bodies, technology forums, technology magazines, and professional organizations

These reports are published electronically, collected into a formal series, and are assigned an identifier (report number, volume number).

**Disposition:**

TEMPORARY. Review annually. Cut off files that have had no action in 5 years. Destroy or delete at cutoff.

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

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**13 Telecommunications/Cyber Security Standards Records**

Records related to the development of telecommunications standards, best practices, and research and development.

Files maintained may include, but are not limited to, copies of authorizations; preparation instructions; documents relating to the evaluation, revision, or implementation of standards; and may also include correspondence, memoranda and final reports.

**Disposition:**

TEMPORARY. Cut off at the end of the calendar year or when no longer needed for review and analysis, whichever is later. Destroy or delete 3 years after cutoff.

**14 Test and Evaluation Files**

Consists of the following:

- Test Evaluation Master Plan developed by system, of how test evaluations will be carried out and documented.
- Integrated Master Schedule that plots dates and schedules for evaluations
- Analysis of Alternatives for evaluations of alternative designs based on performance, cost, schedule and risk criteria
- Performance specifications
- Joint capability and capability design documents
- Test evaluation results
- Concept of Operations

**Disposition:**

a. Test Project file (excluding Final Report)  
TEMPORARY. Destroy or delete 5 years after completion or cancellation of project or 1 year after responsible office determines it is no longer needed for legal, audit, administrative or business purposes.

b. Final Report  
TEMPORARY. Review annually. Cut off inactive files that have had no action in 5 years. Destroy or delete at cutoff.

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

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**National Protection and Programs Directorate**

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The goal of the National Protection and Programs Directorate is to advance the Department's risk-reduction mission. Reducing risk requires an integrated approach that encompasses both physical and virtual threats and their associated human elements.

The components of the National Protection and Programs Directorate include:

- Office of Cybersecurity and Communications (CS&C): CS&C has the mission of assuring the security, resiliency, and reliability of the nation's cyber and communications infrastructure.
  - Office of Infrastructure Protection (OIP): OIP leads the coordinated national effort to reduce risk to our critical infrastructures and key resources (CIKR) posed by acts of terrorism. In doing so, the Department increases the nation's level of preparedness and the ability to respond and quickly recover in the event of an attack, natural disaster, or other emergency.
  - Office of Intergovernmental Programs (IGP): IGP has the mission of promoting an integrated national approach to homeland security by ensuring, coordinating, and advancing federal interaction with state, local, tribal, and territorial governments.
  - Office of Risk Management and Analysis (RMA): RMA serves as the Department's Executive Agent for national risk management and analysis.
  - US-VISIT uses innovative biometrics-based technological solutions—digital fingerprints and photographs—to provide decision-makers with accurate information when and where they need it.
- 

**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 Administrative Trip Books**

Contains schedules, agendas, topics of discussions, issue and talking points, biographies, summary and/or position papers and information and background.

**Disposition:**

TEMPORARY. Cut off annually. Destroy or delete 3 years after cutoff.

**U.S. Department of Homeland Security  
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**2 Incident Management Files**

Includes incident specific daily status reports, after action reports, alerts, action plans, advisories, briefings, binders, supporting documentation and final reports distributed via email and/or web based posting to support, DHS Components and Federal, State, and Local Governments. Information is received, analyzed and reported and serves as unique documentation on the CI/KR status of operations during an incident.

**Disposition:**

PERMANENT. Cut off after publishing the final report. Transfer to NARA 20 years after cutoff.

**3 Incident Report**

Includes incident specific status, after action reports, and supporting documentation distributed to DHS Components and Federal, State, and Local Governments and Private Sector in the event emergency radio contact is required during an incident.

**Disposition:**

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

**4 Lessons Learned / Best Practices**

Documents the techniques, methods, processes or activities tested and found to be the most efficient and effective way of accomplishing a task, based on repeatable procedures that have proven themselves over time.

**Disposition:**

TEMPORARY. Cut off upon completion. Destroy or delete 5 years after cutoff or when no longer needed for business purposes, whichever is longer.

**5 Media Advisory**

A public notification containing information on significant upcoming events distributed to DHS components and other Federal, state and local agencies and media outlets.

**Disposition:**

TEMPORARY. Cut off on date of publication. Destroy or delete 5 years after cutoff.

**6 Program Monitoring Records**

Includes records which relate to the on-going management of programs and routine projects within programs. Types of files include both mission and operational programs and may be maintained by one or more organizational units.

**Disposition:**

TEMPORARY. Cut off at the end of the calendar year. Destroy or delete 7 years after cutoff.

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

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**7 Training and Exercise Files**

Records include correspondence, marketing, registrations, attendance, evaluations, sign-in sheets, course materials, and lessons learned created for facility-sponsored training, outreach, and exercises.

**Disposition:**

TEMPORARY. Cut off at end of fiscal year when superseded, obsolete, or no longer needed. Destroy or delete 1 year after cutoff.

**8 Vulnerability Assessment Files**

Files maintained for each assessment may include, but are not limited to, copies of authorizations; preparation instructions; correspondence, memoranda, survey forms, risk assessments, and reports created and collected during the course of surveys and studies on critical infrastructures and key resources

**Disposition:**

a. Project file (excluding Final Report)  
Any correspondence on vulnerability assessments, working files, drafts, standards, studies, and work plans.  
TEMPORARY. Destroy or delete 5 years after completion or cancellation of assessment or 1 year after responsible office determines it is no longer needed for legal, audit, administrative or business purposes.

b. Final Report

1) Tier 1 and Tier 2 CI/KR Assessments

TEMPORARY. Destroy or delete 99 years from the completion of the assessment.

2) All Other Assessments

TEMPORARY. Destroy or delete 25 years from the completion of the assessment.

c. Projects not implemented

TEMPORARY. Cut off on date of decision to decline. Destroy or delete when no longer needed for business purposes.

**9 Weekly Activity Reports**

Records of weekly reports of significant activity for the attention of the Under Secretary, Assistant Secretaries or Directors of NPPD; includes reports prepared highlighting information prepared by NPPD personnel.

**Disposition:**

TEMPORARY. Cut off at the end of the calendar year. Destroy or delete 1 year from cutoff or when no longer needed for reference.

## Julie Hunsaker - FW: Investigative Case Files Schedule Review

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**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** <julie.hunsaker@nara.gov>, <andrea.pugsley@nara.gov>  
**Date:** 4/25/2008 11:10 AM  
**Subject:** FW: Investigative Case Files Schedule Review

---

Just so you can see it really wasn't me that messed this up.

I am so sorry about the mix-up!!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Thursday, March 27, 2008 6:22 AM  
**To:** Seay, Linda <CTR>  
**Subject:** RE: Investigative Case Files Schedule Review

7<sup>th</sup> & D works well for us too. I'm not sure how many people, I'll check with NARA today and let you know.

Are you available on 4/24 or 4/25 to do this?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Seay, Linda <CTR>  
**Sent:** Wednesday, March 26, 2008 3:29 PM  
**To:** Hudson, Tammy <CTR>  
**Subject:** RE: Investigative Case Files Schedule Review

Can we set up a meeting with them at 7<sup>th</sup> & D? How many people will be coming over?

Thanks

## Linda A. Seay

Counterintelligence and Investigations Division  
DHS, Office of Security  
202-254-6444 (office)  
202-254-6403 (fax)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Wednesday, March 26, 2008 11:18 AM  
**To:** Seay, Linda <CTR>  
**Subject:** RE: Investigative Case Files Schedule Review

That's okay if they can't view them. With those, they'll probably just want to ask about process and general content.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** Seay, Linda <CTR>  
**Sent:** Wednesday, March 26, 2008 11:16 AM  
**To:** Hudson, Tammy <CTR>; Zawodny, Kenneth; Wisniewski, Leo  
**Cc:** Jones, Stephen; Smith, Ora; Parkinson-Irving, Jean; Boyce, Daniel <CTR>  
**Subject:** RE: Investigative Case Files Schedule Review

I will need to speak to our Chief in this department, as our investigative files are not for public view.

## Linda A. Seay

Counterintelligence and Investigations Division  
DHS, Office of Security  
202-254-6444 (office)  
202-254-6403 (fax)

**From:** Hudson, Tammy <CTR>  
**Sent:** Wednesday, March 26, 2008 6:55 AM  
**To:** Zawodny, Kenneth; Wisniewski, Leo; Seay, Linda <CTR>  
**Cc:** Jones, Stephen; Smith, Ora; Parkinson-Irving, Jean; Boyce, Daniel <CTR>  
**Subject:** RE: Investigative Case Files Schedule Review

NARA has requested a site visit to review the Investigative Case Files. I need to coordinate a time that they can meet with a representative to discuss (and possibly view) the records.

They are currently available on the following dates: April 18, 21, 24, 25, and 28.

Please let me know by COB Friday, 3/28, which of these dates you are available.

Thank you

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** Zawodny, Kenneth  
**Sent:** Wednesday, March 05, 2008 8:24 AM  
**To:** Hudson, Tammy <CTR>  
**Cc:** Jones, Stephen; Smith, Ora; Parkinson-Irving, Jean; Boyce, Daniel <CTR>; Wisniewski, Leo; Seay, Linda <CTR>  
**Subject:** RE: Investigative Case Files Schedule Review

Stephen;

Please review below and attached and coordinate with Ms. Hudson regarding our



records retention intentions for the BI files.

Jean;

I think Leo has the lion's share of the rest of the files, but a few might be part of other Division operations.

Thanks, Ken Z.

Kenneth J. Zawodny Jr.  
Chief, Personnel Security  
Department of Homeland Security  
(202) 447-5371 (Ofc)  
(202) 557-6029 (Cell)

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**From:** Hudson, Tammy <CTR>  
**Sent:** Wednesday, March 05, 2008 7:58 AM  
**To:** Wisniewski, Leo; Zawodny, Kenneth  
**Cc:** Seay, Linda <CTR>  
**Subject:** RE: Investigative Case Files Schedule Review

Good morning,

I'm just following up on this.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Hudson, Tammy <CTR>  
**Sent:** Tuesday, February 19, 2008 12:45 PM  
**To:** Wisniewski, Leo; Zawodny, Kenneth; Boese, Erik  
**Cc:** Seay, Linda <CTR>  
**Subject:** Investigative Case Files Schedule Review

Good afternoon,

We recently submitted the Investigative Case Files schedule to NARA for registration. They are currently in the appraisal portion of the review which will require a site review where they would like to ask you some questions about these items.

I've attached a copy of the schedule that we submitted – could you let me know which of the items your program handles and that you (or someone you designate) would feel comfortable discussing with them? I haven't actually scheduled a date for this yet – I want to see how many different meetings we need to arrange first.

Thanks again for your help! Let me know if you have any questions.

Tammy

Tammy Hudson  
DHS Records Management - Contractor

**U.S. Department of Homeland Security  
Office of Inspector General  
Investigative Case Files and Data Management System**

The Homeland Security Act of 2002 provided for the establishment of an Office of Inspector General (OIG) in the Department of Homeland Security (DHS) by amendment to the Inspector General Act of 1978. By this action, Congress and the administration ensured independent and objective audits, inspections and investigations of the Department. The Inspector General is appointed by the President, subject to confirmation by the Senate, and reports directly to the Secretary of DHS and to Congress.

This record system consists of paper investigative files and an electronic case management and tracking information system. These disposition instructions are media neutral (except items 1b and 2b); they apply regardless of the media or format of the records.

**1. Investigative 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 relate to DHS personnel and programs and operations administered or financed by DHS, including contractors and others having a relationship with DHS. This includes investigative reports and related documents, such as correspondence, notes, attachments and working papers.

- a. All Investigative Case Files EXCEPT for unusually significant cases covered in Item 1b.**

**Disposition: TEMPORARY.** Cutoff at end of fiscal year in which case is closed. Transfer to Federal Records Center as volume warrants. Destroy 20 years after cutoff.

- b. Significant Investigative Case Files** that (1) involve allegations made against senior DHS officials; (2) attract national media or Congressional attention; or (3) result in substantive changes in DHS policies or procedures. Significant cases will be selected by the Office of the Inspector General based on the above criteria.

**Disposition: PERMANENT.** Cutoff at end of fiscal year in which case is closed. When volume warrants, transfer to the Federal Records Center for temporary storage. Transfer to the National Archives for permanent retention 20 years after cutoff.

**2. Investigations Data Management System (IDMS)**

The Investigative Data Management System (IDMS) supports the OIG Office of Investigations in its mission to conduct and supervise investigations of alleged violations of criminal, civil or administrative laws and regulations relating to DHS employees, contractors and other individuals and entities associated with DHS. The database is used to process complaints and to manage information provided during investigations. The system allows the OIG to index investigative case information; manage case inventory; track complaint status, disposition and results; and prepare various management and statistical reports. The IDMS also captures investigative property records and special agent training records for Office of Investigation employees.

The IDMS contains records from 2002 to the present. Historical data is included from the Offices of Inspectors General for three legacy DHS agencies: Department of the Treasury, Department of Justice, and Federal Emergency Management Administration.

**a. Inputs/Source Documents**

Complaints and other investigative information are received by telephone, mail, electronic mail, fax and walk-ins. All complaints and information are assigned a complaint number and the information is entered into the system through an on-line Complaint Data Entry form. Investigative offices make additional entries as information is developed. Also includes keyed entries for investigative property records for all OIG Office of Investigations employees and other investigator related information.

**1) Complaint Data Entry Form and related documentation.**

**Instructions:** After the data has been entered and/or scanned and verified, file incoming source documentation in the appropriate investigative case file. See Investigative Case Files (Items 1a and 1b in this schedule) for disposition.

**2) Investigative property records for all OIG Office of Investigations employees and other investigator related information.**

**Disposition: TEMPORARY.** Delete when superseded or when no longer needed for operational purposes.

**b. Master File/Database Contents**

Electronic Complaint and Investigative Case Information.

Data elements include, but are not limited to the following items: date of complaint, complaint number, names and other identifying information for complainants, witnesses, informants, suspects or other parties involved; matters alleged; and complaint disposition and resulting actions. This information may include scanned images. Files also include modules for data investigative property records and other investigator related information.

**1) Complaint information and related documentation (except for data related to unusually significant cases).**

**Disposition: TEMPORARY.** Cutoff at end of fiscal year in which case is closed. Delete 20 years after cutoff, or when no longer needed for operational purposes, whichever is later.

**2) Significant complaint information and related documentation.**

**Disposition: PERMANENT.** Cutoff at end of fiscal year in which case is closed. Transfer physical custody to NARA 5 years after cutoff. Transfer legal custody to NARA 20 years after cutoff.

**3) Investigative property records for all OIG Office of Investigations employees and other investigator related information.**

**Disposition: TEMPORARY.** Delete when superseded or when no longer needed for operational purposes.

**c. Outputs**

Management Tracking and other Ad Hoc Reports

Reports include printed or on-line display reports containing lists or summary statistical information concerning investigative caseload, accomplishments, etc.

**Disposition: TEMPORARY.** Destroy when no longer needed for business purposes or place in appropriate file and apply approved disposition for that item.

## Julie Hunsaker - Re: FW: Investigative Case Files Schedule Review

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**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 4/28/2008 6:24 PM  
**Subject:** Re: FW: Investigative Case Files Schedule Review  
**CC:** Kathy.Schultz@DHS.GOV; Loiselle, Andrea

---

Tammy,

We appreciate everything you do to assist us with our work and we very much enjoy working with you. We understand that mix-ups happen and lines of communication sometimes get crossed. However, this mix-up could not have happened at a worse time. This site visit was difficult for us to set up. It involved quite high-level NARA managers; we had two of our Branch Chiefs and a Division Director there. It came as quite a shock, then, to realize that we had invited them to a site visit (which required an hour's travel on either end) that would not happen. In the future, when you set up a meeting, would you please take the additional step to confirm the details with all participants and ensure that all DHS staff who are supposed to be at the meeting will in fact be there? We would greatly appreciate this. Also, would you please prepare DHS staff to show us the records associated with a schedule when we conduct site visits? We will particularly need this advance preparation with program staff when the schedule includes proposed permanent records.

On a different note, we've noticed lately that some schedules we review during site visits end up requiring a large number of revisions (e.g., NCSD and OPA). For example, items are dropped because the associated records don't exist, authorities overlap, or entire descriptions are re-written. We think this may only be happening with schedules you didn't author. I'm not sure I've been very clear about what our expectations are concerning site visits, so I thought I would take this opportunity to explain that when we conduct them, we expect that the basic structure and content of the proposed schedule has been thoroughly reviewed, is accurate, and the schedule will require very few revisions, if any. As a result, we would also appreciate it if -- for those schedules you didn't write yourself -- you could visit the offices beforehand to verify the accuracy of the information in the proposed schedule before we conduct site visits.

I'm sending a link to a pamphlet NARA developed about how to prepare for appraisal site visits. It's pretty basic and I'm sure you already know most of what's in it, but I thought I'd send it along in case you might like to see some guidance laid out. <http://www.archives.gov/records-mgmt/publications/appraisal-meeting.pdf>

Please let me know if you have any questions or concerns about any of this. Feel free to give me a call if you'd like to discuss.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/25/2008 11:04 AM >>>  
 Just so you can see it really wasn't me that messed this up.

I am so sorry about the mix-up!!

-tlh

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Hudson, Tammy <CTR>

**Sent:** Thursday, March 27, 2008 6:22 AM  
**To:** Seay, Linda <CTR>  
**Subject:** RE: Investigative Case Files Schedule Review

7<sup>th</sup> & D works well for us too. I'm not sure how many people, I'll check with NARA today and let you know.

Are you available on 4/24 or 4/25 to do this?

Tammy Hudson  
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**Sent:** Wednesday, March 26, 2008 3:29 PM  
**To:** Hudson, Tammy <CTR>  
**Subject:** RE: Investigative Case Files Schedule Review

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Thanks

## Linda A. Seay

Counterintelligence and Investigations Division  
DHS, Office of Security  
202-254-6444 (office)  
202-254-6403 (fax)

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**Subject:** RE: Investigative Case Files Schedule Review

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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**Sent:** Wednesday, March 26, 2008 11:16 AM  
**To:** Hudson, Tammy <CTR>; Zawodny, Kenneth; Wisniewski, Leo  
**Cc:** Jones, Stephen; Smith, Ora; Parkinson-Irving, Jean; Boyce, Daniel <CTR>  
**Subject:** RE: Investigative Case Files Schedule Review

I will need to speak to our Chief in this department, as our investigative files are not for public view.

## Linda A. Seay

Counterintelligence and Investigations Division

DHS, Office of Security  
202-254-6444 (office)  
202-254-6403 (fax)

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**Sent:** Wednesday, March 26, 2008 6:55 AM  
**To:** Zawodny, Kenneth; Wisniewski, Leo; Seay, Linda <CTR>  
**Cc:** Jones, Stephen; Smith, Ora; Parkinson-Irving, Jean; Boyce, Daniel <CTR>  
**Subject:** RE: Investigative Case Files Schedule Review

NARA has requested a site visit to review the Investigative Case Files. I need to coordinate a time that they can meet with a representative to discuss (and possibly view) the records.

They are currently available on the following dates: April 18, 21, 24, 25, and 28.

Please let me know by COB Friday, 3/28, which of these dates you are available.

Thank you

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Zawodny, Kenneth  
**Sent:** Wednesday, March 05, 2008 8:24 AM  
**To:** Hudson, Tammy <CTR>  
**Cc:** Jones, Stephen; Smith, Ora; Parkinson-Irving, Jean; Boyce, Daniel <CTR>; Wisniewski, Leo; Seay, Linda <CTR>  
**Subject:** RE: Investigative Case Files Schedule Review

Stephen;

Please review below and attached and coordinate with Ms. Hudson regarding our records retention intentions for the BI files.

Jean;

I think Leo has the lion's share of the rest of the files, but a few might be part of other Division operations.

Thanks, Ken Z.

Kenneth J. Zawodny Jr.  
Chief, Personnel Security  
Department of Homeland Security  
(202) 447-5371 (Ofc)  
(202) 557-6029 (Cell)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Wednesday, March 05, 2008 7:58 AM  
**To:** Wisniewski, Leo; Zawodny, Kenneth  
**Cc:** Seay, Linda <CTR>

**Subject:** RE: Investigative Case Files Schedule Review

Good morning,

I'm just following up on this.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Tuesday, February 19, 2008 12:45 PM  
**To:** Wisniewski, Leo; Zawodny, Kenneth; Boese, Erik  
**Cc:** Seay, Linda <CTR>  
**Subject:** Investigative Case Files Schedule Review

Good afternoon,

We recently submitted the Investigative Case Files schedule to NARA for registration. They are currently in the appraisal portion of the review which will require a site review where they would like to ask you some questions about these items.

I've attached a copy of the schedule that we submitted - could you let me know which of the items your program handles and that you (or someone you designate) would feel comfortable discussing with them? I haven't actually scheduled a date for this yet - I want to see how many different meetings we need to arrange first.

Thanks again for your help! Let me know if you have any questions.

Tammy

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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** Andrea Loiselle  
**To:** Tammy.Hudson@associates.dhs.gov  
**Date:** 6/11/2008 10:31:09 AM  
**Subject:** Re: FW: NARA Site Review - Investigative Files (Out of Office)

I will be on leave from June 5 to June 11. If you require immediate assistance, please contact my Work Group Leader, Julie Hunsaker at 301-837-0661 or Julie.Hunsaker@nara.gov. Otherwise, I will respond to your e-mail when I return.

Thanks,  
Andrea

>>> Tammy.Hudson 06/11/08 10:30 >>>

Looks like any day but the 19th. Are the other dates still available?

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Seay, Linda <CTR>  
Sent: Wednesday, June 11, 2008 10:29 AM  
To: Hudson, Tammy <CTR>  
Subject: FW: NARA Site Review - Investigative Files

See below

Linda A. Seay

Counterintelligence and Investigations Division

DHS, Office of Security

202-254-6444 (office)

202-254-6403 (fax)

---

From: Wisniewski, Leo  
Sent: Wednesday, June 11, 2008 10:05 AM  
To: Seay, Linda <CTR>



Subject: RE: NARA Site Review - Investigative Files

Linda,

Any one of those dates except the 19th will work. Do you need a later date for prep work or is earlier better?

Leo Wisniewski

Chief, Counterintelligence and Investigations Division

Office of Security

Department of Homeland Security

202 254-6495

---

From: Seay, Linda <CTR>  
Sent: Wednesday, June 11, 2008 9:15 AM  
To: Wisniewski, Leo  
Subject: FW: NARA Site Review - Investigative Files

Need a date from you .... and location

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From: Hudson, Tammy <CTR>  
Sent: Wednesday, May 28, 2008 11:32 AM  
To: Seay, Linda <CTR>  
Subject: RE: NARA Site Review - Investigative Files

Linda,

NARA has the following dates available for the site review:

June 18, 19, 20, and 30

Let me know if you can be available. I would suggest setting aside at least 2 hrs for this.

Also, let's plan this in advance...are we meeting at VTA?

-tlh

Tammy Hudson

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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>; Hunsaker, Julie  
**Date:** 6/12/2008 9:11:09 AM  
**Subject:** Re: FW: NARA Site Review - Investigative Files

Tammy,

Unfortunately, the 18th is no longer available. We can make it on the 20th or the 30th. The afternoon of the 30th would be our preference.

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/11/2008 10:48 AM >>>  
Julie,

Saw the message that Andrea is out - they prefer the 18th - let me know if your group can make it.

Tammy Hudson

DHS Records Management - Contractor

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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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From: Seay, Linda <CTR>  
Sent: Wednesday, June 11, 2008 10:46 AM  
To: Seay, Linda <CTR>; Hudson, Tammy <CTR>  
Subject: RE: NARA Site Review - Investigative Files

How about the 18th at 7th and D

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Counterintelligence and Investigations Division

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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## **Julie Hunsaker - FW: NARA Site Review - Investigative Files**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>, "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/11/2008 10:32:38 AM  
**Subject:** FW: NARA Site Review - Investigative Files

---

Looks like any day but the 19<sup>th</sup>. Are the other dates still available?

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DHS Records Management - Contractor  
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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Seay, Linda <CTR>  
**Sent:** Wednesday, June 11, 2008 10:29 AM  
**To:** Hudson, Tammy <CTR>  
**Subject:** FW: NARA Site Review - Investigative Files

See below

## **Linda A. Seay**

Counterintelligence and Investigations Division  
DHS, Office of Security  
202-254-6444 (office)  
202-254-6403 (fax)

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**From:** Wisniewski, Leo  
**Sent:** Wednesday, June 11, 2008 10:05 AM  
**To:** Seay, Linda <CTR>  
**Subject:** RE: NARA Site Review - Investigative Files

Linda,  
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Leo Wisniewski  
Chief, Counterintelligence and Investigations Division  
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Department of Homeland Security  
202 254-6495

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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## **Julie Hunsaker - Re: FW: NARA Site Review - Investigative Files**

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>; Loiselle, Andrea  
**Date:** 6/11/2008 10:41:18 AM  
**Subject:** Re: FW: NARA Site Review - Investigative Files

---

Hi, Tammy.

Andrea's out today, but she'll be back in the office tomorrow. I sent an email to the other parties to confirm these dates. Either Andrea or I will get back to you today or tomorrow.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/11/2008 10:30 AM >>>  
Looks like any day but the 19<sup>th</sup>. Are the other dates still available?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Seay, Linda <CTR>  
**Sent:** Wednesday, June 11, 2008 10:29 AM  
**To:** Hudson, Tammy <CTR>  
**Subject:** FW: NARA Site Review - Investigative Files

See below

### **Linda A. Seay**

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DHS, Office of Security  
202-254-6444 (office)  
202-254-6403 (fax)

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**Sent:** Wednesday, June 11, 2008 10:05 AM  
**To:** Seay, Linda <CTR>  
**Subject:** RE: NARA Site Review - Investigative Files

Linda,  
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**Sent:** Wednesday, June 11, 2008 9:15 AM



**To:** Wisniewski, Leo  
**Subject:** FW: NARA Site Review - Investigative Files

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## Julie Hunsaker - FW: NARA Site Review - Investigative Files

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>, "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** 6/11/2008 10:49:33 AM  
**Subject:** FW: NARA Site Review - Investigative Files

---

Julie,

Saw the message that Andrea is out – they prefer the 18<sup>th</sup> – let me know if your group can make it.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Seay, Linda <CTR>  
**Sent:** Wednesday, June 11, 2008 10:46 AM  
**To:** Seay, Linda <CTR>; Hudson, Tammy <CTR>  
**Subject:** RE: NARA Site Review - Investigative Files

How about the 18<sup>th</sup> at 7<sup>th</sup> and D

## Linda A. Seay

Counterintelligence and Investigations Division  
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202-254-6444 (office)  
202-254-6403 (fax)

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**From:** Seay, Linda <CTR>  
**Sent:** Wednesday, June 11, 2008 10:29 AM  
**To:** Hudson, Tammy <CTR>  
**Subject:** FW: NARA Site Review - Investigative Files

See below

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Counterintelligence and Investigations Division  
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**From:** Wisniewski, Leo  
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Chief, Counterintelligence and Investigations Division  
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202 254-6495

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**To:** Wisniewski, Leo  
**Subject:** FW: NARA Site Review - Investigative Files

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-tlh

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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Thu, Jun 12, 2008 2:23 PM  
**Subject:** FW: NARA Site Review - Investigative Files

Let us know what time on the 30th. It will be at 7th & D.

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Seay, Linda <CTR>  
Sent: Thursday, June 12, 2008 2:13 PM  
To: Hudson, Tammy <CTR>  
Subject: RE: NARA Site Review - Investigative Files

30th is fine

Linda A. Seay

Counterintelligence and Investigations Division

DHS, Office of Security

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From: Hudson, Tammy <CTR>  
Sent: Thursday, June 12, 2008 9:52 AM  
To: Seay, Linda <CTR>  
Subject: RE: NARA Site Review - Investigative Files

Linda,

NARA can no longer make it on the 18th. The 20th or the 30th is

available - they would prefer the afternoon of the 30th.

If neither of these dates work, I'll see what they have available for July.

-tlh

Tammy Hudson

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NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 6/13/2008 8:35:14 AM  
**Subject:** Re: FW: NARA Site Review - Investigative Files

Tammy,

We'd just like to confirm, since we'll be at the 7th and D site rather than where these people actually are, that we will be able to see some records, particularly those that are permanent.

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/12/2008 2:22 PM >>>  
Let us know what time on the 30th. It will be at 7th & D.

Tammy Hudson

DHS Records Management - Contractor

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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**CC:** Hunsaker, Julie

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 6/16/2008 8:25:42 AM  
**Subject:** Re: FW: NARA Site Review - Investigative Files

Tammy,

How about 1:00?

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/12/2008 2:22 PM >>>  
Let us know what time on the 30th. It will be at 7th & D.

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To: Hudson, Tammy <CTR>  
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Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**CC:** Hunsaker, Julie

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 6/17/2008 8:28:24 AM  
**Subject:** Re: FW: NARA Site Review - Investigative Files

Tammy,

We'll primarily want to see all types of case file that might be categorized as significant (permanent). I believe this includes Counterintelligence Case Files and Intelligence Investigative Files--whatever items we were going to break into two items, one for temporary and one for permanent.

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/17/2008 6:33 AM >>>  
Andrea,

Can you help with this? I'll be out of the office this morning, but will return your call this afternoon...

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

From: Seay, Linda <CTR>  
Sent: Monday, June 16, 2008 3:49 PM  
To: Hudson, Tammy <CTR>  
Subject: RE: NARA Site Review - Investigative Files

Is there anyway to get some specific details on what type of case file they want to see and what they want to see in the file?

Linda A. Seay

Counterintelligence and Investigations Division



**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 5/28/2008 11:21:06 AM  
**Subject:** Re: FW: NARA Site Review - Investigative Files

I finally have some dates, but they are very limited. We are available June 18, 19, 20, and 30.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/20/2008 6:28 AM >>>  
See the response below. Let me know the dates your group has available  
and we can reschedule this.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

Linda A. Seay

Counterintelligence and Investigations Division

DHS, Office of Security

202-254-6444 (office)

202-254-6403 (fax)

---

From: Hudson, Tammy <CTR>  
Sent: Wednesday, April 30, 2008 7:43 AM  
To: Seay, Linda <CTR>  
Cc: Wisniewski, Leo  
Subject: NARA Site Review - Investigative Files

Good morning,

Before we reschedule the meeting with NARA, I'd like to verify a few items first.

1. Which records from the attached schedule do you maintain? ALL

- \* Item 2 - Counterintelligence
- \* Item 3 - Criminal Investigation
- \* Item 4 - Foreign Visitor
- \* Item 5 - Intelligence

2. Of your records, are there any that currently fit the criteria for Item #9 - Significant Case Files? YES

3. If NARA needed to actually view some records - what clearance would be required? (I was not involved, but they have completed a similar appraisal of records with DHS I&A if you would like to speak to someone in that Directorate about the process).

It's not a matter of clearance, although some files require Secret. Some of these files are third party privilege and on-going investigations that can't be shared.

As soon as I get your response, we can set a date for the meeting.

Thanks!

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Tue, May 20, 2008 6:29 AM  
**Subject:** FW: NARA Site Review - Investigative Files

See the response below. Let me know the dates your group has available and we can reschedule this.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

Linda A. Seay

Counterintelligence and Investigations Division

DHS, Office of Security

202-254-6444 (office)

202-254-6403 (fax)

---

From: Hudson, Tammy <CTR>  
Sent: Wednesday, April 30, 2008 7:43 AM  
To: Seay, Linda <CTR>  
Cc: Wisniewski, Leo  
Subject: NARA Site Review - Investigative Files

Good morning,

Before we reschedule the meeting with NARA, I'd like to verify a few items first.

1. Which records from the attached schedule do you maintain? ALL

- \* Item 2 - Counterintelligence
- \* Item 3 - Criminal Investigation
- \* Item 4 - Foreign Visitor
- \* Item 5 - Intelligence

2. Of your records, are there any that currently fit the criteria for Item #9 - Significant Case Files? YES

3. If NARA needed to actually view some records - what clearance would be required? (I was not involved, but they have completed a similar appraisal of records with DHS I&A if you would like to speak to someone in that Directorate about the process).

It's not a matter of clearance, although some files require Secret. Some of these files are third party privilege and on-going investigations that can't be shared.

As soon as I get your response, we can set a date for the meeting.

Thanks!

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

CC: "Julie Hunsaker" <Julie.Hunsaker@nara.gov>, "Schultz, Kathy"

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 5/20/2008 6:39:41 AM  
**Subject:** Re: FW: NARA Site Review - Investigative Files

Tammy,

I'll be out of the office today on a site visit, so it's unlikely that I'll be able to get dates to you today. I will let you know as soon as I can.

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/20/2008 6:28 AM >>>  
See the response below. Let me know the dates your group has available and we can reschedule this.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

Linda A. Seay

Counterintelligence and Investigations Division

DHS, Office of Security

202-254-6444 (office)

202-254-6403 (fax)

---

From: Hudson, Tammy <CTR>  
Sent: Wednesday, April 30, 2008 7:43 AM  
To: Seay, Linda <CTR>  
Cc: Wisniewski, Leo  
Subject: NARA Site Review - Investigative Files

Good morning,

Before we reschedule the meeting with NARA, I'd like to verify a few items first.

1. Which records from the attached schedule do you maintain? ALL

- \* Item 2 - Counterintelligence
- \* Item 3 - Criminal Investigation
- \* Item 4 - Foreign Visitor
- \* Item 5 - Intelligence

2. Of your records, are there any that currently fit the criteria for Item #9 - Significant Case Files? YES

3. If NARA needed to actually view some records - what clearance would be required? (I was not involved, but they have completed a similar appraisal of records with DHS I&A if you would like to speak to someone in that Directorate about the process).

It's not a matter of clearance, although some files require Secret. Some of these files are third party privilege and on-going investigations that can't be shared.

As soon as I get your response, we can set a date for the meeting.

Thanks!

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

**From:** Andrea Loiselle  
**To:** Tammy.Hudson@associates.dhs.gov  
**Date:** 11/14/2007 2:47:18 PM  
**Subject:** Executive Level Records and IQ

Tammy,

Sorry it's taken me so long to get this to you. Attached are the proposed revisions to the Executive Level Records and IQ System schedules as well as the PDF and scanned image technical questionnaires to be answered for the IQ system. I also have a few additional questions:

We may have been over this at the meeting, but I can't remember: Does the IQ System contain e-mail? If so, is it printed and scanned into the system, or is it transferred into the system directly?

Is it possible to give us an estimate of the number of each file type contained in the IQ system? For instance, we noted that there were PDFs, Word and Excel files. These latter two file types are not currently accepted formats. It would be useful to have a rough idea of how many of the current total are problematic formats.

The big question, however, for the IT folks is what would a potential transfer of the IQ system look like given that the metadata has to be in ASCII flat files? How many metadata files would there be? What I'm trying to get at is how easily someone could use the files as they will be transferred (ASCII flat files) to find specific documents. Right now the only value we see in scheduling the IQ system as permanent is as a finding aid to the paper records. However, if its not very usable as such then it loses that value. NARA will not have the software that the IQ system runs on, so I need to determine if the exported files will be useful as a finding aid. I'm hoping the IT folks can give me an idea of what we would be dealing with.

Finally, if we determine that the IQ system master file is temporary, how long does the agency need/want to retain the records after cutoff?

You can hold off on getting answers to the questionnaires until the disposition issue is cleared up. If the IQ system is going to be temporary we do not need the technical questionnaires.

Please let me know if you have any questions.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loïselle" <Andrea.Pugsley@nara.gov>  
**Date:** Mon, Dec 17, 2007 1:33 PM  
**Subject:** FW: ECT / IQ

FYI - I'm still waiting on the response.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Hudson, Tammy <CTR>  
Sent: Thursday, December 13, 2007 9:54 AM  
To: Canino, Benjamin; Zaidi, Zehra <CTR>  
Subject: ECT / IQ

Good morning,

We were previously working with Janett Winslow to schedule the records contained within EXT/IQ. We've submitted a schedule to NARA (attached along with the Exec Level schedule), but they have some questions on the volume and format of the records that I was hoping you could help with.

1. Does the IQ System contain e-mail? If so, is it printed and scanned into the system, or is it transferred into the system directly?
2. Is it possible to give us an estimate of the number of each file type contained in the IQ system? For instance, we noted that there were PDFs, Word and Excel files. It would be useful to have a rough idea of how many of the current total are in each format.
3. The big question, however, for the IT folks is what would a



potential transfer of the IQ system look like given that the metadata has to be in ASCII flat files? How many metadata files would there be? What I'm trying to get at is how easily someone could use the files as they will be transferred (ASCII flat files) to find specific documents.

4. Finally, if we determine that the IQ system master file is temporary, how long does the agency need/want to retain the records after cutoff?

If you could help answer questions 1 thru 3, it would be a great help.

Let me know if you have any questions.

Tammy

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Thu, Jan 31, 2008 8:13 AM  
**Subject:** RE: ECT

Andrea,

We're going to move forward with this.

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, January 30, 2008 3:11 PM  
To: Tammy <CTR> Hudson  
Subject: RE: ECT

Thanks!

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 1/30/2008  
2:21 PM >>>

I'll try and get this done tomorrow.

-tlh

---

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wed 1/30/2008 9:30 AM  
To: Hudson, Tammy  
Subject: ECT

Tammy,

I just wanted to find out if you had an estimate on when you'll get the revised schedule for ECT to me. We were going to make the system temporary.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Mon, Feb 4, 2008 11:02 AM  
**Subject:** RE: ECT

Yes, it includes Word and Excel

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Monday, February 04, 2008 10:58 AM  
To: Tammy <CTR> Hudson  
Subject: RE: ECT

Tammy,

I finally had a chance to look at the ECT schedule. I've got one thing I want to clear up about the description of the master files. My notes from the site visit indicate that the system contains not only scanned images but also other electronic formats such as Word and Excel files, possibly e-mail. The description in the schedule only refers to "electronic images and metadata". I just need to know if my notes are correct, or if everything is scanned images/PDFs (the original format may have been Word or Excel, but that doesn't matter if it is scanned/converted to PDF). If the system contains these other formats I'd like to change the description to "electronic versions" instead of "electronic images".

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 1/31/2008 8:12 AM >>>  
Andrea,

We're going to move forward with this.

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, January 30, 2008 3:11 PM  
To: Tammy <CTR> Hudson  
Subject: RE: ECT

Thanks!

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 1/30/2008 2:21 PM >>>

I'll try and get this done tomorrow.

-tlh

---

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wed 1/30/2008 9:30 AM  
To: Hudson, Tammy  
Subject: ECT

Tammy,

I just wanted to find out if you had an estimate on when you'll get the revised schedule for ECT to me. We were going to make the system temporary.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Mon, Feb 4, 2008 11:33 AM  
**Subject:** RE: ECT

yes

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Monday, February 04, 2008 11:32 AM  
To: Tammy <CTR> Hudson  
Subject: RE: ECT

Can I just go ahead and make the wording change on the schedule?

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 2/4/2008  
11:01 AM >>>  
Yes, it includes Word and Excel

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Monday, February 04, 2008 10:58 AM  
To: Tammy <CTR> Hudson  
Subject: RE: ECT

Tammy,

I finally had a chance to look at the ECT schedule. I've got one thing

I want to clear up about the description of the master files. My notes

from the site visit indicate that the system contains not only scanned images but also other electronic formats such as Word and Excel files, possibly e-mail. The description in the schedule only refers to "electronic images and metadata". I just need to know if my notes are correct, or if everything is scanned images/PDFs (the original format may have been Word or Excel, but that doesn't matter if it is scanned/converted to PDF). If the system contains these other formats I'd like to change the description to "electronic versions" instead of "electronic images".

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 1/31/2008  
8:12 AM >>>  
Andrea,

We're going to move forward with this.

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, January 30, 2008 3:11 PM  
To: Tammy <CTR> Hudson  
Subject: RE: ECT

Thanks!

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 1/30/2008  
2:21 PM >>>

I'll try and get this done tomorrow.

-tlh

---

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wed 1/30/2008 9:30 AM  
To: Hudson, Tammy  
Subject: ECT

Tammy,

I just wanted to find out if you had an estimate on when you'll get  
the  
revised schedule for ECT to me. We were going to make the system  
temporary.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** 6/18/2008 8:00:38 AM  
**Subject:** RE: Classification Management

Here you go - updated item 3 disposition.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Thursday, June 12, 2008 10:24 AM  
To: Tammy <CTR> Hudson  
Cc: Kathy Schultz; Julie Hunsaker  
Subject: Re: Classification Management

Tammy, per our telephone discussion this morning, we are proposing a change to Item #3 disposition instruction as follows:

PERMANENT: Cut off when superceded. Transfer to NARA 5 years after cutoff.

brian

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/6/2008 9:52 AM >>>  
Brian,

I spoke to the program office and had them do a comparison between the GRS and the schedule we submitted. They do not feel that the information in the GRS is the same as the schedule information. Also, the person we worked with to develop this schedule (who has since retired) had 20+ years with classification management - they want to continue with her recommendations.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Tuesday, June 03, 2008 10:16 AM  
To: Tammy <CTR> Hudson  
Cc: Julie Hunsaker  
Subject: RE: FW: NARA Questions on CPO Schedule Items

O.K thanks Tammy re: N1-563-08-10, Classification Management Records.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/3/2008  
10:01 AM >>>

Brian,

I have a meeting with Kathy this afternoon and will discuss this with her. I will get back to you tmrw with how we want to proceed.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]

Sent: Tuesday, May 27, 2008 2:28 PM

To: Tammy <CTR> Hudson

Cc: Kathy Schultz; Julie Hunsaker

Subject: RE: FW: NARA Questions on CPO Schedule Items

Per our telephone discussion this afternoon, we will leave this item on the schedule and you agree to change the disposition to Permanent (with corresponding language) and send me an updated copy. Also do you agree item 2 is GRS 14/31?

Do you have any thoughts on the applicability of GRS 14, items 31-35 to items 1 and 4 on your proposed schedule?

Please confirm.

thanks,

brian

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/27/2008  
6:58 AM >>>

My only concern with dropping this is that we then have part of the Classification guidance records scheduled and one item unscheduled until NARA decides on and publishes the GRS item. If they don't develop the GRS, we'll have to submit the item at that point.

Since you think the record has permanent value, why don't we change the



disposition to Permanent. If and when NARA comes out with a GRS, we can make any modifications from there. I would assume that we are not the only agency with this item, so others will have to do the same thing.

Comments?

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Friday, May 23, 2008 8:35 AM  
To: Tammy <CTR> Hudson  
Cc: Julie Hunsaker  
Subject: RE: FW: NARA Questions on CPO Schedule Items

Good morning Tammy,

Julie Hunsaker and I met (internally) on 5/23/2008, with several "Classification Management Guide" subject experts and made a decision to drop Item #3 "Security Classification Guide" from your Department of Homeland Security (DHS) proposed schedule N1-563-08-10.

We are in the process of proposing this item as a GRS permanent item across the federal government. That is, all Classification Security Management Guides will (if approved by NARA) be permanent.

Request your concurrence (or not).

thanks,

brian

BRIAN T. WOODALL, Archives Specialist  
Life Cycle Management Division  
National Archives and Records Administration  
8601 Adelphi Road  
College Park, MD 20740-6001  
V: 301.837.1574. F: 301.837.3698  
E-mail: brian.woodall@nara.gov

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/29/2008  
8:15 AM >>>  
Brian,

The Classification Management person is out of the office until 5/1.  
I'll get back to you after I speak with him.

-tlh

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

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**Department of Homeland Security**

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On April 17, 1995 Executive Order 12958 was issued, it prescribes a uniform system for classifying, safeguarding, and declassifying national security information. On September 22, 2003 the National Archives and Records Administration (NARA) issued directive 32 CFR Parts 2001 and 2004, it provides guidance in meeting the conditions of the Executive Order.

To comply with the requirements of Executive Order 12958 (E.O. 12958), protect sensitive information and meet the standards established by NARA, the Department of Homeland Security (DHS) develops and implements policies for the variety of systems/information under its care.

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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   Declassification Plan**

As part of the process in closing an office or program, a plan may be developed to review all records held by the office. The plan provides guidance in determining which records, if any, require continued classification or declassification.

The plan can include, but is not limited to, descriptions of affected materials, instructions in how/what information should be reviewed, personnel and their assigned duties, timelines, and status reports.

**Disposition:**

TEMPORARY. Cutoff upon completion of the review.  
Destroy or delete 3 years after cutoff or when no longer needed for business purposes, whichever is longer.

**2   Declassification Requests**

In response to a request under the Freedom of Information Act, the Privacy Act of 1974, or the mandatory review provisions of E.O. 12958, DHS may perform reviews of classified materials to determine if continued protection is warranted.

Files created in response to these requests may include the original request, a copy of the reply, and all related supporting files, including the official file copy of requested records or a copy. Declassification requests are received electronically or hard copy and are maintained in the original format

**Disposition:**

TEMPORARY. Cutoff upon completion of the review.  
Destroy or delete 5 years after cutoff or when no longer needed for business purposes, whichever is longer.

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

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**3 Security Classification Guide**

The classification guide is issued by an official authorized, in writing, either by the President, by agency heads, or other officials delegated by the President, to make an initial determination to classify information.

Each guide is approved personally, and in writing, by an official who has program or supervisory responsibility over the information and been delegated Original Classification Authority (OCA) at the highest level of classification cited in the guide, or by the DHS Senior Agency Official.

The guide identifies the elements of information regarding a specific subject that must be classified and establishes the level and duration of classification for each element. A guide is prepared for each system, plan, program, or project involving the classification of information and prepared consistent with the DHS format for classification guides.

Classification guides may be created to support a computer system, program, or office.

The following items are included in the guide:

- Scope
- Applicability
- Policy
- Classification Authority
- Topics of information and a corresponding classification level
- Duration of classification for each topic
- Justification

One copy of each guide should be designated the record copy.

[NOTE: A classification guide cannot classify information beyond 25 years unless such information has been specifically approved for exemption from declassification pursuant to E.O. 12958.

**Disposition:**

PERMANENT. Cut off when superseded. Transfer to NARA 5 years after cutoff.

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

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If materials affected by a classification guide are exempted from the 25 year automatic declassification provisions of the Order, the guide shall be retained for the duration of the exemption.]

**4 Systematic Declassification Review**

Each agency that has originated classified information under E.O. 12958 or its predecessors is required to establish and conduct a program of systematic declassification review. Within DHS, five years after classification has been applied, affected records are eligible for declassification. A review is then performed to determine if declassification is appropriate.

Records are reviewed in accordance within the standards of E.O. 12958, its implementing directives, and the declassification guides provided by the originating agency.

Products of these reviews may include reports on affected records, notifications of classification removal or continued classification, and related supporting materials.

**Disposition:**

TEMPORARY. Cutoff upon completion of the review.  
Destroy or delete 3 years after cutoff or when no longer needed for business purposes, whichever is longer.

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 4/30/2008 2:29:28 PM  
**Subject:** RE: OPA Schedule

What about press releases that are not created as part of a press conference?

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/30/2008 1:45 PM >>>  
Updated - the press releases are included as part of the Permanent Press  
Conference records. If we need to change the title, let me know.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loiselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Wednesday, April 30, 2008 1:17 PM  
To: Hudson, Tammy  
Subject: OPA Schedule

Tammy,

A few things on the Office of Public Affairs schedule:

1. Item 5: Can you change the title to "Press Conference Records--Background Materials" to distinguish it from item 6.
2. Item 7: Can you add to the description that this item does not cover requests that are in a Multimedia Project File.
3. Where are press releases scheduled? I see them referenced in the background information and they show up as part of other series (Press Conference Records), but presumably press releases are created separate from a press conference or even a communication plan, but they are not scheduled here. I'm just wondering if they should be, or if they are on another schedule.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loïselle" <Andrea.Pugsley@nara.gov>  
**Date:** Thu, May 1, 2008 6:18 AM  
**Subject:** RE: OPA Schedule

I take it you want me to pull them out of that and create a unique schedule item for those? I don't have a problem doing that, but let me know if that's what you want.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loïselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, April 30, 2008 2:29 PM  
To: Tammy <CTR> Hudson  
Subject: RE: OPA Schedule

What about press releases that are not created as part of a press conference?

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/30/2008 1:45 PM >>>

Updated - the press releases are included as part of the Permanent Press Conference records. If we need to change the title, let me know.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loïselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, April 30, 2008 1:17 PM  
To: Hudson, Tammy  
Subject: OPA Schedule

Tammy,

A few things on the Office of Public Affairs schedule:

1. Item 5: Can you change the title to "Press Conference Records--Background Materials" to distinguish it from item 6.
2. Item 7: Can you add to the description that this item does not cover requests that are in a Multimedia Project File.

3. Where are press releases scheduled? I see them referenced in the background information and they show up as part of other series (Press Conference Records), but presumably press releases are created separate from a press conference or even a communication plan, but they are not scheduled here. I'm just wondering if they should be, or if they are on another schedule.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Thu, May 1, 2008 6:54 AM  
**Subject:** RE: OPA Schedule

Andrea,

Let me know if this will work for the Press Release records and I'll add it to the OPA schedule and remove that item from the Press Conference Records.

#### Press Releases

Press releases related to DHS mission, programs, information or news. These records may include, but are not limited to, mission related program announcements; information on homeland security issues; DHS public meetings or events; and press conferences or interviews.

##### a. Mission-related Press Releases

PERMANENT. Cut off at the end of the Secretary's term.  
Transfer to NARA 5 years after cutoff or when volume warrants, whichever is sooner.

##### b. Routine Press Releases

TEMPORARY. Cut off at the end of calendar year. Destroy or delete 1 year after cutoff.

#### Press Releases - Background Documentation

Records consist of background papers, talking points, briefings, news clippings, documents on program activities, reports on program and policy developments, news releases, fact sheets, and other records used in formulating news or press releases.

TEMPORARY. Cut off at end of the calendar year in which the record is created. Destroy or delete 6 months after cutoff.

We also have a "non-record" item that covers other press releases:

#### Public Awareness Files

Includes records used to produce outreach materials produced by program offices that are informal in nature. Records consist of program activities, reports on program and policy developments, news releases, fact sheets, and other records used in formulating news or press releases.

TEMPORARY. Destroy or delete when superseded or obsolete or when no longer needed for business purposes.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]



Sent: Wednesday, April 30, 2008 2:29 PM  
To: Tammy <CTR> Hudson  
Subject: RE: OPA Schedule

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>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/30/2008 1:45 PM >>>

Updated - the press releases are included as part of the Permanent Press Conference records. If we need to change the title, let me know.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
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From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, April 30, 2008 1:17 PM  
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Thanks,  
Andrea

**From:** Andrea Loïselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 5/1/2008 3:40:11 PM  
**Subject:** RE: OPA Schedule

There seems to be a couple issues here.

First, press releases need to be added as a separate item. DHS creates many more press releases than they press conferences (according to my notes from the site visit), so presumably, there can be a press release that is not part of a press conference. If I am mistaken, please correct my assumption.

Press releases are typically scheduled as permanent, and not separated into mission-related and routine. If DHS wants to schedule the press releases in terms of being mission-related or routine, we need a better description of what constitutes each of these categories.

As for the Press Releases-Background Documentation, this item should have a description similar to Press Conferences--Background Materials that includes working papers and drafts, because those are the only real records. Most, if not all, of what is described in the current description for Press Releases-Background Documentation is non-record. Presumably, background documentation includes drafts and working papers. Public Awareness Files are non-record and do not need to be included on the schedule.

Second, is the issue of whether or not press releases should be included in the Press Conference Records. If press conference records are maintained as a group--for example each press conference has a file containing all the records relating to the press conference--and press releases are part of that file, then press releases need to stay in that description.

If there is no centralized Press Conference file, and all the records related to Press Conferences are maintained separately (for instance, we know that the audio recordings are maintained together on a computer rather than an individual audio file being associated with the other records from the press conference), then they should be scheduled as separate series. In this case, fact sheets, press releases, and possibly photo releases (if they are part of the OPA photo collection) are scheduled under separate items. The remaining records (Secretary's statements and remarks, audio recordings, transcripts, and any other press conference related record not scheduled elsewhere) can still be one item, Press Conference Records, since they have the same disposition.

Regardless of whether or not press releases are included as part of the Press Conference records, they need to be scheduled separately to cover those press releases that are not part of Press Conference records.

I hope this makes sense. If not, I can give you a call tomorrow to discuss it further.

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/1/2008 6:54 AM >>>  
Andrea,

Let me know if this will work for the Press Release records and I'll add it to the OPA schedule and remove that item from the Press Conference Records.

#### Press Releases

Press releases related to DHS mission, programs, information or news. These records may include, but are not limited to, mission related program announcements; information on homeland security issues; DHS public meetings or events; and press conferences or

interviews.

a. Mission-related Press Releases

PERMANENT. Cut off at the end of the Secretary's term.

Transfer to NARA 5 years after cutoff or when volume warrants,  
whichever is sooner.

b. Routine Press Releases

TEMPORARY. Cut off at the end of calendar year. Destroy or  
delete 1 year after cutoff.

Press Releases - Background Documentation

Records consist of background papers, talking points, briefings,  
news clippings, documents on program activities, reports on program  
and policy developments, news releases, fact sheets, and other  
records used in formulating news or press releases.

TEMPORARY. Cut off at end of the calendar year in which the  
record is created. Destroy or delete 6 months after cutoff.

We also have a "non-record" item that covers other press releases:

Public Awareness Files

Includes records used to produce outreach materials produced by  
program offices that are informal in nature. Records consist of  
program activities, reports on program and policy developments, news  
releases, fact sheets, and other records used in formulating news or  
press releases.

TEMPORARY. Destroy or delete when superseded or obsolete or  
when no longer needed for business purposes.

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loiselle [<mailto:Andrea.Pugsley@nara.gov>]

Sent: Wednesday, April 30, 2008 2:29 PM

To: Tammy <CTR> Hudson

Subject: RE: OPA Schedule

What about press releases that are not created as part of a press  
conference?

>>> "Hudson, Tammy <CTR>" <[Tammy.Hudson@associates.dhs.gov](mailto:Tammy.Hudson@associates.dhs.gov)> 4/30/2008  
1:45 PM >>>

Updated - the press releases are included as part of the Permanent  
Press

Conference records. If we need to change the title, let me know.

-tlh

Tammy Hudson

DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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From: Andrea Loiselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Wednesday, April 30, 2008 1:17 PM  
To: Hudson, Tammy  
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Tammy,

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Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Tue, May 6, 2008 7:39 AM  
**Subject:** RE: OPA Schedule

I sent the request to OPA this morning - as soon as I know, I'll update the schedule.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Thursday, May 01, 2008 3:40 PM  
To: Tammy <CTR> Hudson  
Subject: RE: OPA Schedule

There seems to be a couple issues here.

First, press releases need to be added as a separate item. DHS creates many more press releases than they press conferences (according to my notes from the site visit), so presumably, there can be a press release that is not part of a press conference. If I am mistaken, please correct my assumption.

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Second, is the issue of whether or not press releases should be included in the Press Conference Records. If press conference records are maintained as a group--for example each press conference has a file containing all the records relating to the press conference--and press releases are part of that file, then press releases need to stay in that description.

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Press releases related to DHS mission, programs, information or news. These records may include, but are not limited to, mission related program announcements; information on homeland security issues; DHS public meetings or events; and press conferences or interviews.

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Transfer to NARA 5 years after cutoff or when volume warrants, whichever is sooner.

##### b. Routine Press Releases

TEMPORARY. Cut off at the end of calendar year. Destroy or delete 1 year after cutoff.

#### Press Releases - Background Documentation

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Tammy Hudson  
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NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, April 30, 2008 2:29 PM  
To: Tammy <CTR> Hudson  
Subject: RE: OPA Schedule

What about press releases that are not created as part of a press conference?

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/30/2008 1:45 PM >>>

Updated - the press releases are included as part of the Permanent Press Conference records. If we need to change the title, let me know.

-tlh

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DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
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Andrea



**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 5/7/2008 8:53:54 AM  
**Subject:** RE: OPA Schedule

Thanks!

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/6/2008 7:24 AM >>>  
I sent the request to OPA this morning - as soon as I know, I'll update the schedule.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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Sent: Thursday, May 01, 2008 3:40 PM  
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know that the audio recordings are maintained together on a computer rather than an individual audio file being associated with the other records from the press conference), then they should be scheduled as separate series. In this case, fact sheets, press releases, and possibly photo releases (if they are part of the OPA photo collection) are scheduled under separate items. The remaining records (Secretary's statements and remarks, audio recordings, transcripts, and any other press conference related record not scheduled elsewhere) can still be one item, Press Conference Records, since they have the same disposition.

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#### Press Releases

Press releases related to DHS mission, programs, information or news. These records may include, but are not limited to, mission related program announcements; information on homeland security issues; DHS public meetings or events; and press conferences or interviews.

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PERMANENT. Cut off at the end of the Secretary's term.  
Transfer to NARA 5 years after cutoff or when volume warrants, whichever is sooner.

##### b. Routine Press Releases

TEMPORARY. Cut off at the end of calendar year. Destroy or delete 1 year after cutoff.

#### Press Releases - Background Documentation

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NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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Sent: Wednesday, April 30, 2008 2:29 PM  
To: Tammy <CTR> Hudson  
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-tlh

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DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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To: Hudson, Tammy  
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**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Thu, May 8, 2008 8:24 AM  
**Subject:** RE: OPA Schedule

Let me know if this will work.

#### Press Releases

Press releases related to DHS mission, programs, information or news. These records may include, but are not limited to, mission related program announcements; information on homeland security issues; DHS public meetings or events; and press conferences or interviews.

May also include Photo Releases used in whole or as part of, a press release where the photograph is not maintained as part of the Photograph records maintained by the Press Secretary's office (Item 4 in this schedule).

PERMANENT. Cut off at the end of the Secretary's term. Transfer to NARA 5 years after cutoff or when volume warrants, whichever is sooner.

#### Press Releases - Background Documentation

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Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

#### -----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, May 07, 2008 8:54 AM  
To: Tammy <CTR> Hudson  
Subject: RE: OPA Schedule

Thanks!

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Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loisel [mailto:Andrea.Pugsley@nara.gov]

Sent: Thursday, May 01, 2008 3:40 PM

To: Tammy <CTR> Hudson

Subject: RE: OPA Schedule

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#### Press Releases

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#### Press Releases - Background Documentation

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NAC 2, Room 2207 E (202) 282-8562  
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-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, April 30, 2008 2:29 PM  
To: Tammy <CTR> Hudson  
Subject: RE: OPA Schedule

What about press releases that are not created as part of a press conference?

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/30/2008 1:45 PM >>>

Updated - the press releases are included as part of the Permanent Press Conference records. If we need to change the title, let me know.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, April 30, 2008 1:17 PM  
To: Hudson, Tammy  
Subject: OPA Schedule

Tammy,

A few things on the Office of Public Affairs schedule:

1. Item 5: Can you change the title to "Press Conference Records--Background Materials" to distinguish it from item 6.
2. Item 7: Can you add to the description that this item does not cover requests that are in a Multimedia Project File.
3. Where are press releases scheduled? I see them referenced in the



background information and they show up as part of other series (Press Conference Records), but presumably press releases are created separate from a press conference or even a communication plan, but they are not scheduled here. I'm just wondering if they should be, or if they are on another schedule.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Thu, May 8, 2008 12:54 PM  
**Subject:** RE: OPA Schedule

Okay - hope this is it!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Thursday, May 08, 2008 11:52 AM  
To: Tammy <CTR> Hudson  
Subject: RE: OPA Schedule

Tammy,

I spoke with Julie about this, and we think the part about photo releases should be stricken out. Any photos, including photo releases, should be covered under item 4. Otherwise, these two items look fine.

Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/8/2008 8:23 AM >>>  
Let me know if this will work.

#### Press Releases

Press releases related to DHS mission, programs, information or news. These records may include, but are not limited to, mission related program announcements; information on homeland security issues; DHS public meetings or events; and press conferences or interviews.

May also include Photo Releases used in whole or as part of, a press release where the photograph is not maintained as part of the Photograph records maintained by the Press Secretary's office (Item 4 in this schedule).

PERMANENT. Cut off at the end of the Secretary's term. Transfer to NARA 5 years after cutoff or when volume warrants, whichever is sooner.

#### Press Releases - Background Documentation

Records consist of background papers, talking points, briefings, news clippings, documents on program activities, reports on program and policy developments, news releases, fact sheets, and other records used in formulating news or press releases.

TEMPORARY. Cut off at end of the calendar year in which the record is created. Destroy or delete 6 months after cutoff.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, May 07, 2008 8:54 AM  
To: Tammy <CTR> Hudson  
Subject: RE: OPA Schedule

Thanks!

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/6/2008 7:24 AM >>>  
I sent the request to OPA this morning - as soon as I know, I'll update the schedule.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Thursday, May 01, 2008 3:40 PM  
To: Tammy <CTR> Hudson  
Subject: RE: OPA Schedule

There seems to be a couple issues here.

First, press releases need to be added as a separate item. DHS creates many more press releases than they press conferences (according to my notes from the site visit), so presumably, there can be a press release that is not part of a press conference. If I am mistaken, please correct my assumption.

Press releases are typically scheduled as permanent, and not separated into mission-related and routine. If DHS wants to schedule the press releases in terms of being mission-related or routine, we need a better description of what constitutes each of these categories.

As for the Press Releases-Background Documentation, this item should have a description similar to Press Conferences--Background Materials that includes working papers and drafts, because those are the only

real records. Most, if not all, of what is described in the current description for Press Releases-Background Documentation is non-record.

Presumably, background documentation includes drafts and working papers.

Public Awareness Files are non-record and do not need to be included on the schedule.

Second, is the issue of whether or not press releases should be included in the Press Conference Records. If press conference records are maintained as a group--for example each press conference has a file containing all the records relating to the press conference--and press releases are part of that file, then press releases need to stay in that description.

If there is no centralized Press Conference file, and all the records related to Press Conferences are maintained separately (for instance, we know that the audio recordings are maintained together on a computer rather than an individual audio file being associated with the other records from the press conference), then they should be scheduled as separate series. In this case, fact sheets, press releases, and possibly photo releases (if they are part of the OPA photo collection) are scheduled under separate items. The remaining records (Secretary's statements and remarks, audio recordings, transcripts, and any other press conference related record not scheduled elsewhere) can still be one item, Press Conference Records, since they have the same disposition.

Regardless of whether or not press releases are included as part of the Press Conference records, they need to be scheduled separately to cover those press releases that are not part of Press Conference records.

I hope this makes sense. If not, I can give you a call tomorrow to discuss it further.

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/1/2008 6:54 AM >>>  
Andrea,

Let me know if this will work for the Press Release records and I'll add it to the OPA schedule and remove that item from the Press Conference Records.

Press Releases

Press releases related to DHS mission, programs, information or news. These records may include, but are not limited to, mission related program announcements; information on homeland security issues; DHS public meetings or events; and press conferences or interviews.

a. Mission-related Press Releases

PERMANENT. Cut off at the end of the Secretary's term.  
Transfer to NARA 5 years after cutoff or when volume warrants, whichever is sooner.

b. Routine Press Releases

TEMPORARY. Cut off at the end of calendar year. Destroy or delete 1 year after cutoff.

Press Releases - Background Documentation

Records consist of background papers, talking points, briefings, news clippings, documents on program activities, reports on program and policy developments, news releases, fact sheets, and other records used in formulating news or press releases.

TEMPORARY. Cut off at end of the calendar year in which the record is created. Destroy or delete 6 months after cutoff.

We also have a "non-record" item that covers other press releases:

Public Awareness Files

Includes records used to produce outreach materials produced by program offices that are informal in nature. Records consist of program activities, reports on program and policy developments, news releases, fact sheets, and other records used in formulating news or press releases.

TEMPORARY. Destroy or delete when superseded or obsolete or when no longer needed for business purposes.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, April 30, 2008 2:29 PM  
To: Tammy <CTR> Hudson  
Subject: RE: OPA Schedule

What about press releases that are not created as part of a press conference?

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/30/2008 1:45 PM >>>

Updated - the press releases are included as part of the Permanent

Press

Conference records. If we need to change the title, let me know.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, April 30, 2008 1:17 PM  
To: Hudson, Tammy  
Subject: OPA Schedule

Tammy,

A few things on the Office of Public Affairs schedule:

1. Item 5: Can you change the title to "Press Conference Records--Background Materials" to distinguish it from item 6.
2. Item 7: Can you add to the description that this item does not cover requests that are in a Multimedia Project File.
3. Where are press releases scheduled? I see them referenced in the background information and they show up as part of other series (Press Conference Records), but presumably press releases are created separate from a press conference or even a communication plan, but they are not scheduled here. I'm just wondering if they should be, or if they are on another schedule.

Thanks,  
Andrea

**Julie Hunsaker - Fwd: N1-563-07-16**

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**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 12/17/2007 8:52 AM  
**Subject:** Fwd: N1-563-07-16  
**CC:** Kathy.Schultz@DHS.GOV

---

Hi, Tammy.

It occurred to me after I sent this to Quinton (and cc'd Kathy), that perhaps you wanted me to cc both you and Kathy. This is the message I sent:

Julie

>>> Julie Hunsaker 12/17/2007 8:49 AM >>>  
Good morning, Quinton.

I'd like to recommend another revision to the SF 115 for N1-563-07-16. Because DHS is requesting the disposition instructions in this schedule to be media neutral, they will apply to the information on paper and in electronic information systems (i.e., databases). As a result, I've revised the description for Item 9a to indicate it will apply to paper RFI records as well as the electronic versions in Pantheon. I've also modified the disposition instructions so they do not distinguish between media.

It would be great if someone at our January 8 meeting could speak to and describe both the paper versions of RFIs as well as the electronic versions in Pantheon.

Please feel free to give me a call if you'd like to discuss these recommended changes. Media neutrality is a principle that is new to many records officers and I'd be happy to talk through all of its implications with you. I will be in meetings most of the day today, but will be working at my desk most of the day tomorrow.

Julie

**From:** David Mengel  
**To:** Hunsaker, Julie  
**Date:** 11/20/2007 9:27:15 AM  
**Subject:** Re: Question

Thanks Julie, this is very helpful. We are starting to get concerned with space in our SCI vaults, so it would very helpful if you can get more detail on the amount of classified (specifically the amount of SCI). I am also curious if they are planning to complete any declassification, or equity recognition review prior to transfer.

I am copying Steve Tilley and Ann Cummings who handle accessioning, and Jeanne Schauble who handles declassification. They may have additional questions.

Let me know if there is anything I can do to help.  
David

>>> Julie Hunsaker 11/20/2007 9:07 AM >>>  
David,

Currently there are about 30-40 cubic feet of these records going back 4.5 years. Program staff estimate an annual accumulation of 5-10 cubic feet. My understanding is that most of the records are not classified, but that some could go up to SCI. Would you like me to find out more specific information about the volume of the classified materials?

Julie

>>> David Mengel 11/20/2007 8:59 AM >>>  
Hi Julie,

The only major issue I can see is space. What is the classification level of these files and how much annual volume do they generate?

David

>>> Julie Hunsaker 11/20/2007 8:42 AM >>>  
Hi, David.

I'm working with the Department of Homeland Security's Office of Intelligence and Analysis on a proposed SF 115. They are considering transferring their intel reports when they are one year old. Do you see any problems such a short transfer period might cause on our end?

Here's the proposed item title, description and disposition instruction:

**Finished Intelligence Case Files**

Includes, 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. Offer to the National Archives for permanent retention 1 year after cutoff. Julie (7-0661)

**CC:** Cummings, Ann; Schauble, Jeanne; Tilley, Steven



**Julie Hunsaker - N1-563-07-16**

---

**From:** Julie Hunsaker  
**To:** Mason, Quinton  
**Date:** 11/21/2007 9:53 AM  
**Subject:** N1-563-07-16  
**CC:** Hudson, Tammy <CTR>

---

Quinton,

I got in touch with our special access staff regarding the proposed perm **Finished Intel Case Files**. (My understanding is that some of these files can be classified.) They would like to know more specific volume info about the classified files. This will help them prepare to make the necessary room for these records in our classified vaults.

1) David Licastro estimated there are currently about 30-40 boxes of these files total. Could you find out the estimated volume of the existing files that are classified? It would be great if we could get this information for each classification level (e.g., 1 box of Secret, 6 inches of SCI, etc.). *1/4 are class.*

2) Licastro also estimated the future annual accumulation will be about ~~3~~10 boxes total. Could you find out what the estimated annual accumulation is for the classified files (for each classification level)?

3) Also, could you confirm whether DHS plans to transfer the classified and unclassified files to NARA using the same timeframe (i.e., when one year old)?

Thank you!

Julie

**Julie Hunsaker - RE: N1-563-07-16**

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>, "Tammy <CTR> Hudson" <Tammy.Hudson@associates.dhs.gov>  
**Date:** 12/17/2007 9:46 AM  
**Subject:** RE: N1-563-07-16  
**CC:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>

---

Julie,

You are so diplomatic – thank you very much.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, December 17, 2007 8:53 AM  
**To:** Tammy <CTR> Hudson  
**Cc:** Schultz, Kathy  
**Subject:** Fwd: N1-563-07-16

Hi, Tammy.

It occurred to me after I sent this to Quinton (and cc'd Kathy), that perhaps you wanted me to cc both you and Kathy. This is the message I sent:

Julie

>>> Julie Hunsaker 12/17/2007 8:49 AM >>>  
Good morning, Quinton.

I'd like to recommend another revision to the SF 115 for N1-563-07-16. Because DHS is requesting the disposition instructions in this schedule to be media neutral, they will apply to the information on paper and in electronic information systems (i.e., databases). As a result, I've revised the description for Item 9a to indicate it will apply to paper RFI records as well as the electronic versions in Pantheon. I've also modified the

disposition instructions so they do not distinguish between media.

It would be great if someone at our January 8 meeting could speak to and describe both the paper versions of RFIs as well as the electronic versions in Pantheon.

Please feel free to give me a call if you'd like to discuss these recommended changes. Media neutrality is a principle that is new to many records officers and I'd be happy to talk through all of its implications with you. I will be in meetings most of the day today, but will be working at my desk most of the day tomorrow.

Julie

**Julie Hunsaker - RE: N1-563-07-16**

---

**From:** "Mason, Quinton" <Quinton.Mason@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 12/19/2007 9:29 AM  
**Subject:** RE: N1-563-07-16  
**CC:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>, "Delawter, Denise" <Denise.Delawter@dhs.gov>

---

Julie,

Media neutral is a good idea for some records but I don't recommend applying this principle to Item 9a, especially when you consider the amount of information that may be stored in the database. Unless, I'm missing something we are talking about a lot of information being stored in a database and at this point, we don't know its storage capabilities before applying this disposition. I need to consult with the SME and IM to see if this is feasible.

In reference to records being stored in Pantheon, I don't think this is an approved ERKS and there is no definite assurance that the records will be accessible as long as needed according to the schedule.

I recommend we discuss this issue further before applying the appropriate disposition because there is a lot of unknown at this point.

Who in DHS requested for the disposition instruction to be media neutral?

I will have someone available to discuss the paper versions of RFI to include the electronic versions in Pantheon during your visit in January.

Please enlighten me if I'm missing or not understanding media neutral. (Basically, it is having the same retention period as paper records). If I'm off base please forgive me.

v/r

Quinton S. Mason

Records Officer/

Acting Freedom of Information Officer

Department of Homeland Security

Intelligence and Analysis (I&A)

(202) 282-9385

[quinton.mason@dhs.gov](mailto:quinton.mason@dhs.gov)

This communication, along with any attachments, is covered by federal and state law governing electronic communications and may contain

confidential and legally privileged information. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution, use or copying of this message is strictly prohibited. If you have received this in error, please reply immediately to the sender and delete this message. Thank you.

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, December 17, 2007 8:50 AM  
**To:** Quinton Mason  
**Cc:** Schultz, Kathy  
**Subject:** N1-563-07-16

Good morning, Quinton.

I'd like to recommend another revision to the SF 115 for N1-563-07-16. Because DHS is requesting the disposition instructions in this schedule to be media neutral, they will apply to the information on paper and in electronic information systems (i.e., databases). As a result, I've revised the description for Item 9a to indicate it will apply to paper RFI records as well as the electronic versions in Pantheon. I've also modified the disposition instructions so they do not distinguish between media.

It would be great if someone at our January 8 meeting could speak to and describe both the paper versions of RFIs as well as the electronic versions in Pantheon.

Please feel free to give me a call if you'd like to discuss these recommended changes. Media neutrality is a principle that is new to many records officers and I'd be happy to talk through all of its implications with you. I will be in meetings most of the day today, but will be working at my desk most of the day tomorrow.

Julie

**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.**

- |   |  |
|---|--|
| <b>1    Assessment Report Files</b><br>Recommendations distributed electronically on how to correct gaps in staffing and services based on information gathered during assessments of the individual Fusion Centers.  | <b>Disposition:</b><br>TEMPORARY. Cut off at end of calendar year. Destroy or delete 2 years after cutoff.   |
| <b>2    Bulletin</b><br>Intelligence publications that are produced periodically to provide analysis and evaluations on intelligence information relevant to homeland security.   | <b>Disposition:</b><br>TEMPORARY. Cut off at end of calendar year in which bulletin is produced, or when obsolete. Destroy or delete 10 years after cutoff.  |
| <b>3    Declassification Requests</b><br>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. | <b>Disposition:</b><br>a. Paper Copies<br>TEMPORARY. Cut off at end of calendar year. Destroy or delete 30 years after cutoff.<br><br>b. Electronic Copies<br>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. |

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

**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 Raw Reporting Files**

Includes 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 and Federal, State, Local, Tribal and Foreign Governments.

**Disposition:**

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

**6 Finished Intelligence Case Files**

Includes, 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. Offer to the National Archives for permanent retention 1 year after cutoff.

**Deleted: Production and**

**Deleted: / Finished and Current Intelligence**

**Deleted:** Includes daily intelligence reports, briefings, binders,

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**Deleted:** TEMPORARY. Cut off at end of calendar year. Destroy or

**Deleted:** delete 30 years after cutoff.

**Deleted:**

**Deleted:** Information is received, assessed, analyzed and reported and serves as unique documentation and may include collections, feedback reporting, and source acquisition, assessment, and debriefing.

**Deleted: Production and Reporting**

**Deleted: / Significant Intelligence Files**

**Formatted:** Indent: Left: 0.63"

**Deleted:** Significant intelligence files are those case files that: 1) attract

**Deleted:** PERMANENT. Cut off at end of calendar year in which

**Deleted:** national media or Congressional attention; or 2) ... [1]

**Deleted:** case is closed. Offer to the National Archives for

**Deleted:** changes in DHS or the Intelligence Community policies and

**Deleted:** permanent retention 30 years after cutoff.

**Deleted:** procedures and will be selected by the DHS Chief ... [2]

**Deleted:** based on these criteria.

**Deleted: 7 Production and Reporting Files / Support** ... [3]

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

**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) / Data Calls**

**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. Includes RFI data in the Request for Information Management System (Pantheon).

**Disposition:**

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

**Deleted:** 1) Paper Copies

**Deleted:** 2) Electronic Copies

**Deleted:** TEMPORARY. Cut off at end of calendar year. After

**Deleted:** electronic information is verified against the hard copy

**Deleted:** file, purge file and destroy or delete 2 years after cutoff or

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**Deleted:** 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.

**Disposition:**

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

**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.



<b>Page 2: [1] Deleted</b>	<b>NARAUser</b>	<b>11/15/2007 5:10 PM</b>
national media or Congressional attention; or 2) result in substantive		
<b>Page 2: [2] Deleted</b>	<b>NARAUser</b>	<b>11/15/2007 5:10 PM</b>
procedures and will be selected by the DHS Chief Intelligence Officer		
<b>Page 2: [3] Deleted</b>	<b>NARAUser</b>	<b>11/15/2007 5:01 PM</b>

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

### **Disposition:**

Documents that support the development of production and reporting  
 TEMPORARY. Cut off at end of calendar year. Destroy or  
 files, including source documents, backup and supporting data, and delete  
 30 years after cutoff.  
 other similar documents.

## Julie Hunsaker - Proposed Revised Schedule for N1-563-07-16

---

**From:** Julie Hunsaker  
**To:** Mason, Quinton  
**Date:** 1/10/2008 5:07 PM  
**Subject:** Proposed Revised Schedule for N1-563-07-16  
**CC:** Delawter, Denise A; Kathy.Schultz@DHS.GOV

---

Quinton,

I've attached a document that contains all of the proposed revisions we've talked about to-date. Please let me know which revisions you agree or disagree with. Feel free to give me a call if you would like to discuss any of them.

The only other remaining thing on the to-do list is to gather more information about the electronic formats in which the **record version** of the records covered by #6 exist. The first thing I will need from you is simply a list of the formats associated with the type of finished intel (for example, Warning Products in PDF, Assessments in TIFF, etc.) and we can proceed from there. (We have technical questionnaires for permanent electronic records that exist in certain formats. For example, if any of the records exist in PDF, we will send you a questionnaire asking for more information about how the PDF records are being produced.)

I want to thank you for putting together such a successful meeting on Tuesday. The quantity and the depth of knowledge of the people you brought to the table was right on the mark and I was impressed by how engaged everyone was. I also very much appreciated your input.

I believe in Tuesday's meeting we covered the issues/questions you raised in your 12/19/07 email to me, but please let me know if still have any questions and I'd be happy to talk with you about them.

Julie  
301-837-0661

**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. Offer to the National Archives for permanent retention 20 years after cutoff.

**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 6 years after cutoff.

**7 Workflow Tracking Systems**

Contain information pertinent to tracking and maintaining production status.

**Disposition:**

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

**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.

**Deleted: 1 Assessment Report Files Disposition:**

Recommendations distributed electronically on how to correct gaps in TEMPORARY. Cut off at end of calendar year. Destroy or delete staffing and services based on information gathered during delete 2 years after cutoff. assessments of the individual Fusion Centers.

**Deleted: 2 Bulletin Disposition:**

Intelligence publications that are produced periodically to provide TEMPORARY. Cut off at end of calendar year in which analysis and evaluations on intelligence information relevant to bulletin is produced, or when obsolete. Destroy or delete homeland security. 10 years after cutoff.

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**Deleted:** TEMPORARY. Cut off at end of calendar year. Destroy or

**Deleted:** delete 30 years after cutoff.

**Deleted: 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.

**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. Offer to the National Archives for permanent retention 20 years after cutoff.

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**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 6 years after cutoff.

**7. Workflow Tracking Systems**

Contain information pertinent to tracking and maintaining production status.

**Disposition:**

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

**Deleted: 8. Program Development Files** Disposition:¶  
Records which support the development of new programs. Includes PERMANENT Cut off annually. Transfer to NARA 10 ¶ standards, policies, and supporting documentation that help manage years after cutoff.¶ and maintain the program.¶

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

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<b>/ Finished and Current Intelligence</b>		
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<b>Page 2: [3] Deleted</b>  RARY. Cut off at end of calendar year. Destroy or	<b>NARAuser</b>	<b>11/15/2007 5:07 PM</b> TEMPO
<b>Page 2: [4] Deleted</b>  30 years after cutoff.	<b>NARAuser</b>	<b>11/15/2007 5:07 PM</b> delete
<b>Page 2: [5] Deleted</b>	<b>NARAuser</b>	<b>11/15/2007 5:07 PM</b>
<b>Page 2: [6] Deleted</b> Information is received, assessed, analyzed and reported and serves as unique documentation and may include collections, feedback reporting, and source acquisition, assessment, and debriefing.	<b>NARAuser</b>	<b>11/15/2007 5:04 PM</b>
<b>Page 2: [7] Deleted</b>	<b>NARAuser</b>	<b>11/15/2007 5:02 PM</b>
<b>/ Significant Intelligence Files</b>		
<b>Page 2: [8] Deleted</b> Significant intelligence files are those case files that: 1) attract	<b>NARAuser</b>	<b>11/15/2007 5:10 PM</b>
<b>Page 2: [9] Deleted</b> PERMANENT. Cut off at end of calendar year in which	<b>NARAuser</b>	<b>11/15/2007 5:21 PM</b>
<b>Page 2: [10] Deleted</b> national media or Congressional attention; or 2) result in substantive	<b>NARAuser</b>	<b>11/15/2007 5:10 PM</b>
<b>Page 2: [11] Deleted</b> case is closed. Offer to the National Archives for	<b>NARAuser</b>	<b>11/15/2007 5:22 PM</b>
<b>Page 2: [12] Deleted</b> changes in DHS or the Intelligence Community policies and	<b>NARAuser</b>	<b>11/15/2007 5:10 PM</b>
<b>Page 2: [13] Deleted</b> permanent retention 30 years after cutoff.	<b>NARAuser</b>	<b>11/15/2007 5:22 PM</b>
<b>Page 2: [14] Deleted</b> procedures and will be selected by the DHS Chief Intelligence Officer	<b>NARAuser</b>	<b>11/15/2007 5:10 PM</b>
<b>Page 2: [15] Deleted</b>	<b>NARAuser</b>	<b>11/15/2007 5:01 PM</b>
<b>7Production and Reporting Files / Support Documentation</b>		
<b>Disposition:</b>		
Documents that support the development of production and reporting TEMPORARY. Cut off at end of calendar year. Destroy or files, including source documents, backup and supporting data, and		delete

30 years after cutoff.  
other similar documents.

## Julie Hunsaker - RE: Proposed Revised Schedule for N1-563-07-16

---

**From:** Julie Hunsaker  
**To:** Mason, Quinton  
**Date:** 1/31/2008 8:39 AM  
**Subject:** RE: Proposed Revised Schedule for N1-563-07-16  
**CC:** Delawter, Denise A; Schultz, Kathy

---

Thanks Quinton. I just left you a message. I think it would be best if we could talk about this before we move on to the next phase. Please give me a call when you have a moment.

Julie

*- per 1/31/08 telecall w/ Q. Mason and David Liastro (Deputy Director for Production), record version of Item 6 is paper.*

>>> "Mason, Quinton" <Quinton.Mason@dhs.gov> 1/31/2008 7:40 AM >>>  
 Julie,

According to my POC, the formats apply to the record versions and the associated supporting documents when we have them in electronic format.

Not all supporting documents are in electronic form. Some still remain paper only, thus the need to store both formats.

v/r

Quinton S. Mason

Records Officer/

Acting Freedom of Information Officer

Department of Homeland Security

Intelligence and Analysis (I&A)

(202) 282-9385

[quinton.mason@dhs.gov](mailto:quinton.mason@dhs.gov)

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---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, January 30, 2008 4:01 PM  
**To:** Quinton Mason  
**Cc:** Denise A Delawter; Kathy Schultz  
**Subject:** RE: Proposed Revised Schedule for N1-563-07-16

Thank you, Quinton.

Would you have some time this week to talk about this? I want to make sure I understand whether the formats listed below apply to the **record version** of these files or just to reference copies.

Julie  
301-837-0661

>>> "Mason, Quinton" <Quinton.Mason@dhs.gov> 1/30/2008 7:24 AM >>>  
Julie,

The following information is provided in reference to electronic formats being used:

### **Finished Intelligence**

Dissemination Files and Lists - PDF, Word, Excel, Access, and PowerPoint files

Finished Intelligence Case Files - PDF, Word and HTML

Workflow Tracking Systems - Excel and Access

### **Raw Intelligence**

HIRs (and IIRs published prior to May 06) - MS Word

Enclosures - MS Word, PDF, Excell, JPG, BMP, GIF, PowerPoint

Source Docs - Plain Text documents, MS Word, PDF, HTML

Additionally, I have no comments and or recommendations on proposed Record Schedule (N1-563-07-16).

If additional information is required please let me know

v/r

**Quinton S. Mason**

Records Officer/  
Acting Freedom of Information Officer  
Department of Homeland Security  
Intelligence and Analysis (I&A)  
(202) 282-9385  
[quinton.mason@dhs.gov](mailto:quinton.mason@dhs.gov)

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---

**From:** Mason, Quinton  
**Sent:** Tuesday, January 22, 2008 9:31 AM  
**To:** 'Julie Hunsaker'  
**Cc:** Denise A Delawter; Schultz, Kathy  
**Subject:** RE: Proposed Revised Schedule for N1-563-07-16

Julie,

FYI,

Proposed schedule was forward to Division's POC for review on January 11.

I also requested for IM to provide electronic formats being used for records covered in #6.waiting for response.

Recommendations for changes and or corrections will be provided to you NLT January 24, 2008.

v/r

Quinton S. Mason

Records Officer/

Acting Freedom of Information Officer

Department of Homeland Security

Intelligence and Analysis (I&A)

(202) 282-9385

[quinton.mason@dhs.gov](mailto:quinton.mason@dhs.gov)

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, January 10, 2008 5:07 PM  
**To:** Quinton Mason  
**Cc:** Denise A Delawter; Schultz, Kathy  
**Subject:** Proposed Revised Schedule for N1-563-07-16

Quinton,

I've attached a document that contains all of the proposed revisions we've talked about to-date. Please let me know which revisions you agree or disagree with. Feel free to give me a call if you would like to discuss any of them.

The only other remaining thing on the to-do list is to gather more information about the electronic formats in which the **record version** of the records covered by #6 exist. The first thing I will need from you is simply a list of the formats associated with the type of finished intel (for example, Warning Products in PDF, Assessments in TIFF, etc.) and we can proceed from there. (We have technical questionnaires for permanent electronic records that exist in certain formats. For example, if any of the records exist in PDF, we will send you a questionnaire asking for more information about how the PDF records are being produced.)

I want to thank you for putting together such a successful meeting on Tuesday. The quantity and the depth of knowledge of the people you brought to the table was right on the mark and I was impressed by how engaged everyone was. I also very much appreciated your input.

I believe in Tuesday's meeting we covered the issues/questions you raised in your 12/19/07 email to me, but please let me know if still have any questions and I'd be happy to talk with you about them.

Julie  
301-837-0661

## Julie Hunsaker - N1-563-07-16

---

**From:** Julie Hunsaker  
**To:** Mason, Quinton  
**Date:** 2/22/2008 11:38 AM  
**Subject:** N1-563-07-16  
**CC:** Delawter, Denise A; Hudson, Tammy <CTR>; Kathy.Schultz@DHS.GOV

---

Quinton,

Per our conversation, here is a revised version of the SF 115 for the Office of Intelligence and Analysis. Because Item 7 is covered by the GRS, I show it struck-through on the SF 115 and reference the GRS item that covers it.

An abstract of this schedule will show up in the next notice we publish in the Federal Register about proposed records schedules. I'll keep you informed about what happens from here.

Julie

## Julie Hunsaker - Fwd: N1-563-07-16

---

**From:** Julie Hunsaker  
**To:** Mason, Quinton  
**Date:** 2/22/2008 12:14 PM  
**Subject:** Fwd: N1-563-07-16  
**CC:** Delawter, Denise A; Hudson, Tammy <CTR>; Kathy.Schultz@DHS.GOV

---

Quinton,

Also, as we spoke about on the phone, I'm going to write the following statement on the coversheet of this SF 115:

**The transfer/accession instruction for the permanent item on this schedule applies only to paper or hard copy 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.**

This language is necessary because we're approving Item 4 (for Finished Intel Case Files) as a media neutral authority (i.e., the authority will apply to the recordkeeping version of these records whether they are on paper or in electronic format).

With permanent, media neutral items, we need either a statement like this on the coversheet or an additional transfer instruction for electronic records within the disposition instruction. This additional transfer statement would indicate the electronic records would be transferred to NARA in a much shorter timeframe than the 20-year transfer period for the paper. (Generally, permanent electronic records should be transferred to NARA within 5 years after cutoff.) **For example**, a disposition instruction with multiple transfer instructions would look like this:

Disposition: PERMANENT. Cut off at end of calendar year in which case closed. Transfer paper records to the National Archives 20 years after cutoff. Transfer electronic records to the National Archives 5 years after cutoff.

However, I do not recommend taking this approach (i.e., adding an additional transfer instruction) for Item 4 on this SF 115.

Because the record version of the Finished Intel Case Files is paper and DHS will transfer the files to NARA as paper files, I don't want to confuse anyone over there by adding a transfer instruction for electronic records. So, the statement we're adding to the coversheet states when DHS changes the record version of the Intel Case Files to electronic, we'll work together to revise the transfer instructions for these records. We will be able to do this informally without creating a new SF 115.

Please let me know if you have any questions.

Julie

>>> Julie Hunsaker 2/22/2008 11:38 AM >>>  
Quinton,

Per our conversation, here is a revised version of the SF 115 for the Office of Intelligence and Analysis. Because Item 7 is covered by the GRS, I show it struck-through on the SF 115 and reference the GRS item that covers it.

An abstract of this schedule will show up in the next notice we publish in the Federal Register about proposed



records schedules. I'll keep you informed about what happens from here.

Julie

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## Julie Hunsaker - N1-563-07-16

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**From:** Julie Hunsaker  
**To:** Mason, Quinton  
**Date:** 3/11/2008 5:38 PM  
**Subject:** N1-563-07-16  
**CC:** Delawter, Denise A; Hudson, Tammy <CTR>; Kathy.Schultz@DHS.GOV

---

Quinton,

Per our conversation today I will withdraw Situation Awareness Reports (Item 6) from the proposed I&A schedule. This item was recently added to the DHS "Records Common to All" schedule (N1-563-08-3), so I&A doesn't need to schedule these records separately.

In addition, I will draft a title and description for the I&A records I reviewed during my site visit on Feb 26 (the CINT Notes and Spot Notes). I'll then send this to you for your review and for submission to NARA on a future I&A SF 115.

Please let me know if you have any questions.

Julie

## Julie Hunsaker - RE: Question About N1-563-07-13 Schedule

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 2/27/2008 11:57 AM  
**Subject:** RE: Question About N1-563-07-13 Schedule  
**CC:** Loiselle, Andrea

---

Thank you, Tammy!

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 2/27/2008 11:39 AM >>>

They would be part of the Secretary's daily briefing and would be included in the briefing books.

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Friday, February 22, 2008 2:39 PM  
**To:** Tammy <CTR> Hudson  
**Cc:** Andrea Loiselle  
**Subject:** Question About N1-563-07-13 Schedule

Hi, Tammy.

I've begun the internal NARA review phase of the I&A schedule (N1-563-07-16). One of our stakeholder units asked about the rationale behind the proposed temporary disposition of the I&A situation awareness reports. When I met with the I&A program staff, they mentioned that the most significant SIT reports are sent to the DHS Secretary and Undersecretary. Do you know whether these (and other office's) SIT reports would then be covered by the Exec Sec schedule (N1-563-07-13)? If so, which item would they fall under?

Thanks for your help!

Julie

## Julie Hunsaker - Fwd: N1-563-07-16

---

**From:** Julie Hunsaker  
**To:** Mason, Quinton  
**Date:** 2/22/2008 12:14 PM  
**Subject:** Fwd: N1-563-07-16  
**CC:** Delawter, Denise A; Hudson, Tammy <CTR>; Kathy.Schultz@DHS.GOV

---

Quinton,

Also, as we spoke about on the phone, I'm going to write the following statement on the coversheet of this SF 115:

**The transfer/accession instruction for the permanent item on this schedule applies only to paper or hard copy 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.**

This language is necessary because we're approving Item 4 (for Finished Intel Case Files) as a media neutral authority (i.e., the authority will apply to the recordkeeping version of these records whether they are on paper or in electronic format).

With permanent, media neutral items, we need either a statement like this on the coversheet or an additional transfer instruction for electronic records within the disposition instruction. This additional transfer statement would indicate the electronic records would be transferred to NARA in a much shorter timeframe than the 20-year transfer period for the paper. (Generally, permanent electronic records should be transferred to NARA within 5 years after cutoff.) **For example**, a disposition instruction with multiple transfer instructions would look like this:

Disposition: PERMANENT. Cut off at end of calendar year in which case closed. Transfer paper records to the National Archives 20 years after cutoff. Transfer electronic records to the National Archives 5 years after cutoff.

However, I do not recommend taking this approach (i.e., adding an additional transfer instruction) for Item 4 on this SF 115.

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Please let me know if you have any questions.

Julie

>>> Julie Hunsaker 2/22/2008 11:38 AM >>>  
 Quinton,

Per our conversation, here is a revised version of the SF 115 for the Office of Intelligence and Analysis. Because Item 7 is covered by the GRS, I show it struck-through on the SF 115 and reference the GRS item that covers it.

An abstract of this schedule will show up in the next notice we publish in the Federal Register about proposed

records schedules. I'll keep you informed about what happens from here.

Julie

**Julie Hunsaker - N1-563-07-1**

---

**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 6/4/2007 5:45 PM  
**Subject:** N1-563-07-1  
**CC:** Guilbaud, Jennie

---

Hi, Kathy.

I sat down with Jennie last week to review the outstanding issues regarding the Executive Correspondence Tracking System (N1-563-07-1). From what I gather, a major proposed change to this schedule is to add a permanent item for Historically Significant Correspondence. I agree with Jennie that this is an important aspect of the schedule - this system does appear to contain historical records - and I have asked her to continue to work with you to resolve how it should best be handled on this SF 115. She will be happy answer any questions you might have about this issue and any of the feedback she gave you regarding this schedule.

We understand your frustration with being asked to edit a document you felt was in its final form. However, please understand that it is not unusual for NARA to ask agencies to edit a schedule during the appraisal process as we come to understand the associated records more fully. We do our best to make this process as smooth as possible and ask for your patience as we work through issues with you.

Please feel free to call me if you'd like to discuss this further.

Julie

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Jennie Guilbaud" <jennie.guilbaud@nara.gov>  
**Date:** 2/6/2007 9:41:16 AM  
**Subject:** RE: Request Approval for Schedule Wording Change N1-563-07-1

Jennie,

Yes, I approve of the change.

Thank you.

Kathy

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

DHS Core Values: Integrity, Vigilance, and Respect

-----Original Message-----

From: Jennie Guilbaud [mailto:jennie.guilbaud@nara.gov]  
Sent: Thursday, February 01, 2007 2:37 PM  
To: Schultz, Kathy  
Cc: Hudson, Tammy  
Subject: Request Approval for Schedule Wording Change N1-563-07-1

Good afternoon, Ms. Kathy:

I hope the week is going well for you. I was reassigned the NARA Job No. N1-463-07-1--the number is a typo and I'll see about getting it changed. While reviewing the dossier's contents, an e-mail was sent requesting a minor wording change to the schedule, but I did not find an indication for approval or not.

The suggested wording change is for the first paragraph, second sentence, to add the phrase "except where indicated." We need this change because the schedule includes references to paper records and thus is not completely media-neutral. I can ink it into the schedule once I receive approval from you by way of answering this e-mail. Let me know if you have any questions or comments. Thank you for your time and consideration in this matter.

Jennie  
301-837-1777  
FAX 301-837-3698  
jennie.guilbaud@nara.gov

**CC:** "Hudson, Tammy" <Tammy.Hudson@associates.dhs.gov>

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** 4/29/2008 6:35:01 AM  
**Subject:** FW: NARA Questions on CPO Schedule Items

Brian,

Attached are the responses to Ivan's initial questions. Let me know what other information you need.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Strouss, Kathy  
Sent: Monday, April 28, 2008 10:10 AM  
To: Hudson, Tammy <CTR>  
Subject: RE: NARA Questions on CPO Schedule Items

Tammy:

Sorry I am so late with the response.

Acquisition Alerts are posted on the DHS Online Intranet only. USCG Procurement posts some of them on their "internet procurement site".

They contain rapid use information or direction that is not regulatory. Its use to transmit other agency information or guidance (such as OMB, OFPP) or reporting requirements details and due dates (Value Engineering Report). Here's the link to our present active alerts -  
<https://dhsonline.dhs.gov/portal/jhtml/dc/sf.jhtml?doid=46182>



Federal Acquisition Review: The DHS comments are collected and then analyzed before submission to the CAAC. This is all done via email. We don't typically prepare a formal memo response. So I retain input and submitted comments in outlook or word folders. On rare occasions we get requests from the courts or Congress to provide our internal discussion correspondence. That has happened twice to me in the past five years on two cases. Note - The CAAC (run by GSA) maintains records of our incoming submissions for each case.

Regulatory Waivers and Deviations: Individual waivers and deviations are generated from the Component Procurement offices seeking relief from regulations or policy. Class Waivers or Deviations are typically generated by my office, but requests for class waivers or deviations can be generated from the Components. OCPO must approve all class waivers and deviations. Not sure I have any rationale for keeping non-approved for the same period.

Reporting to EPLS: Is this a database or tracking system? I think it is both. It's a database for capturing data, but users can also track actions& activities by agencies, current and archived.

If so, what format or application is being using to manage the system?  
See [www.epls.gov](http://www.epls.gov) <<http://www.epls.gov/>> The system is managed by GSA and they have likely worked with NARA on it.

Kathy Strouss

202-447-5273

---

From: Hudson, Tammy <CTR>  
Sent: Thursday, April 17, 2008 9:49 AM  
To: Strouss, Kathy  
Subject: NARA Questions on CPO Schedule Items

Kathy,

NARA has requested additional information on the record schedule submitted for your program. Can you help? (Along with their question, I've included the schedule item that we drafted.)

\* Item 1-Acquisition Alerts

How are these notifications posted and where? What types of information do they contain? Can you provide me with an example?

Acquisition Alerts

Notification of acquisition related information, usually includes an expiration date.

TEMPORARY. Cut off on expiration date, if applicable, or date of publication. Destroy or delete 2 years after cutoff.

\* Item 2-Federal Acquisition Regulations Review What happens to the information collected at the end of a review? Is it place into a report and forwarded to an overseeing governmental office (e.g., GAO, etc.)?

Federal Acquisition Regulations Review

Records documenting opinions, analysis, conclusion, advice or interpretations submitted to the Civilian Agency Acquisition Council (CAAC). May include, but are not limited to, documentation of interpretive rulings; program-specific background materials and memoranda (usually organized by topic); internal comments and working papers pertaining to rulemaking of Federal Acquisition Regulations (FAR) cases.

TEMPORARY. Cut off on date of publication of final review. Destroy or delete 3 years after cutoff.

\* Item 6-Regulatory Waivers and Deviations How is a waiver or deviation produced? Who initiates it? What is the rationale behind keeping the rejected waivers for the same retention period?

Regulatory Waivers and Deviations

Waivers and deviations to DHS Acquisition Regulations (HSAR), Homeland Security Acquisition Manual (HSAM), or the Federal Acquisition Regulation (FAR). Includes approved and rejected waivers filed by fiscal year.

TEMPORARY. Cut off when the waiver or deviation expires. Destroy or delete 10 years from cutoff.

\* Item 7-Reporting to EPLS

Is this a database or tracking system? If so, what format or application is being using to manage the system?

#### Reporting to EPLS

Input for all DHS Components to the Excluded Parties List System (EPLS); addition to the list results in the debarment or suspension from contracting with DHS. Information used to update the system includes input information and any documents relating to investigations of Contractors resulting in inclusion to the debarment and suspension list.

(1) Office with responsibility for coordinating internal control functions.

TEMPORARY. Cut off when no further corrective action is necessary. Destroy 5 years after cutoff.

(2) Copies maintained by other offices as internal reviews.

TEMPORARY. Cut off when no further corrective action is necessary. Destroy 1 year after cutoff.

Thanks!

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov



Homeland  
Security

**TO:** DHS Heads of the Contracting Activities

**FROM:** Department of Homeland Security, Office of the Chief Procurement Officer

**SUBJ: REPORTING OF PURCHASES FROM OVERSEAS SOURCES**

**1. Introduction:** This Acquisition Alert provides Component reporting requirements in support of the Fiscal Year (FY) 2008 and subsequent annual Report to Congress on Purchases from Overseas Sources.

**2. Acquisition Impact and Required Component Action:** Each DHS Component must ensure that, where appropriate, solicitations for articles, materials or supplies include Federal Acquisition Regulation (FAR) 52.225-18, *Place of Manufacture* provision (or its commercial item equivalent.) By October 31, of each year, each DHS Component is required to submit to the Office of the Chief Procurement Officer (OCPO) its FY *Report of Acquisition of End Products Manufactured Outside of the United States* using the format provided at Attachment (1) of this Acquisition Alert.

**3. Background/Reference to Regulations and Agency Policies/Procedures:** FAR 25.004 – *Reporting of Acquisition of End Products Manufactured Outside of the United States* requires each Federal agency to submit an annual report to Congress on the amount of acquisitions made from entities that manufacture end products outside of the United States. The requirements of this Acquisition Alert support the Department's capture of Component data and subsequent consolidation into a single DHS Report to Congress. Attachment (2) provides additional information on submission of Component data.

**3. Expiration Date: October 31, 2008**

**4. Additional Information:** Direct questions or comments about this Alert to Jeremy Olson at (202) 447-5197 or email at [jerry.olson@dhs.gov](mailto:jerry.olson@dhs.gov).

**5. Attachments:**

- (1) Buy America Report Format
- (2) Additional Information on Component Report Submissions

**Distribution Instructions:**

**Disseminate to the widest possible audience – Acquisition Staff, Program Office, Financial Personnel, Customers, and Purchase Cardholders, etc.**

## **REPORTING PURCHASES FROM OVERSEAS SOURCES ADDITIONAL INFORMATION ON COMPONENT REPORT SUBMISSIONS [ATTACHMENT (2)]**

**1. When is each Component's report due to OCPO?**

Components are required to submit their report by October 31<sup>st</sup> of each year.

**2. Where is the report to be sent?**

Send the report to the Director of Strategic Initiatives, Office of the Chief Procurement Officer, DHS.

**3. What is information is required to be included in Component reports?**

Fill in the attached spreadsheet (both worksheets) to show:

- The dollar value of any articles, materials, or supplies that were manufactured outside of the United States;
- An itemized list of all waivers granted with respect to such articles, materials, or supplies under this Act, and a citation to the treaty, international agreement, or other law under which each waiver was granted;
- If any articles, materials, or supplies were acquired from entities that manufacture articles, materials, or supplies outside the United States, the specific exception under this section that was used to purchase such articles, materials, or supplies; and
- A summary of--
  - (i) The total procurement funds expended on articles, materials, and supplies manufactured inside the United States; and
  - (ii) The total procurement funds expended on articles, materials, and supplies manufactured outside the United States.

**4. What format should be used?**

Use the attached Excel spreadsheet. This is the same format as was requested for Component submission in support of the 2007 DHS Report to Congress.

**5. Where should the information come from?**

- Use FPDS for this data, to the extent contract actions have reported information from Block 9H, Place of Manufacture, into FPDS.
- For actions not reported into FPDS, utilize information provided by offerors per the provision at FAR 52.225-18, Place of Manufacture (or the commercial item equivalent at FAR 52.212-3).
- If the offeror checks the box for "Outside the United States," include that action in the attached spread sheet, "List of Acquisitions."
- Identify the Exception in FAR 25.102 for each action where one was granted.
- For Trade Agreement Act (TAA) waivers, show for each which TAA country applies.
- Show the totals for each category in the attached spread sheet, "FAR 25.102 Tallies", depending on the predominant reason for acquiring end products manufactured outside the United States.

- If a solicitation did not include the provision at FAR 52.225-18, Place of Manufacture (or commercial item equivalent at FAR 52.212-3), and for any order placed against a contract that did not include one of these provisions, use the best judgment in determining whether the acquisition is predominantly for manufactured end item products and whether the end products were predominantly manufactured in the United States or outside of the United States, using such information such as place of performance or other information that may be available to the Contracting Officer.

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** 5/6/2008 6:21:09 AM  
**Subject:** FW: NARA Inquiry on CPO Schedule Item

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Waggoner, ilene  
Sent: Thursday, May 01, 2008 3:48 PM  
To: Hudson, Tammy <CTR>  
Subject: RE: NARA Inquiry on CPO Schedule Item

The information is posted on the internet at [www.fido.gov](http://www.fido.gov)  
<<http://www.fido.gov/>> which is linked to the DHS website. The  
Forecast is also printed in hard copy and distributed to the public on  
request.

Ilene Waggoner  
Department of Homeland Security  
OSDBU  
202-447-5282  
[www.dhs.gov/openfor/business](http://www.dhs.gov/openfor/business)

---

From: Hudson, Tammy <CTR>  
Sent: Thursday, April 17, 2008 9:52 AM  
To: Waggoner, ilene  
Subject: NARA Inquiry on CPO Schedule Item

Ilene,

NARA has requested additional information on the record schedule  
submitted for your program. Can you help? (Along with their question,

I've included the schedule item that we drafted.)

\* Forecast of Contracts (publications) How is this information posted and where? Are they posted on the agency website?

Forecast of Contracts (publication)

A listing of contracting opportunities within DHS available to small businesses. The publication is issued twice yearly (October and March) with information compiled from FIDO.gov.

TEMPORARY. Cut off 6 months from date of publication or when the next report is published, whichever is sooner. Destroy or delete one year after cutoff.

Thanks!

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)



**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** 5/8/2008 8:31:01 AM  
**Subject:** RE: N1-563-08-8, Office of the Chief Procurement OfficerProgram records

Yes to questions 2 and 3. The third item is updated as regulations change.

I'm not sure what you mean by the last part - yes, these are published by OCPO.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Thursday, May 08, 2008 7:22 AM  
To: Tammy <CTR> Hudson  
Subject: RE: N1-563-08-8, Office of the Chief Procurement OfficerProgram records

apologies...should have been OCPO

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/6/2008 6:36 AM >>>  
What is OCOP?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Monday, May 05, 2008 9:46 AM  
To: Tammy <CTR> Hudson  
Subject: N1-563-08-8, Office of the Chief Procurement Officer  
ProgramRecords

Tammy...three questions...

1. Item 3: Forecast of Contracts: Is this published by FIDO.gov and is only a reference copy for this office?
2. Item 4: Homeland Security Acquisition Manual (HSAM)  
The record copy is schedule in DHS Office of Acquisition Policy and Oversight.  
IS the above correct?
3. Item 5: Homeland Security Acquisition Regulations (HSAR)  
Intended as regulatory guidance, the HSAR reflects recent changes to

the Federal Acquisition Regulation (FAR) The HSAR is under the direct oversight and control of the DHS, Office of the Chief Procurement Officer (OCPO), which is responsible for evaluation, review, and issuance of all Department-wide acquisition regulations and guidance. The HSAR is issued as chapter 30 of Title 48 of the CFR.

IS the above correct?....So this is not a publication of OCOP?

BRIAN T. WOODALL, Archives Specialist  
Life Cycle Management Division  
National Archives and Records Administration  
8601 Adelphi Road  
College Park, MD 20740-6001  
V: 301.837.1574. F: 301.837.3698  
E-mail: brian.woodall@nara.gov

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** 5/8/2008 11:37:47 AM  
**Subject:** RE: FW: NARA Inquiry on CPO Schedule Item

yes

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Thursday, May 08, 2008 11:02 AM  
To: Tammy <CTR> Hudson  
Subject: Re: FW: NARA Inquiry on CPO Schedule Item

Thanks for the information...would you (and the program office) agree that Forecast of Contracts (publication) is published by CPO as an abstract (summary of a publication), based on information compiled from FIDO.gov.

So this is why it is not a permanent item included in your proposed schedule N1-563-08-3, item #1 Brochures, Pamphlets and Publications?

brian

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/6/2008 6:20 AM >>>

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

---

From: Waggoner, ilene  
Sent: Thursday, May 01, 2008 3:48 PM  
To: Hudson, Tammy <CTR>  
Subject: RE: NARA Inquiry on CPO Schedule Item

The information is posted on the internet at [www.fido.gov](http://www.fido.gov)

<<http://www.fido.gov/>> which is linked to the DHS website. The Forecast is also printed in hard copy and distributed to the public on request.

Ilene Waggoner  
Department of Homeland Security  
OSDBU  
202-447-5282  
[www.dhs.gov/openfor/business](http://www.dhs.gov/openfor/business)

---

From: Hudson, Tammy <CTR>  
Sent: Thursday, April 17, 2008 9:52 AM  
To: Waggoner, ilene  
Subject: NARA Inquiry on CPO Schedule Item

Ilene,

NARA has requested additional information on the record schedule submitted for your program. Can you help? (Along with their question, I've included the schedule item that we drafted.)

\* Forecast of Contracts (publications) How is this information posted and where? Are they posted on the agency website?

Forecast of Contracts (publication)

A listing of contracting opportunities within DHS available to small businesses. The publication is issued twice yearly (October and March) with information compiled from FIDO.gov.

TEMPORARY. Cut off 6 months from date of publication or when the next report is published, whichever is sooner. Destroy or delete one year after cutoff.

Thanks!

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** 5/12/2008 6:28:02 AM  
**Subject:** RE: N1-563-08-8, Office of the Chief Procurement Officer Program records

Brian,

The Office of Acquisition Policy and Oversight is part of OCPO. These are the program records that cover all offices under OCPO.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Thursday, May 08, 2008 1:35 PM  
To: Tammy <CTR> Hudson  
Subject: RE: N1-563-08-8, Office of the Chief Procurement Officer Program records

Tammy, copies of all publications are non-record, thus, this item can be removed from the SF 115 schedule.

Item 4: Homeland Security Acquisition Manual (HSAM)  
The record copy is scheduled in DHS Office of Acquisition Policy and Oversight.

I cannot locate the SF 115 for HSAM.....If you have a citation, please send or if not, can you confirm that "The record copy will be scheduled in DHS Office of Acquisition Policy and Oversight (or somewhere else).

Do you propose the HSAM as a permanent item included in your proposed schedule N1-563-08-3, item #1 Brochures, Pamphlets and Publications?

and

Request SF 115, Item 7 (1) and (2) : Reporting to Excluded Parties List System, (EPLS)....be changed to Item 7 (a) and (b).

thanx, brian

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/8/2008 8:30 AM >>>

Yes to questions 2 and 3. The third item is updated as regulations change.

I'm not sure what you mean by the last part - yes, these are published by OCPO.

Tammy Hudson

DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Thursday, May 08, 2008 7:22 AM  
To: Tammy <CTR> Hudson  
Subject: RE: N1-563-08-8, Office of the Chief Procurement  
Officer Program  
records

apologies...should have been OCPO

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/6/2008  
6:36 AM >>>  
What is OCOP?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Monday, May 05, 2008 9:46 AM  
To: Tammy <CTR> Hudson  
Subject: N1-563-08-8, Office of the Chief Procurement Officer  
Program Records

Tammy...three questions...

1. Item 3: Forecast of Contracts: Is this published by FIDO.gov and is only a reference copy for this office?
2. Item 4: Homeland Security Acquisition Manual (HSAM)  
The record copy is schedule in DHS Office of Acquisition  
Policy and Oversight.  
IS the above correct?
3. Item 5: Homeland Security Acquisition Regulations (HSAR)  
Intended as regulatory guidance, the HSAR reflects recent  
changes to  
the Federal Acquisition Regulation (FAR) The HSAR is under the  
direct oversight and  
control of the DHS, Office of the Chief Procurement  
Officer  
(OCPO),  
which is responsible for evaluation, review, and issuance  
of all Department-wide  
acquisition regulations and guidance. The HSAR is issued  
as chapter 30 of Title 48 of  
the CFR.

IS the above correct?....So this is not a publication of OCOP?

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

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**Chief Procurement Officer, Office of**

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It is the policy of the Department of Homeland Security (DHS) that the Office of the DHS Chief Procurement Officer (CPO) serves as the foundational DHS organization through which all Department-wide Acquisition activities and services are overseen, defined, and measured.

The DHS CPO, through the DHS CPO Council and its centers of excellence, design, direct, and oversee the implementation of the integration of Acquisition across the Department to improve mission support quality and efficiency.

The mission of the DHS OCPO is:

- Creating an acquisition organization focused on supporting the mission and complying with Federal laws and regulations.
- Assisting the CPO in developing, implementing, and evaluating acquisition policies, programs, and services by providing resources, input, and counsel.
- Developing the Service Level Agreement(s) (SLA).
- Ensuring acquisition personnel are providing timely, quality customer service, mission support, and contract oversight in accordance with the SLA and performance contracts.
- Incorporating annual program guidance for CPO key areas of emphasis into the HCA performance contract and cascading this emphasis to subordinate personnel, as appropriate.
- Developing, in cooperation with the CPO and the Organizational Element (OE) Heads, an acquisition strategic plan to be updated annually.
- Advising the CPO on the mission, priorities, initiatives, and business needs of the OE.

Additionally, the DHS Chief Acquisition Officer Council is a functional advisory body that assists the DHS CPO in evaluating and determining the best course of action for the DHS acquisition program.

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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 Acquisition Alerts**

Notification of acquisition related information, usually includes an expiration date.

**Disposition:**

TEMPORARY. Cut off on expiration date, if applicable, or date of publication. Destroy or delete 2 years after cutoff.

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

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**2 Federal Acquisition Regulations Review**

Records documenting opinions, analysis, conclusion, advice or interpretations submitted to the Civilian Agency Acquisition Council (CAAC). May include, but are not limited to, documentation of interpretive rulings; program-specific background materials and memoranda (usually organized by topic); internal comments and working papers pertaining to rulemaking of Federal Acquisition Regulations (FAR) cases.

**Disposition:**

TEMPORARY. Cut off on date of publication of final review. Destroy or delete 3 years after cutoff.

**3 Forecast of Contracts (publication)**

A listing of contracting opportunities within DHS available to small businesses. The publication is issued twice yearly (October and March) with information compiled from FIDO.gov.

**Disposition:**

TEMPORARY. Cut off 6 months from date of publication or when the next report is published, whichever is sooner. Destroy or delete one year after cutoff.

**4 Homeland Security Acquisition Manual (HSAM)**

Implements and supplements the Federal Acquisition Regulation (FAR) and the Homeland Security Acquisition Regulation (HSAR). It is non-regulatory in nature and provides uniform procedures for the internal operation of acquiring supplies and services within DHS.

**Disposition:**

TEMPORARY. Cut off on date of publication. Destroy or delete 20 years from cutoff.

**5 Homeland Security Acquisition Regulations (HSAR)**

Regulations supplementing the Homeland Security Acquisition Manual (HSAM) and the Federal Acquisition Regulation (FAR) concerning the requirements of contractors for selling to the government, the terms under which the government obtains ownership, title and control of the goods or services purchased, and rules on specifications, payments and conduct and actions regarding solicitation of bids and payment of invoices.

**Disposition:**

TEMPORARY. Cut off on date of expiration or when the regulation is obsolete or superseded. Destroy or delete 20 years from cutoff, or when no longer needed for business, audit or legal purposes, whichever is later.



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

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**6 Regulatory Waivers and Deviations**

Waivers and deviations to DHS Acquisition Regulations (HSAR), Homeland Security Acquisition Manual (HSAM), or the Federal Acquisition Regulation (FAR). Includes approved and rejected waivers filed by fiscal year.

**Disposition:**

TEMPORARY. Cut off when the waiver or deviation expires. Destroy or delete 10 years from cutoff.

**7 Reporting to EPLS**

Input for all DHS Components to the Excluded Parties List System (EPLS); addition to the list results in the debarment or suspension from contracting with DHS. Information used to update the system includes input information and any documents relating to investigations of Contractors resulting in inclusion to the debarment and suspension list.

**Disposition:**

a. Office with responsibility for coordinating internal control functions.

TEMPORARY. Cut off when no further corrective action is necessary. Destroy 5 years after cutoff.

b. Copies maintained by other offices as internal reviews.

TEMPORARY. Cut off when no further corrective action is necessary. Destroy 1 year after cutoff.

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** 5/27/2008 6:59:14 AM  
**Subject:** RE: FW: NARA Questions on CPO Schedule Items

My only concern with dropping this is that we then have part of the Classification guidance records scheduled and one item unscheduled until NARA decides on and publishes the GRS item. If they don't develop the GRS, we'll have to submit the item at that point.

Since you think the record has permanent value, why don't we change the disposition to Permanent. If and when NARA comes out with a GRS, we can make any modifications from there. I would assume that we are not the only agency with this item, so others will have to do the same thing.

Comments?

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Friday, May 23, 2008 8:35 AM  
To: Tammy <CTR> Hudson  
Cc: Julie Hunsaker  
Subject: RE: FW: NARA Questions on CPO Schedule Items

Good morning Tammy,

Julie Hunsaker and I met (internally) on 5/23/2008, with several "Classification Management Guide" subject experts and made a decision to drop Item #3 "Security Classification Guide" from your Department of Homeland Security (DHS) proposed schedule N1-563-08-10.

We are in the process of proposing this item as a GRS permanent item across the federal government. That is, all Classification Security Management Guides will (if approved by NARA) be permanent.

Request your concurrence (or not).

thanks,

brian

BRIAN T. WOODALL, Archives Specialist  
Life Cycle Management Division  
National Archives and Records Administration  
8601 Adelphi Road  
College Park, MD 20740-6001  
V: 301.837.1574. F: 301.837.3698  
E-mail: brian.woodall@nara.gov

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/29/2008  
8:15 AM >>>  
Brian,

The Classification Management person is out of the office until 5/1.  
I'll get back to you after I speak with him.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Tuesday, April 29, 2008 7:24 AM  
To: Tammy <CTR> Hudson  
Subject: Re: FW: NARA Questions on CPO Schedule Items

**CC:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>, "Schultz, Kathy"  
<Kathy.Schultz@DHS.GOV>

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>, "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 5/27/2008 7:01:14 AM  
**Subject:** RE: N1-563-08-8, Office of the Chief Procurement Officer

Since these records are unique to this office, why can't we leave them on this schedule and change the disposition to Permanent?

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Friday, May 23, 2008 2:04 PM  
To: Julie Hunsaker  
Cc: Tammy <CTR> Hudson  
Subject: Re: N1-563-08-8, Office of the Chief Procurement Officer

Julie, thanks for the clarification.

>>> Julie Hunsaker 5/23/2008 11:58 AM >>>  
Brian,

You might want to clarify that what we're proposing is to include these records on a department-wide "records common to all" schedule \* either on the existing N1-563-08-3 or a subsequent schedule DHS submits. We're not necessarily tied to these records being covered by the "Brochures, Pamphlets and Publications" item. (In other words, we're not saying that they either should go under the "Brochures, Pamphlets and Publications" item or onto a different schedule entirely. It would be fine if DHS thinks they can be covered by a different item on the N1-563-08-3 schedule or if they want to add a new item to the N1-563-08-3 schedule.)

Julie

>>> Brian Woodall 5/23/2008 11:43 AM >>>  
Good morning Tammy, in reference to:

Item 4: Homeland Security Acquisition Manual (HSAM)  
and  
Item 5: Homeland Security Acquisition Regulations (HSAR)

Our management has brought to my attention these may be permanent records.

We would like to "drop" them from this schedule. We request your concurrence

If you do not believe they can be covered in your proposed schedule

N1-563--8-3, Brochures, Pamphlets and Publications, we can re-schedule them in another department wide schedule.

thanks again,  
brian

BRIAN T. WOODALL, Archives Specialist  
Life Cycle Management Division  
National Archives and Records Administration  
8601 Adelphi Road  
College Park, MD 20740-6001  
V: 301.837.1574. F: 301.837.3698  
E-mail: brian.woodall@nara.gov

**CC:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** 5/28/2008 11:19:30 AM  
**Subject:** RE: N1-563-08-8, Office of the Chief Procurement Officer

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Tuesday, May 27, 2008 2:20 PM  
To: Tammy <CTR> Hudson; Julie Hunsaker  
Cc: Kathy Schultz  
Subject: RE: N1-563-08-8, Office of the Chief Procurement Officer

Per our telephone discussion this afternoon, we will leave them on this schedule and you agree to change the disposition to Permanent (with corresponding language) and send me an updated copy.

Please confirm.

thanks,

brian

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/27/2008 7:00 AM >>>

Since these records are unique to this office, why can't we leave them on this schedule and change the disposition to Permanent?

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Friday, May 23, 2008 2:04 PM  
To: Julie Hunsaker  
Cc: Tammy <CTR> Hudson  
Subject: Re: N1-563-08-8, Office of the Chief Procurement Officer

Julie, thanks for the clarification.

>>> Julie Hunsaker 5/23/2008 11:58 AM >>>  
Brian,

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records on a department-wide "records common to all" schedule \* either on the existing N1-563-08-3 or a subsequent schedule DHS submits.

We're

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E-mail: brian.woodall@nara.gov

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

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**Office of the Chief Procurement Officer**

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It is the policy of the Department of Homeland Security (DHS) that the Office of the DHS Chief Procurement Officer (CPO) serves as the foundational DHS organization through which all Department-wide Acquisition activities and services are overseen, defined, and measured.

The DHS CPO, through the DHS CPO Council and its centers of excellence, design, direct, and oversee the implementation of the integration of Acquisition across the Department to improve mission support quality and efficiency.

The mission of the DHS OCPO is:

- Creating an acquisition organization focused on supporting the mission and complying with Federal laws and regulations.
- Assisting the CPO in developing, implementing, and evaluating acquisition policies, programs, and services by providing resources, input, and counsel.
- Developing the Service Level Agreement(s) (SLA).
- Ensuring acquisition personnel are providing timely, quality customer service, mission support, and contract oversight in accordance with the SLA and performance contracts.
- Incorporating annual program guidance for CPO key areas of emphasis into the HCA performance contract and cascading this emphasis to subordinate personnel, as appropriate.
- Developing, in cooperation with the CPO and the Organizational Element (OE) Heads, an acquisition strategic plan to be updated annually.
- Advising the CPO on the mission, priorities, initiatives, and business needs of the OE.

Additionally, the DHS Chief Acquisition Officer Council is a functional advisory body that assists the DHS CPO in evaluating and determining the best course of action for the DHS acquisition program.

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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 Acquisition Alerts**

Notification of acquisition related information, usually includes an expiration date.

**Disposition:**

TEMPORARY. Cut off on expiration date, if applicable, or date of publication. Destroy or delete 2 years after cutoff.



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

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**2 Federal Acquisition Regulations Review**

Records documenting opinions, analysis, conclusion, advice or interpretations submitted to the Civilian Agency Acquisition Council (CAAC). May include, but are not limited to, documentation of interpretive rulings; program-specific background materials and memoranda (usually organized by topic); internal comments and working papers pertaining to rulemaking of Federal Acquisition Regulations (FAR) cases.

**Disposition:**

TEMPORARY. Cut off on date of publication of final review. Destroy or delete 3 years after cutoff.

**3 Forecast of Contracts (publication)**

A listing of contracting opportunities within DHS available to small businesses. The publication is issued twice yearly (October and March) with information compiled from FIDO.gov.

**Disposition:**

TEMPORARY. Cut off 6 months from date of publication or when the next report is published, whichever is sooner. Destroy or delete one year after cutoff.

**4 Homeland Security Acquisition Manual (HSAM)**

Implements and supplements the Federal Acquisition Regulation (FAR) and the Homeland Security Acquisition Regulation (HSAR). It is non-regulatory in nature and provides uniform procedures for the internal operation of acquiring supplies and services within DHS.

One copy of each publication should be designated the record copy.

**Disposition:**

PERMANENT. Cut off on date of publication. If printed, offer to NARA 5 years after cutoff or when volume warrants, whichever is sooner. If electronic, cut off at end of calendar year in which published, transfer to NARA within three months after cutoff.

**5 Homeland Security Acquisition Regulations (HSAR)**

Regulations supplementing the Homeland Security Acquisition Manual (HSAM) and the Federal Acquisition Regulation (FAR) concerning the requirements of contractors for selling to the government, the terms under which the government obtains ownership, title and control of the goods or services purchased, and rules on specifications, payments and conduct and actions regarding solicitation of bids and payment of invoices.

One copy of each should be designated the record copy.

**Disposition:**

PERMANENT. Cut off on date of expiration or when the regulation is obsolete or superseded. Offer to NARA 5 years after cutoff or when volume warrants, whichever is sooner.

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

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**6 Regulatory Waivers and Deviations**

Waivers and deviations to DHS Acquisition Regulations (HSAR), Homeland Security Acquisition Manual (HSAM), or the Federal Acquisition Regulation (FAR). Includes approved and rejected waivers filed by fiscal year.

**Disposition:**

TEMPORARY. Cut off when the waiver or deviation expires. Destroy or delete 10 years from cutoff.

**7 Reporting to EPLS**

Input for all DHS Components to the Excluded Parties List System (EPLS); addition to the list results in the debarment or suspension from contracting with DHS. Information used to update the system includes input information and any documents relating to investigations of Contractors resulting in inclusion to the debarment and suspension list.

**Disposition:**

a. Office with responsibility for coordinating internal control functions.

TEMPORARY. Cut off when no further corrective action is necessary. Destroy 5 years after cutoff.

b. Copies maintained by other offices as internal reviews.

TEMPORARY. Cut off when no further corrective action is necessary. Destroy 1 year after cutoff.

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** 6/3/2008 10:01:51 AM  
**Subject:** RE: FW: NARA Questions on CPO Schedule Items

Brian,

I have a meeting with Kathy this afternoon and will discuss this with her. I will get back to you tmrw with how we want to proceed.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Tuesday, May 27, 2008 2:28 PM  
To: Tammy <CTR> Hudson  
Cc: Kathy Schultz; Julie Hunsaker  
Subject: RE: FW: NARA Questions on CPO Schedule Items

Per our telephone discussion this afternoon, we will leave this item on the schedule and you agree to change the disposition to Permanent (with corresponding language) and send me an updated copy. Also do you agree item 2 is GRS 14/31?

Do you have any thoughts on the applicability of GRS 14, items 31-35 to items 1 and 4 on your proposed schedule?

Please confirm.

thanks,

brian

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/27/2008 6:58 AM >>>

My only concern with dropping this is that we then have part of the Classification guidance records scheduled and one item unscheduled until NARA decides on and publishes the GRS item. If they don't develop the GRS, we'll have to submit the item at that point.

Since you think the record has permanent value, why don't we change the disposition to Permanent. If and when NARA comes out with a GRS, we can make any modifications from there. I would assume that we are not the only agency with this item, so others will have to do the same thing.

Comments?

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Friday, May 23, 2008 8:35 AM  
To: Tammy <CTR> Hudson  
Cc: Julie Hunsaker  
Subject: RE: FW: NARA Questions on CPO Schedule Items

Good morning Tammy,

Julie Hunsaker and I met (internally) on 5/23/2008, with several "Classification Management Guide" subject experts and made a decision to drop Item #3 "Security Classification Guide" from your Department of Homeland Security (DHS) proposed schedule N1-563-08-10.

We are in the process of proposing this item as a GRS permanent item across the federal government. That is, all Classification Security Management Guides will (if approved by NARA) be permanent.

Request your concurrence (or not).

thanks,

brian

BRIAN T. WOODALL, Archives Specialist  
Life Cycle Management Division  
National Archives and Records Administration  
8601 Adelphi Road  
College Park, MD 20740-6001  
V: 301.837.1574. F: 301.837.3698  
E-mail: brian.woodall@nara.gov

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/29/2008 8:15 AM >>>  
Brian,

The Classification Management person is out of the office until 5/1.  
I'll get back to you after I speak with him.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** 6/3/2008 2:02:39 PM  
**Subject:** RE: FW: NARA Questions on CPO Schedule Items

Brian - need to go back to the program office on this. Probably won't have an answer now until the end of the week.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Tuesday, June 03, 2008 10:16 AM  
To: Tammy <CTR> Hudson  
Cc: Julie Hunsaker  
Subject: RE: FW: NARA Questions on CPO Schedule Items

O.K thanks Tammy re: N1-563-08-10, Classification Management Records.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/3/2008  
10:01 AM >>>  
Brian,

I have a meeting with Kathy this afternoon and will discuss this with her. I will get back to you tmrw with how we want to proceed.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

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Comments?

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brian

BRIAN T. WOODALL, Archives Specialist  
Life Cycle Management Division  
National Archives and Records Administration  
8601 Adelphi Road  
College Park, MD 20740-6001  
V: 301.837.1574. F: 301.837.3698  
E-mail: brian.woodall@nara.gov

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/29/2008

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Brian,

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-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Tuesday, April 29, 2008 7:24 AM  
To: Tammy <CTR> Hudson  
Subject: Re: FW: NARA Questions on CPO Schedule Items

CC: "Julie Hunsaker" <Julie.Hunsaker@nara.gov>

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** 6/4/2008 10:36:41 AM  
**Subject:** RE: N1-563-08-8, Office of the Chief Procurement Officer

Brian,

They are going to contact OGC for determination on which is the record copy. Will let you know as soon as they get back to me.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Tuesday, May 27, 2008 2:20 PM  
To: Tammy <CTR> Hudson; Julie Hunsaker  
Cc: Kathy Schultz  
Subject: RE: N1-563-08-8, Office of the Chief Procurement Officer

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>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/27/2008 7:00 AM >>>

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To: Julie Hunsaker  
Cc: Tammy <CTR> Hudson  
Subject: Re: N1-563-08-8, Office of the Chief Procurement Officer

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>>> Julie Hunsaker 5/23/2008 11:58 AM >>>

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**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** 6/6/2008 9:53:26 AM  
**Subject:** Classification Management

Brian,

I spoke to the program office and had them do a comparison between the GRS and the schedule we submitted. They do not feel that the information in the GRS is the same as the schedule information. Also, the person we worked with to develop this schedule (who has since retired) had 20+ years with classification management - they want to continue with her recommendations.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

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-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Friday, May 23, 2008 8:35 AM  
To: Tammy <CTR> Hudson  
Cc: Julie Hunsaker  
Subject: RE: FW: NARA Questions on CPO Schedule Items

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BRIAN T. WOODALL, Archives Specialist  
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>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/29/2008  
8:15 AM >>>  
Brian,

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-tlh

Tammy Hudson  
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From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
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**CC:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>, "Schultz, Kathy"  
<Kathy.Schultz@DHS.GOV>

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

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**Department of Homeland Security**

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On April 17, 1995 Executive Order 12958 was issued, it prescribes a uniform system for classifying, safeguarding, and declassifying national security information. On September 22, 2003 the National Archives and Records Administration (NARA) issued directive 32 CFR Parts 2001 and 2004, it provides guidance in meeting the conditions of the Executive Order.

To comply with the requirements of Executive Order 12958 (E.O. 12958), protect sensitive information and meet the standards established by NARA, the Department of Homeland Security (DHS) develops and implements policies for the variety of systems/information under its care.

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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    Declassification Plan**

As part of the process in closing an office or program, a plan may be developed to review all records held by the office. The plan provides guidance in determining which records, if any, require continued classification or declassification.

The plan can include, but is not limited to, descriptions of affected materials, instructions in how/what information should be reviewed, personnel and their assigned duties, timelines, and status reports.

**Disposition:**

TEMPORARY. Cutoff upon completion of the review.  
Destroy or delete 3 years after cutoff or when no longer needed for business purposes, whichever is longer.

**2    Declassification Requests**

In response to a request under the Freedom of Information Act, the Privacy Act of 1974, or the mandatory review provisions of E.O. 12958, DHS may perform reviews of classified materials to determine if continued protection is warranted.

Files created in response to these requests may include the original request, a copy of the reply, and all related supporting files, including the official file copy of requested records or a copy. Declassification requests are received electronically or hard copy and are maintained in the original format

**Disposition:**

TEMPORARY. Cutoff upon completion of the review.  
Destroy or delete 5 years after cutoff or when no longer needed for business purposes, whichever is longer.

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

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**3 Security Classification Guide**

The classification guide is issued by an official authorized, in writing, either by the President, by agency heads, or other officials delegated by the President, to make an initial determination to classify information.

Each guide is approved personally, and in writing, by an official who has program or supervisory responsibility over the information and been delegated Original Classification Authority (OCA) at the highest level of classification cited in the guide, or by the DHS Senior Agency Official.

The guide identifies the elements of information regarding a specific subject that must be classified and establishes the level and duration of classification for each element. A guide is prepared for each system, plan, program, or project involving the classification of information and prepared consistent with the DHS format for classification guides.

Classification guides may be created to support a computer system, program, or office.

The following items are included in the guide:

- Scope
- Applicability
- Policy
- Classification Authority
- Topics of information and a corresponding classification level
- Duration of classification for each topic
- Justification

One copy of each guide should be designated the record copy.

[NOTE: A classification guide cannot classify information beyond 25 years unless such information has been specifically approved for exemption from declassification pursuant to E.O. 12958.

**Disposition:**

PERMANENT. Cut off upon termination of the system, program, or office for which the guide was established, or when superseded. Offer to NARA 5 years after cutoff.

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

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If materials affected by a classification guide are exempted from the 25 year automatic declassification provisions of the Order, the guide shall be retained for the duration of the exemption.]

**4 Systematic Declassification Review**

Each agency that has originated classified information under E.O. 12958 or its predecessors is required to establish and conduct a program of systematic declassification review. Within DHS, five years after classification has been applied, affected records are eligible for declassification. A review is then performed to determine if declassification is appropriate.

Records are reviewed in accordance within the standards of E.O. 12958, its implementing directives, and the declassification guides provided by the originating agency.

Products of these reviews may include reports on affected records, notifications of classification removal or continued classification, and related supporting materials.

**Disposition:**

TEMPORARY. Cutoff upon completion of the review.  
Destroy or delete 3 years after cutoff or when no longer needed for business purposes, whichever is longer.

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** 6/9/2008 10:27:10 AM  
**Subject:** CPO - HSAM & HSAR

See below...

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Strouss, Kathy  
Sent: Monday, June 09, 2008 9:23 AM  
To: Hudson, Tammy <CTR>  
Subject: FW: One last question

Tammy -

Please see below. The hard copy is the official record.

Kathy Strouss

202-447-5273

---

From: Gemunder, Megan  
Sent: Friday, June 06, 2008 3:45 PM  
To: Russell, Michael; Strouss, Kathy  
Cc: Terry, Anne  
Subject: RE: One last question

Good afternoon, Kathy.

I agree with your answer. At this point since we do not have an electronic recordkeeping system, the hard copy would be the official



record.

Best,

Megan

Megan Gemunder

Attorney-Advisor

Office of the General Counsel

Department of Homeland Security

Washington, D.C. 20528

Telephone: (202) 447-3710

Cell Phone: (202) 631-2821

This communication, along with any attachments, is covered by federal and state law governing electronic communications and may contain confidential and legally privileged information. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution, use or copying of this message is strictly prohibited. If you received this message in error, please reply immediately to the sender and delete this message. Thank you.

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Tue, Feb 12, 2008 2:13 PM  
**Subject:** RE: N1-563-07-17 (Public Affairs)

1. Updated schedule
2. Barry.Bahler@dhs.gov
3. Let me send the multimedia person a "heads up" message and then I'll send you the info.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Monday, February 11, 2008 3:33 PM  
To: Hudson, Tammy  
Subject: N1-563-07-17 (Public Affairs)

Tammy,

Just as a follow up to the site visits:

1. Please send the name and phone number for the contact for the Multimedia Project files
2. The following items will be struck from the schedule: 4 (Joint Special Assessments), 5 (Management Reports), 7 (Newsletter), 12 (Public Affairs Guidance), 14 (Sound and Video Recordings), 15a (Speeches-Record Copy)
3. Remove "and slides" from item 8 (Photographs and Slides), as there are no slides
4. I am going to send the digital images technical questionnaire to Barry Bahler. Could you please send me his e-mail address?

Thanks,  
Andrea

**From:** Andrea Loiselle  
**To:** Tammy.Hudson@associates.dhs.gov  
**Date:** Tue, Mar 11, 2008 3:50 PM  
**Subject:** N1-563-07-17 (Public Affairs)

Tammy,

A few issues/proposed revisions for this schedule:

Item 3, Fact Sheets: This is covered by N1-563-08-3, item 3, and should be removed.

Item 6, Press Conference Records, Audio Recordings: We request that the disposition be changed to Permanent. The cutoff instructions should be changed and transfer instructions added.

Item 8, Press Conference Records: The description refers to audio recordings being covered by "section C of this item," which is no longer correct. Also, because many of these records are maintained in electronic format, I'm concerned about the 20 year retention. Moreover, our electronic records unit will not go along with that retention since the item is media neutral. The usual solution is to add a separate instruction for electronic, but it doesn't make sense with these records, given that they are electronic but we can't currently accept them in electronic format. Would it possible to shorten the retention period to something like 5 years (i.e. Transfer in 5 year blocks, 5 years after the latest cutoff)?

Just a general question mostly for my own knowledge: job no. N1-563-08-3 (Records Common to All), item 8 refers to presentations not maintained by the Office of Public Affairs. Where do presentations maintained by OPA fall? Under Press Conference Records (item 8)?

Finally, I sent a technical questionnaire for digital images to Barry Bahler almost a month ago. Would it be possible for you to check up on the status of that request. I've attached a copy of the questionnaire in case he needs another.

Please let me know if you have any questions.

Thanks,  
Andrea

**From:** Andrea Loiselle  
**To:** Tammy.Hudson@associates.dhs.gov  
**Date:** 4/10/2008 11:17:37 AM  
**Subject:** Public Affairs Schedule

Tammy,

I was just going over the Office of Public Affairs schedule again, and wanted to suggest that since we are asking that the Press Conference audio recordings be permanent, that item could be merged with Press Conference Records, which are also permanent. Because the Press Conference Records likely contain electronic records (and would contain e-records if you add the audio records), the disposition instructions either need be changed so that either the retention is shorter, or there is a separate, shorter retention period for electronic records.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Mon, Apr 14, 2008 7:49 AM  
**Subject:** RE: Public Affairs Schedule

I will follow with Barry today. In the meantime, here's the modified schedule.

Sorry for the delay!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Thursday, April 10, 2008 11:18 AM  
To: Hudson, Tammy  
Subject: Public Affairs Schedule

Tammy,

I was just going over the Office of Public Affairs schedule again, and wanted to suggest that since we are asking that the Press Conference audio recordings be permanent, that item could be merged with Press Conference Records, which are also permanent. Because the Press Conference Records likely contain electronic records (and would contain e-records if you add the audio records), the disposition instructions either need be changed so that either the retention is shorter, or there is a separate, shorter retention period for electronic records.

Thanks,  
Andrea

**From:** Andrea Loisel  
**To:** Tammy.Hudson@associates.dhs.gov  
**Date:** 4/30/2008 9:19:19 AM  
**Subject:** Public Affairs Schedule

Tammy,

One final issue with this schedule: Item 8, Speeches. The disposition is exactly the same as the Speeches item on the Records Common to All schedule (N1-563-08-3), so the question is: why is it here if the disposition is no different? The Records Common to All schedule states that it does not include speeches maintained by the Office of Public Affairs, but if the disposition is the same, there's no reason to have multiple authorities. Unless the OPA disposition is incorrect, can we remove this item and use the Records Common to All schedule for Speeches, taking out the exclusion of OPA maintained speeches from that schedule?

Please send the revised schedules, unless there is a reason why the OPA Speeches need to be separate.

Thanks,  
Andrea

**CC:** Hunsaker, Julie

**From:** Andrea Loïselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 4/30/2008 9:48:55 AM  
**Subject:** RE: Public Affairs Schedule

Great!

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/30/2008 9:45 AM >>>  
Done - speeches removed from OPA and the OPA comments was previously  
removed from Records Common.

Let me know if there's anything else.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loïselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Wednesday, April 30, 2008 9:19 AM  
To: Hudson, Tammy  
Cc: Julie Hunsaker  
Subject: Public Affairs Schedule

Tammy,

One final issue with this schedul: Item 8, Speeches. The disposition is exactly the same as the Speeches item on the Records Common to All schedule (N1-563-08-3), so the quesiton is: why is it here if the disposition is no different? The Records Common to All schedule states that it does not include speeches maintained by the Office of Public Affairs, but if the disposition is the same, there's no reason to have multiple authorities. Unless the OPA disposition is incorrect, can we remove this item and use the Records Common to All schedule for Speeches, taking out the exclusion of OPA maintained speeches from that schedule?

Please send the revised schedules, unless there is a reason why the OPA Speeches need to be separate.

Thanks,  
Andrea

**CC:** Hunsaker, Julie

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 4/30/2008 9:50:36 AM  
**Subject:** RE: Public Affairs Schedule

There's a minor discrepancy between this version and the previous one on item 4, Photographs. Subitems a and b should not include slides, as there are none.

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/30/2008 9:45 AM >>>  
Done - speeches removed from OPA and the OPA comments was previously removed from Records Common.

Let me know if there's anything else.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loiselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Wednesday, April 30, 2008 9:19 AM  
To: Hudson, Tammy  
Cc: Julie Hunsaker  
Subject: Public Affairs Schedule

Tammy,

One final issue with this schedul: Item 8, Speeches. The disposition is exactly the same as the Speeches item on the Records Common to All schedule (N1-563-08-3), so the quesiton is: why is it here if the disposition is no different? The Records Common to All schedule states that it does not include speeches maintained by the Office of Public Affairs, but if the disposition is the same, there's no reason to have multiple authorities. Unless the OPA disposition is incorrect, can we remove this item and use the Records Common to All schedule for Speeches, taking out the exclusion of OPA maintained speeches from that schedule?

Please send the revised schedules, unless there is a reason why the OPA Speeches need to be separate.

Thanks,  
Andrea



**From:** Andrea Loïselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 4/30/2008 10:07:13 AM  
**Subject:** RE: Public Affairs Schedule

Thanks!

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/30/2008 9:57 AM >>>  
Sorry - update attached

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loïselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Wednesday, April 30, 2008 9:51 AM  
To: Tammy <CTR> Hudson  
Subject: RE: Public Affairs Schedule

There's a minor discrepancy between this version and the previous one on item 4, Photographs. Subitems a and b should not include slides, as there are none.

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/30/2008 9:45 AM >>>  
Done - speeches removed from OPA and the OPA comments was previously removed from Records Common.

Let me know if there's anything else.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loïselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Wednesday, April 30, 2008 9:19 AM  
To: Hudson, Tammy  
Cc: Julie Hunsaker  
Subject: Public Affairs Schedule

Tammy,

One final issue with this schedule: Item 8, Speeches. The disposition is exactly the same as the Speeches item on the Records Common to All schedule (N1-563-08-3), so the question is: why is it here if the disposition is no different? The Records Common to All schedule states that it does not include speeches maintained by the Office of Public

Affairs, but if the disposition is the same, there's no reason to have multiple authorities. Unless the OPA disposition is incorrect, can we remove this item and use the Records Common to All schedule for Speeches, taking out the exclusion of OPA maintained speeches from that schedule?

Please send the revised schedules, unless there is a reason why the OPA Speeches need to be separate.

Thanks,  
Andrea

**From:** Andrea Loïselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 6/3/2008 12:19:16 PM  
**Subject:** RE: Public Affairs schedule (N1-563-07-17)

Great! Thanks!

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/3/2008 8:55 AM >>>  
Andrea,

No problem with the change in description - I will need to run the disposition change thru Kathy. I have a meeting with her this afternoon, so if all is okay - I'll have the modified schedule to you tomorrow.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loïselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Tuesday, June 03, 2008 8:31 AM  
To: Hudson, Tammy  
Subject: Public Affairs schedule (N1-563-07-17)

Tammy,

One of our custodial units has requested a change to the Office of Public Affairs schedule that we feel is reasonable. It affects item 4, Photographs, both the description and the retention instructions for the permanent records:

#### 4. Photographs

Mission-related photographs consisting of images, largely born-digital, and documenting press conferences, speeches, testimony, meetings, tours, swearing-in ceremonies, portrait sittings (excluding passport photos), and other historically significant activities involving the Secretary and other high-level officials, along with DHS-supported facilities, technologies, and programs. Also covered are any related finding aids and documentation necessary for the proper identification, retrieval, and use of the images.

Routine photographs consist of images relating to employee award ceremonies; staff retirement or promotion ceremonies; social events; workshops, campaigns, and celebrations common to most federal agencies; passport and portrait sittings involving low-level DHS personnel. Routine category also encompasses any mission-related images lacking adequate captioning, having technical or aesthetic deficiencies, or providing coverage in excess of what is required for adequate and proper documentation.

Disposition: a) Mission-related photographs.

Permanent. Cut off records annually. Transfer to NARA in 3 year blocks at the end of the last year of the block (e.g. 2006-2008 block transferred to NARA at the end of 2008), along with any related documentation and external finding aids in electronic form.

b. Routine photographs

Temporary. Cut off at the end of the calendar year. Destroy or delete 1 year after the cutoff.

They requested more specific identification of what is and isn't a permanent photograph, as well as a shorter retention period since the records are primarily digital. If you agree to these changes, please send me a revised version of the schedule.

Let me know if you have any questions.

Thanks,  
Andrea

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 6/3/2008 2:02:42 PM  
**Subject:** RE: Public Affairs schedule (N1-563-07-17)

Okay. Thanks!

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/3/2008 2:01 PM >>>  
Got the okay from Kathy - will have the modified copy to you in the am.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loiselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Tuesday, June 03, 2008 12:19 PM  
To: Tammy <CTR> Hudson  
Subject: RE: Public Affairs schedule (N1-563-07-17)

Great! Thanks!

>>> "Hudson, Tammy <CTR>" <[Tammy.Hudson@associates.dhs.gov](mailto:Tammy.Hudson@associates.dhs.gov)> 6/3/2008  
8:55 AM >>>  
Andrea,

No problem with the change in description - I will need to run the  
disposition change thru Kathy. I have a meeting with her this  
afternoon, so if all is okay - I'll have the modified schedule to you  
tomorrow.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loiselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Tuesday, June 03, 2008 8:31 AM  
To: Hudson, Tammy  
Subject: Public Affairs schedule (N1-563-07-17)

Tammy,

One of our custodial units has requested a change to the Office of Public Affairs schedule that we feel is reasonable. It affects item 4, Photographs, both the description and the retention instructions for the permanent records:

#### 4. Photographs

Mission-related photographs consisting of images, largely born-digital, and documenting press conferences, speeches, testimony, meetings, tours, swearing-in ceremonies, portrait sittings (excluding passport photos), and other historically significant activities involving the Secretary and other high-level officials, along with DHS-supported facilities, technologies, and programs. Also covered are any related finding aids and documentation necessary for the proper identification, retrieval, and use of the images.

Routine photographs consist of images relating to employee award ceremonies; staff retirement or promotion ceremonies; social events; workshops, campaigns, and celebrations common to most federal agencies; passport and portrait sittings involving low-level DHS personnel. Routine category also encompasses any mission-related images lacking adequate captioning, having technical or aesthetic deficiencies, or providing coverage in excess of what is required for adequate and proper documentation.

Disposition: a) Mission-related photographs.

Permanent. Cut off records annually. Transfer to NARA in 3 year blocks at the end of the last year of the block (e.g. 2006-2008 block transferred to NARA at the end of 2008), along with any related documentation and external finding aids in electronic form.

b. Routine photographs

Temporary. Cut off at the end of the calendar year. Destroy or delete 1 year after the cutoff.

They requested more specific identification of what is and isn't a permanent photograph, as well as a shorter retention period since the records are primarily digital. If you agree to these changes, please send me a revised version of the schedule.

Let me know if you have any questions.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Wed, Jun 4, 2008 6:55 AM  
**Subject:** RE: Public Affairs schedule (N1-563-07-17)

Updated -

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Tuesday, June 03, 2008 8:31 AM  
To: Hudson, Tammy  
Subject: Public Affairs schedule (N1-563-07-17)

Tammy,

One of our custodial units has requested a change to the Office of Public Affairs schedule that we feel is reasonable. It affects item 4, Photographs, both the description and the retention instructions for the permanent records:

#### 4. Photographs

Mission-related photographs consisting of images, largely born-digital, and documenting press conferences, speeches, testimony, meetings, tours, swearing-in ceremonies, portrait sittings (excluding passport photos), and other historically significant activities involving the Secretary and other high-level officials, along with DHS-supported facilities, technologies, and programs. Also covered are any related finding aids and documentation necessary for the proper identification, retrieval, and use of the images.

Routine photographs consist of images relating to employee award ceremonies; staff retirement or promotion ceremonies; social events; workshops, campaigns, and celebrations common to most federal agencies; passport and portrait sittings involving low-level DHS personnel. Routine category also encompasses any mission-related images lacking adequate captioning, having technical or aesthetic deficiencies, or providing coverage in excess of what is required for adequate and proper documentation.

Disposition: a) Mission-related photographs.

Permanent. Cut off records annually. Transfer to NARA in 3 year blocks at the end of the last year of the block (e.g. 2006-2008 block transferred to NARA at the end of 2008), along with any related documentation and external finding aids in electronic form.

b. Routine photographs

Temporary. Cut off at the end of the calendar year. Destroy or delete 1 year after the cutoff.

They requested more specific identification of what is and isn't a permanent photograph, as well as a shorter retention period since the

records are primarily digital. If you agree to these changes, please send me a revised version of the schedule.

Let me know if you have any questions.

Thanks,  
Andrea



**From:** Andrea Loïselle  
**To:** Tammy.Hudson@associates.dhs.gov  
**Date:** 7/2/2008 9:12:30 AM  
**Subject:** N1-563-07-17 (Public Affairs)

Tammy,

One last-minute change request before we send this schedule forward for signature. Would you please change the cutoff instructions for the following items so that they contain both a time and event. For example, item 1a says "Cutoff when superseded or obsolete." This is an event, but there is not time period associated. So, we would like it changed to something like "Cutoff at the end of the fiscal year when superseded or obsolete. This needs to be done for items 1a, 1b, 2, 3a, and 4b (needs the event, i.e. "in which created").

Please let me know if you have any questions.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Tue, Jul 8, 2008 10:49 AM  
**Subject:** RE: N1-563-07-17 (Public Affairs)

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, July 02, 2008 9:13 AM  
To: Hudson, Tammy  
Subject: N1-563-07-17 (Public Affairs)

Tammy,

One last-minute change request before we send this schedule forward for signature. Would you please change the cutoff instructions for the following items so that they contain both a time and event. For example, item 1a says "Cutoff when superseded or obsolete." This is an event, but there is not time period associated. So, we would like it changed to something like "Cutoff at the end of the fiscal year when superseded or obsolete. This needs to be done for items 1a, 1b, 2, 3a, and 4b (needs the event, i.e. "in which created").

Please let me know if you have any questions.

Thanks,  
Andrea

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 7/8/2008 11:23:42 AM  
**Subject:** RE: N1-563-07-17 (Public Affairs)

Okay. Thanks.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 7/8/2008 11:15 AM >>>  
Nope - just hit the button more than once :)

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loiselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Tuesday, July 08, 2008 11:05 AM  
To: Tammy <CTR> Hudson  
Subject: RE: N1-563-07-17 (Public Affairs)

Tammy,

Thanks! You sent this twice. Is there any difference between the two?

Andrea

>>> "Hudson, Tammy <CTR>" <[Tammy.Hudson@associates.dhs.gov](mailto:Tammy.Hudson@associates.dhs.gov)> 7/8/2008 10:43 AM >>>

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loiselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Wednesday, July 02, 2008 9:13 AM  
To: Hudson, Tammy  
Subject: N1-563-07-17 (Public Affairs)

Tammy,

One last-minute change request before we send this schedule forward for signature. Would you please change the cutoff instructions for the following items so that they contain both a time and event. For example, item 1a says "Cutoff when superseded or obsolete." This is an event, but there is not time period associated. So, we would like it changed to something like "Cutoff at the end of the fiscal year when superseded or obsolete. This needs to be done for items 1a, 1b, 2,

3a,  
and 4b (needs the event, i.e. "in which created").

Please let me know if you have any questions.

Thanks,  
Andrea

**Julie Hunsaker - RE: N1-563-08-2**

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 3/5/2008 8:57 AM  
**Subject:** RE: N1-563-08-2

Thank you! I'll move ahead with this.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/5/2008 8:21 AM >>>

Here's the updated schedule.

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, March 04, 2008 9:32 AM  
**To:** Tammy <CTR> Hudson  
**Subject:** RE: N1-563-08-2

Yes, I think this works well. Thanks, Tammy!

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/4/2008 7:00 AM >>>  
Does this work better?

Destroy upon notification of death or 70 years after separation or contract relationship expires,  
whichever is applicable.

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, March 03, 2008 2:46 PM  
**To:** Tammy <CTR> Hudson  
**Subject:** RE: N1-563-08-2

Thank you, Tammy! This memo is very helpful.

I do have a couple questions regarding the new retention period for the NdAs signed by contractors:

1) I see there are three conditional options for disposal - which is fine - however the last two seem to set a maximum time but no minimum time (destroy **not later than** 70 years after). Strictly interpreted, what this says is if DHS doesn't receive notification of someone's death, the NdA's could be destroyed, for example, 10 years after contract relationship expires. Is this what DHS intends?

If DHS intend that these records will be destroyed exactly 70 years "after," I recommend changing the language so the disposition instruction reads, "Destroy upon notification of death or 70 years after separation . . . ." (This just deletes the "not/no later than" phrase.)

If, however, DHS really does want to set up a maximum time of 70 years and a minimum time of something else, please specify what the minimum time is. Also, please provide an explanation of why this approach is being taken.

2) Items 1b, 2b and 3b only apply to NdAs signed by contractors. (And Items 1a, 2a and 3a apply to employees.) Why then do the disposition instructions for Items 1b, 2b, and 3b include as an instruction to destroy 70 years after "separation or transfer of **employee**"?

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/3/2008 1:11 PM >>>  
Julie,

Attached is the memo about 11042 (hope this helps.)

Also, I talked to our OGC and initially they wanted these permanent, but I suggested we go along with the 70 yr retention the GRS uses for classified info (GRS 18, Item 25). I modified the schedule (attached).

Let me know if you need anything else.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Ivan King" <Ivan.King@nara.gov>  
**Date:** 5/15/2007 11:16:19 AM  
**Subject:** RE: Office of Public Affairs - N1-563-07-3

Ivan,

Attached is the final copy of the History Office schedule. I accepted the change to the disposition for item 2a, added the "media neutral" statement and also deleted item 3b - it was listed as Administrative Records, which is a GRS item.

Thanks for all your help!

Tammy

-----Original Message-----

From: Ivan King [mailto:Ivan.King@nara.gov]  
Sent: Wednesday, May 09, 2007 12:28 PM  
To: Hudson, Tammy  
Subject: Office of Public Affairs - N1-563-07-3

Hi, Tammy.

Thank you, for the revised copy of the Management Directorate schedule (N1-563-07-4). However, adjustments also need to be made to the Office of Public Affairs schedule - N1-563-07-3. Because, although, the agency agreed to change the disposition language for item 2a (Oral History Audio or Video Recordings, Transcripts, Access Agreements, Deeds of Gifts, and Restrictions), to read as follows:

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

I realized that, I didn't receive a revised schedule from the agency reflecting those changes. But, I made the necessary changes to the schedule, on the attached document. And, with your approval and the addition of the 'media neutral' language, we can move forward.

Please let me know, if you have any questions.

Thank you,

Ivan

Ivan King  
Archives Specialist, NWML  
Life Cycle Management Division  
8601 Adelphi Road  
College Park, MD 20740  
(301) 837-3030  
(301) 837-3697

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Ivan King" <Ivan.King@nara.gov>  
**Date:** 6/7/2007 10:08:51 AM  
**Subject:** RE: Office of Public Affairs - N1-563-07-3

This is okay.

Tammy

-----Original Message-----

From: Ivan King [mailto:Ivan.King@nara.gov]  
Sent: Wednesday, May 23, 2007 6:02 PM  
To: Tammy <CTR> Hudson  
Cc: Elizabeth Borja; Kathy Schultz  
Subject: RE: Office of Public Affairs - N1-563-07-3

Hi, Tammy.

Upon closer review of the schedule, I identified a small issue with the transfer language used in the dispositions of items 1a and item 3.

The current transfer instructions read as follows:

When oldest file is 30 years old, transfer to NARA.

However, I changed the language on the schedule, for these two (2) items, to make the transfer instructions fluid and activity date driven.

The instructions now read as follows:

Transfer to NARA 30 years after cutoff.

Attached is a copy of the schedule, reflecting these changes.  
With the agency's approval of these changes, I can move forward with the appraisal process.

Thank you,

Ivan

Ivan King  
Archives Specialist, NWML  
Life Cycle Management Division  
8601 Adelphi Road  
College Park, MD 20740  
(301) 837-3030  
(301) 837-3697

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/10/2007  
9:10 AM >>>  
Ivan,

Attached is the final copy of the History Office schedule. I accepted the change to the disposition for item 2a, added the "media neutral" statement and also deleted item 3b - it was listed as Administrative



Records, which is a GRS item.

Thanks for all your help!

Tammy

-----Original Message-----

From: Ivan King [mailto:Ivan.King@nara.gov]

Sent: Wednesday, May 09, 2007 12:28 PM

To: Hudson, Tammy

Subject: Office of Public Affairs - N1-563-07-3

Hi, Tammy.

Thank you, for the revised copy of the Management Directorate schedule (N1-563-07-4). However, adjustments also need to be made to the Office of Public Affairs schedule - N1-563-07-3. Because, although, the agency agreed to change the disposition language for item 2a (Oral History Audio or Video Recordings, Transcripts, Access Agreements, Deeds of Gifts, and Restrictions), to read as follows:

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

I realized that, I didn't receive a revised schedule from the agency reflecting those changes. But, I made the necessary changes to the schedule, on the attached document. And, with your approval and the addition of the 'media neutral' language, we can move forward.

Please let me know, if you have any questions.

Thank you,

Ivan

Ivan King  
Archives Specialist, NWML  
Life Cycle Management Division  
8601 Adelphi Road  
College Park, MD 20740  
(301) 837-3030  
(301) 837-3697

CC: "Elizabeth Borja" <Elizabeth.Borja@dhs.gov>, "Kathy Schultz" <Kathy.Schultz@DHS.GOV>

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Ivan King" <Ivan.King@nara.gov>  
**Date:** 10/1/2007 1:14:47 PM  
**Subject:** FW: Directives and History Office

Ivan,

Attached are the revised schedules. Kathy has approved the modifications.

One other change on Directives / Delegations - the retention on-site for the paper copies has been modified from 10 years to 5 years.

Let me know if you need anything else.

Tammy

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Schultz, Kathy [mailto:Kathy.Schultz@DHS.GOV]  
Sent: Monday, October 01, 2007 12:19 PM  
To: Hudson, Tammy <CTR>  
Subject: RE: Directives and History Office

Tammy,

Yes, this is good.

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

DHS Core Values: Integrity, Vigilance, and Respect

---

From: Hudson, Tammy <CTR> [mailto:Tammy.Hudson@associates.dhs.gov]  
Sent: Monday, October 01, 2007 11:42 AM  
To: Schultz, Kathy  
Subject: Directives and History Office

Kathy,

Attached are the revised versions of the above schedules that we discussed this morning. If these are okay, I'll forward them on to NARA.

The biggest changes are in the History Office schedule. We've added back in items N1-563-07-3-1a & N1-563-07-3-3 electronic records for transfer. The other change is item N1-563-07-3-2a, a cutoff and retention for the Deeds of Gifts items that DHS does not receive authorizations.

-tlh

Tammy Hudson

Contractor - DHS Records Management

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Ivan King" <Ivan.King@nara.gov>  
**Date:** 10/2/2007 2:12:44 PM  
**Subject:** RE: FW: Directives and History Office

Thanks for your help!

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Ivan King [mailto:Ivan.King@nara.gov]  
Sent: Tuesday, October 02, 2007 1:56 PM  
To: Tammy <CTR> Hudson  
Subject: Re: FW: Directives and History Office

Tammy,

Thanks, for getting these schedules moved forward. I have but one last request, then I can work on closing these jobs out,...hooray!

If you can resend the revised 115's to me in 'Word' format. For some reason, I'm only receiving the first page of the 115's.

Also, remove the job number (N1-563-07-3-1) from the disposition title line. You can place it beside the Records description line (e.g., History Office (N1-563-07-31), Management Directives (N1-563-07-4-1).

Please let me know, if you have any questions.

Thank you,

Ivan

Ivan King  
Archives Specialist, NWML  
National Archives and Records Administration  
Life Cycle Management Division  
8601 Adelphi Road  
College Park, MD 20740  
Office - (301) 837-3030  
Fax - (301) 837-3697  
Ivan.King@nara.gov

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 10/1/2007 1:11 PM >>>  
Ivan,

Attached are the revised schedules. Kathy has approved the modifications.

One other change on Directives / Delegations - the retention on-site for the paper copies has been modified from 10 years to 5 years.

Let me know if you need anything else.

Tammy

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Schultz, Kathy [mailto:Kathy.Schultz@DHS.GOV]  
Sent: Monday, October 01, 2007 12:19 PM  
To: Hudson, Tammy <CTR>  
Subject: RE: Directives and History Office

Tammy,

Yes, this is good.

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

DHS Core Values: Integrity, Vigilance, and Respect

---

From: Hudson, Tammy <CTR> [mailto:Tammy.Hudson@associates.dhs.gov]  
Sent: Monday, October 01, 2007 11:42 AM  
To: Schultz, Kathy  
Subject: Directives and History Office

Kathy,

Attached are the revised versions of the above schedules that we discussed this morning. If these are okay, I'll forward them on to NARA.

The biggest changes are in the History Office schedule. We've added back in items N1-563-07-3-1a & N1-563-07-3-3 electronic records for transfer. The other change is item N1-563-07-3-2a, a cutoff and retention for the Deeds of Gifts items that DHS does not receive authorizations.

-tlh

Tammy Hudson

Contractor - DHS Records Management

NAC2 - Room 2207E

(202) 282-8562

tammy.hudson@associates.dhs.gov

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Ivan King" <Ivan.King@nara.gov>  
**Date:** 10/31/2007 5:49:12 AM  
**Subject:** RE: DHS - History Office Schedule (N1-563-07-3)

Ivan,

Talked to Kathy and this is all set.

Thanks!

Tammy

Hi, Tammy.

I just wanted to follow-up with you, to see if the agency approves of the revisions made to the schedule, primarily those made to the 'Oral History' section.

Thanks,

Ivan

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 10/22/2007 1:25 PM >>>  
Ivan,

On item 2a(2), it's missing the disposition on the items

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.

2) Those without Deeds of Gifts

TEMPORARY. Cut off at end of the calendar year in which the recording is created. Destroy or delete 10 years from cutoff.

Let me know if you have any questions.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Ivan King [mailto:Ivan.King@nara.gov]  
Sent: Friday, October 19, 2007 2:23 PM  
To: Hudson, Tammy  
Subject: DHS - History Office Schedule (N1-563-07-3)

Hi, Tammy.

For your review and approval, attached is a revised copy of the Public Affairs - History Office schedule. Changes have been made to the titles and dispositions of the 'Oral History' items (i.e., 2a, 2b), in relationship to NARA guidance standards for Federal History programs.

I'll mail you a copy of the NARA 'History Office Program', so that you can have it for general and future reference.

Please let me know, if you have any questions.

Ivan

Ivan King  
Archives Specialist, NWML  
National Archives and Records Administration  
Life Cycle Management Division  
8601 Adelphi Road  
College Park, MD 20740  
Office - (301) 837-3030  
Fax - (301) 837-3697  
Ivan.King@nara.gov



## **Julie Hunsaker - RE: Question About N1-563-07-13 Schedule**

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 2/27/2008 11:57 AM  
**Subject:** RE: Question About N1-563-07-13 Schedule  
**CC:** Loiselle, Andrea

---

Thank you, Tammy!

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 2/27/2008 11:39 AM >>>

They would be part of the Secretary's daily briefing and would be included in the briefing books.

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Friday, February 22, 2008 2:39 PM  
**To:** Tammy <CTR> Hudson  
**Cc:** Andrea Loiselle  
**Subject:** Question About N1-563-07-13 Schedule

Hi, Tammy.

I've begun the internal NARA review phase of the I&A schedule (N1-563-07-16). One of our stakeholder units asked about the rationale behind the proposed temporary disposition of the I&A situation awareness reports. When I met with the I&A program staff, they mentioned that the most significant SIT reports are sent to the DHS Secretary and Undersecretary. Do you know whether these (and other office's) SIT reports would then be covered by the Exec Sec schedule (N1-563-07-13)? If so, which item would they fall under?

Thanks for your help!

Julie

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** 9/26/2007 12:57:45 PM  
**Subject:** RE: Job No. N1-563-07-015

We put them under GRS 20, item 05a

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, September 26, 2007 12:54 PM  
To: Tammy <CTR> Hudson  
Subject: RE: Job No. N1-563-07-015

Just in case I need to account for it, were the outputs GRS or non-record, and if GRS, which one?

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 9/26/2007 12:46 PM >>>  
You'll probably find the same for Repeat and Disruptive Callers Database (RDCR). Here's the updated for that...

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, September 26, 2007 12:40 PM  
To: Hudson, Tammy; Schultz, Kathy  
Subject: Job No. N1-563-07-014

Kathy and Tammy,

I'm trying to finish up the appraisals on a couple of the schedules for electronic systems that you recently sent. For the Operations Directorate COOP/Personnel Database, the inputs appear to fall under GRS 20, item 2a. Please let me know if you concur, and I will cross it out of the schedule.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** 9/27/2007 6:46:30 AM  
**Subject:** RE: Job No. N1-563-07-015

Yes....sorry!

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, September 26, 2007 3:07 PM  
To: Tammy <CTR> Hudson  
Subject: RE: Job No. N1-563-07-015

Do you mean item 5? Subitem "a" is an exclusion (see below).

5. Records Consisting of Extracted Information.

Electronic files consisting solely of records extracted from a single master file or data base that is disposable under GRS 20 or approved for deletion by a NARA-approved disposition schedule, EXCLUDING extracts that are:

- a) produced as disclosure-free files to allow public access to the data; or
- b) produced by an extraction process which changes the informational content of the source master file or data base; which may not be destroyed before securing NARA approval. For print and technical reformat files see items 6 and 7 of this schedule respectively.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

[NOTES: (1) Records consisting of extracted information that was created from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed may not be destroyed before securing NARA approval. (2) See item 12 of this schedule for other extracted data.]

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 9/26/2007 12:54 PM >>>  
We put them under GRS 20, item 05a

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, September 26, 2007 12:54 PM  
To: Tammy <CTR> Hudson  
Subject: RE: Job No. N1-563-07-015

Just in case I need to account for it, were the outputs GRS or non-record, and if GRS, which one?

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 9/26/2007 12:46 PM >>>

You'll probably find the same for Repeat and Disruptive Callers Database (RDCR). Here's the updated for that...

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, September 26, 2007 12:40 PM  
To: Hudson, Tammy; Schultz, Kathy  
Subject: Job No. N1-563-07-014

Kathy and Tammy,

I'm trying to finish up the appraisals on a couple of the schedules for electronic systems that you recently sent. For the Operations Directorate COOP/Personnel Database, the inputs appear to fall under GRS 20, item 2a. Please let me know if you concur, and I will cross it out of the schedule.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>, "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**Date:** 9/26/2007 12:47:03 PM  
**Subject:** RE: Job No. N1-563-07-014

Andrea,

You're right. My apologies, I have that in our system, but didn't include it in the final schedule (must have updated it later)

Here's the updated version.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, September 26, 2007 12:40 PM  
To: Hudson, Tammy; Schultz, Kathy  
Subject: Job No. N1-563-07-014

Kathy and Tammy,

I'm trying to finish up the appraisals on a couple of the schedules for electronic systems that you recently sent. For the Operations Directorate COOP/Personnel Database, the inputs appear to fall under GRS 20, item 2a. Please let me know if you concur, and I will cross it out of the schedule.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Ivan King" <Ivan.King@nara.gov>  
**Date:** 6/10/2008 6:54:27 AM  
**Subject:** RE: DHS - Civil Rights/Civil Liberties Case Files(N1-563-07-6)

Completed

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Ivan King [mailto:Ivan.King@nara.gov]  
Sent: Monday, June 09, 2008 2:16 PM  
To: Hudson, Tammy  
Cc: Schultz, Kathy; Julie Hunsaker  
Subject: Fwd: DHS - Civil Rights/Civil Liberties Case Files(N1-563-07-6)

Hi, Tammy.

I haven't received a response from you, with respect to the message below. If I don't receive a response by Wednesday, June 11th, we're going to move forward with the schedule.

Please let me know, if you have any questions.

Thank you,

Ivan

>>> Ivan King 5/22/2008 2:41 PM >>>  
Hi, Tammy.

An issue has been raised, regarding the nature of this sentence - "The disposition of significant case files will be determined by the National Archives and Records Administration (NARA)," which is the last sentence in the descriptions of both significant case file items on the schedule. Because this sentence is unclear and seems to imply that NARA would be involved with the screening of the records after disposition has been apply, it needs to be removed, before the schedule can be moved forward.

For your reference, attached is a copy of the SF 115, with in the in question sentence highlighted.

Please let me know, if you have any questions.

Thank you,

Ivan

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Ivan King" <Ivan.King@nara.gov>  
**Date:** 6/18/2008 8:11:30 AM  
**Subject:** RE: DHS - Functional Committees, Task Forces and Working Groups (N1-563-08-6 )

Ivan,

This looks fine to me

Thanks!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Ivan King [mailto:Ivan.King@nara.gov]  
Sent: Wednesday, June 11, 2008 2:31 PM  
To: Hudson, Tammy  
Cc: Schultz, Kathy  
Subject: DHS - Functional Committees, Task Forces and Working Groups  
(N1-563-08-6 )

Tammy,

Attached is a revised copy of the SF 115 for the above referenced schedule. With your review and approval, we can move the schedule forward. Please let me know, if you have any questions.

Thank you,

Ivan

Ivan King  
Archives Specialist, NWML  
National Archives and Records Administration  
Life Cycle Management Division  
8601 Adelphi Road  
College Park, MD 20740  
Office - (301) 837-3030  
Fax - (301) 837-3697  
Ivan.King@nara.gov

**CC:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Ivan King" <Ivan.King@nara.gov>  
**Date:** 7/2/2008 6:57:19 AM  
**Subject:** RE: Training Records (N1-563-08-11)

Okay, I'm working on the electronic versions.

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
 tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Ivan King [mailto:Ivan.King@nara.gov]  
 Sent: Tuesday, July 01, 2008 4:10 PM  
 To: Tammy <CTR> Hudson  
 Subject: RE: Training Records (N1-563-08-11)

Tammy,

If you can get the information to me electronically, that would be great. Otherwise, I'll just have to make the trip.

Thanks,

Ivan

Ivan King  
 Archives Specialist, NWML  
 National Archives and Records Administration  
 Life Cycle Management Division  
 8601 Adelphi Road  
 College Park, MD 20740  
 Office - (301) 837-3030  
 Fax - (301) 837-3697  
 Ivan.King@nara.gov

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/19/2008 12:41 PM >>>

Latest update - I&A has not completed their training program, so that will not be available for a review.

I can set you up with Security (located at 7th & D) and the NPPD programs. Maybe I can get the info from these programs electronically and save you a trip.

I'll let you know

-tlh

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
 tammy.hudson@associates.dhs.gov



-----Original Message-----

From: Hudson, Tammy <CTR>

Sent: Tuesday, May 27, 2008 7:12 AM

To: 'Ivan King'

Subject: RE: Training Records (N1-563-08-11)

Ivan,

DNDO does not have a training program. I've contacted the one program in I&A that was developing a mission related program, but I don't know if it's been completed.

I'll contact the Office of Security - they conduct "Security Tuesday" which is the security briefing that DHS HQ and TSA employees must complete before they can be issued a badge.

The other thing to remember is that DHS is not located in one building.

The request below would have been located in 3 different locations (NAC, 15th St and Arlington). Let me see if I can get something more centralized.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Ivan King [mailto:Ivan.King@nara.gov]

Sent: Thursday, May 22, 2008 11:31 AM

To: Tammy <CTR> Hudson

Subject: RE: Training Records (N1-563-08-11)

Hi, Tammy.

This sounds like a very good plan, but we'd also like to see some examples of these records from other program offices. In addition to seeing examples from the Office of Infrastructure Protection, we'd like to see the training records from at least two (2) programs within the offices of Intelligence & Analysis and the Domestic Nuclear Detection Office.

If you can arrange to have a couple examples of these records pulled from each of the above offices and placed in a room so that we can look at them, that would be great. As an initial part of the appraisal process, reviewing these records will provide us with a better understanding of their content and may eliminate the need for us to talk to people within the respective offices.

Thank you,

Ivan

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/20/2008  
8:50 AM >>>

Ivan,

I'm working on the revision of this schedule today. What I'd like to do if it's workable with NARA is to hold off on the site review for these records at this time and try to incorporate that with a site review with the Office of Infrastructure Protection. They have a couple programs that conduct mission related training. (Bombing prevention and Vulnerability Assessments).

The other schedule is currently in OGC for review, so hopefully, we should be submitting it to you soon.

Let me know if that will be a problem.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Ivan King [mailto:Ivan.King@nara.gov]  
Sent: Monday, May 19, 2008 11:01 AM  
To: Tammy <CTR> Hudson  
Subject: RE: Training Records (N1-563-08-11)

Hi, Tammy.

I just wanted to follow-up on this matter. Have you made the modifications to this schedule yet? If so, can you forward me a copy of the revised schedule. Also, I will still need to take a look at these records, in order to complete the appraisal. So, if you can let me know some dates and times that are available, I'll check them against my calendar and then we can set a meeting date.

Thank you,

Ivan

Ivan King  
Archives Specialist, NWML  
National Archives and Records Administration  
Life Cycle Management Division

8601 Adelphi Road  
College Park, MD 20740  
Office - (301) 837-3030  
Fax - (301) 837-3697  
Ivan.King@nara.gov

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/12/2008  
6:25 AM >>>  
Ivan,

I thought we had spoken about this, but maybe not. I'm going to  
modify  
this schedule a bit. I'll get it back to you this week.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Ivan King [mailto:Ivan.King@nara.gov]  
Sent: Thursday, May 08, 2008 3:41 PM  
To: Hudson, Tammy  
Subject: Training Records (N1-563-08-11)

Tammy,

I would like to schedule a time to come and look at the records listed  
on this schedule. Please let me know, what dates you're are available.

Thanks,

Ivan

Okay, thank you Kathy. We will withdraw this schedule.

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 4/15/2008 10:35 AM >>>

Julie,

Please see Tammy's message below.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Wednesday, April 02, 2008 6:43 AM  
**To:** Schultz, Kathy  
**Subject:** FW: N1-563-08-7

Kathy,

I don't know if you know the background on this. Quick summary: The GTD was created in 2001 by researchers at the University of Maryland, and was initially funded by the National Institute of Justice. DHS began funding it in April 2006 on a yearly basis. DHS does not use the system or access the records, they just fund it.

There isn't any reason for us to schedule this.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, April 01, 2008 1:01 PM  
**To:** Schultz, Kathy  
**Cc:** Tammy <CTR> Hudson; Ivan King  
**Subject:** N1-563-08-7

Kathy,

We have reviewed the schedule for the Global Terrorism Database and the supporting documentation (i.e., the Privacy Threshold Analysis). After our review, we have come to the conclusion that this system likely does not need to be scheduled. When we recommended last year that it should be scheduled, we believed DHS was required to create a PIA for it, however, now that DHS has determined a PIA is not required, we believe it is likely this system does not contain Federal records. As a result of this determination, we recommend withdrawing the schedule.

If you would like us to make a more certain assessment about whether this database contains Federal records, we would now need to understand a couple of things more fully:

1) Why did DHS determine a PIA wasn't needed? Is there a POC we could talk to about this? Or is there some documentation we could look at that explains the rationale behind the decision?

2) What exactly is DHS's relationship with the other involved entities (The National Consortium for the study of Terrorism and Responses to Terrorism (START) and The Center for Terrorism and Intelligence Studies (CETIS))? We think it would clear things up a lot if we could review

the document (perhaps an MOU?) that established DHS's involvement with these entities and this database and defines DHS's role.

While we believe the entire database should likely not be viewed as a Federal record, copies of records made from the database by DHS and use/maintained in the course of its business would be Federal records. However, because these copies would become part of established DHS series (e.g., by investigative case files), they would be covered by the disposition authorities for these series and would not have to be scheduled separately.

Please let us know if you agree with our recommendation to withdraw this schedule or if you would like us to look into this matter more closely.

Thank you,

Julie Hunsaker

Work Group Lead

Life Cycle Management Division

National Archives and Records Administration

**From:** Ivan King  
**To:** Tammy.Hudson@associates.dhs.gov  
**Date:** 2/29/2008 5:20:25 PM  
**Subject:** Global Terrorism Database Opinion

Tammy,

We have reviewed the schedule for the Global Terrorism Database and the supporting documentation (i.e., the Privacy Threshold Analysis). After our review, we have come to the conclusion that this system likely does not need to be scheduled. When we recommended last year that it should be scheduled, we believed DHS was required to create a PIA for it (see attached), however, now that DHS has determined a PIA is not required, we believe it is likely this system does not contain Federal records. As a result of this determination, we recommend withdrawing the schedule.

If you would like us to make a more certain assessment about whether this database contains Federal records, we would now need to understand a couple of things more fully:

- 1) Why did DHS determine a PIA wasn't needed? Is there a POC we could talk to about this? Or is there some documentation we could look at that explains the rationale behind the decision?
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While we believe the entire database should likely not be viewed as a Federal record, copies of records made from the database by DHS and use/maintained in the course of its business would be Federal records. However, because these copies would become part of established DHS series (e.g., by investigative case files), they would be covered by the disposition authorities for these series and would not have to be scheduled separately.

Please let us know if you agree with our recommendation to withdraw this schedule (if so, we'll send an email to Kathy) or if you would like us to look into this matter more closely. Thank you.

Ivan

Ivan King  
Archives Specialist, NWML  
National Archives and Records Administration  
Life Cycle Management Division  
8601 Adelphi Road  
College Park, MD 20740  
Office - (301) 837-3030  
Fax - (301) 837-3697  
Ivan.King@nara.gov

>>> Julie Hunsaker 2/29/2008 4:41 PM >>>  
>>> Julie Hunsaker 11/21/2007 12:06 PM >>>  
Tammy,

Yes, DHS needs to schedule this data. The fact that DHS needs to create a PIA for this system means DHS is responsible for it - at least for now - and the system relates to DHS activities. From what little we know about it at this point, we agree it **may** have permanent value.

Julie

>>> "Hudson, Tammy <CTR>" <[Tammy.Hudson@associates.dhs.gov](mailto:Tammy.Hudson@associates.dhs.gov)> 11/16/2007 7:53 AM >>>

Julie, Any opinion? This is all public data that they gather and input to this system. The system has been operating since 2001 with funding by other agencies. At this point, DHS is targeted to fund this for one year only. Do we need to schedule this? After 2008 it will be funded by another agency. Have you ever heard of this? Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

From: Harris, Daniel <CTR>

Sent: Friday, November 16, 2007 7:48 AM

To: Hudson, Tammy <CTR>

Subject: Global Terrorism Database Opinion  
Tammy, I am working with Allison Smith from the Human Factors Division, in the Science and Technology Directorate. She is writing a Privacy Impact Assessment for the Global Terrorism Database (GTD). <http://www.start.umd.edu/data/gtd/> The GTD is maintained by the National Consortium for the Study of Terrorism and Responses to Terror (START). It is a U.S. Department of Homeland Security Center of Excellence, tasked by the Department of Homeland Security's Science and Technology Directorate with using state-of-the-art theories, methods, and data from the social and behavioral sciences to improve understanding of the origins, dynamics, and social and psychological impacts of terrorism. START is based at the University of Maryland, College Park. When I spoke with Allison she said that the Human Factors is only funding the GTD and no one DHS is using the data, rather it is made openly available to researchers and academics. So I questioned whether or not DHS was the actual owner and maybe a PIA wasn't needed. She double-checked and confirmed the PIA was necessary. Allison would like to know how long the information should be maintained (Question 3). As the GTD is a compilation of details concerning terrorist attacks, I'm thinking it may be of permanent value. Funding for this project is scheduled to cease in 2008. At that point the GTD will continue to be developed and funded by some other entity. A copy is to be stored permanently and made available at the Inter-University Consortium for Political and Social Research (ICPSR) <http://www.icpsr.umich.edu/> Would you mind checking with your NARA contact to get an opinion? Thanks  
Daniel J. Harris

Contractor - DHS Records Management

Nebraska Avenue Complex (NAC) Building 2, Room 2207C

202-282-8515

[Daniel.Harris@associates.dhs.gov](mailto:Daniel.Harris@associates.dhs.gov)



**Julie Hunsaker - Re: FW: Global Terrorism Database Opinion**

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**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 11/21/2007 12:06 PM  
**Subject:** Re: FW: Global Terrorism Database Opinion

---

Tammy,

Yes, DHS needs to schedule this data. The fact that DHS needs to create a PIA for this system means DHS is responsible for it - at least for now - and the system relates to DHS activities. From what little we know about it at this point, we agree it **may** have permanent value.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 11/16/2007 7:53 AM >>>

Julie,

Any opinion? This is all public data that they gather and input to this system. The system has been operating since 2001 with funding by other agencies. At this point, DHS is targeted to fund this for one year only.

Do we need to schedule this? After 2008 it will be funded by another agency. Have you ever heard of this?

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Harris, Daniel <CTR>  
**Sent:** Friday, November 16, 2007 7:48 AM  
**To:** Hudson, Tammy <CTR>  
**Subject:** Global Terrorism Database Opinion

Tammy,

I am working with Allison Smith from the Human Factors Division, in the Science and Technology Directorate.

She is writing a Privacy Impact Assessment for the Global Terrorism Database (GTD).

<http://www.start.umd.edu/data/gtd/>

The GTD is maintained by the National Consortium for the Study of Terrorism and Responses to Terror (START).

It is a U.S. Department of Homeland Security Center of Excellence, tasked by the Department of Homeland Security's Science and Technology Directorate with using state-of-the-art theories, methods, and data from the social and behavioral sciences to improve understanding of the origins, dynamics, and social and psychological impacts of terrorism. START is based at the University of Maryland, College Park.

When I spoke with Allison she said that the Human Factors is only funding the GTD and no one DHS is using the

data, rather it is made openly available to researchers and academics. So I questioned whether or not DHS was the actual owner and maybe a PIA wasn't needed. She double-checked and confirmed the PIA was necessary.

Allison would like to know how long the information should be maintained (Question 3). As the GTD is a compilation

of details concerning terrorist attacks, I'm thinking it may be of permanent value.

Funding for this project is scheduled to cease in 2008. At that point the GTD will continue to be developed and funded by some other entity. A copy is to be stored permanently and made available at the Inter-University Consortium for Political and Social Research (ICPSR)

<http://www.icpsr.umich.edu/>

Would you mind checking with your NARA contact to get an opinion?

Thanks

Daniel J. Harris  
Contractor - DHS Records Management  
Nebraska Avenue Complex (NAC)

Building 2, Room 2207C  
202-282-8515  
[Daniel.Harris@associates.dhs.gov](mailto:Daniel.Harris@associates.dhs.gov)

**Julie Hunsaker - N1-563-08-7**

---

**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 4/1/2008 1:01 PM  
**Subject:** N1-563-08-7  
**CC:** Hudson, Tammy <CTR>; King, Ivan

---

Kathy,

We have reviewed the schedule for the Global Terrorism Database and the supporting documentation (i.e., the Privacy Threshold Analysis). After our review, we have come to the conclusion that this system likely does not need to be scheduled. When we recommended last year that it should be scheduled, we believed DHS was required to create a PIA for it, however, now that DHS has determined a PIA is not required, we believe it is likely this system does not contain Federal records. As a result of this determination, we recommend withdrawing the schedule.

If you would like us to make a more certain assessment about whether this database contains Federal records, we would now need to understand a couple of things more fully:

1) Why did DHS determine a PIA wasn't needed? Is there a POC we could talk to about this? Or is there some documentation we could look at that explains the rationale behind the decision?

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Please let us know if you agree with our recommendation to withdraw this schedule or if you would like us to look into this matter more closely.

Thank you,  
Julie Hunsaker  
Work Group Lead  
Life Cycle Management Division  
National Archives and Records Administration

**Julie Hunsaker - FW: N1-563-08-7**

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/15/2008 10:36 AM  
**Subject:** FW: N1-563-08-7

---

Julie,

Please see Tammy's message below.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Wednesday, April 02, 2008 6:43 AM  
**To:** Schultz, Kathy  
**Subject:** FW: N1-563-08-7

Kathy,

I don't know if you know the background on this. Quick summary: The GTD was created in 2001 by researchers at the University of Maryland, and was initially funded by the National Institute of Justice. DHS began funding it in April 2006 on a yearly basis. DHS does not use the system or access the records, they just fund it.

There isn't any reason for us to schedule this.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, April 01, 2008 1:01 PM  
**To:** Schultz, Kathy  
**Cc:** Tammy <CTR> Hudson; Ivan King  
**Subject:** N1-563-08-7

Kathy,

We have reviewed the schedule for the Global Terrorism Database and the supporting documentation (i.e., the Privacy Threshold Analysis). After our review, we have come to the conclusion that this system likely does not need to be scheduled. When we recommended last year that it should be scheduled, we believed DHS was required to create a PIA for it, however, now that DHS has determined a PIA is not required, we believe it is likely this system does not contain Federal records. As a result of this determination, we recommend withdrawing the schedule.

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Please let us know if you agree with our recommendation to withdraw this schedule or if you would like us to look into this matter more closely.

Thank you,  
Julie Hunsaker  
Work Group Lead  
Life Cycle Management Division  
National Archives and Records Administration

## Julie Hunsaker - Re: FW: N1-563-08-7

---

**From:** Julie Hunsaker  
**To:** Schultz, Kathy  
**Date:** 4/15/2008 12:42 PM  
**Subject:** Re: FW: N1-563-08-7

---

Okay, thank you Kathy. We will withdraw this schedule.

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 4/15/2008 10:35 AM >>>

Julie,

Please see Tammy's message below.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Wednesday, April 02, 2008 6:43 AM  
**To:** Schultz, Kathy  
**Subject:** FW: N1-563-08-7

Kathy,

I don't know if you know the background on this. Quick summary: The GTD was created in 2001 by researchers at the University of Maryland, and was initially funded by the National Institute of Justice. DHS began funding it in April 2006 on a yearly basis. DHS does not use the system or access the records, they just fund it.

There isn't any reason for us to schedule this.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [<mailto:Julie.Hunsaker@nara.gov>]  
**Sent:** Tuesday, April 01, 2008 1:01 PM  
**To:** Schultz, Kathy  
**Cc:** Tammy <CTR> Hudson; Ivan King  
**Subject:** N1-563-08-7

Kathy,

We have reviewed the schedule for the Global Terrorism Database and the supporting documentation (i.e., the Privacy Threshold Analysis). After our review, we have come to the conclusion that this system likely does not need to be scheduled. When we recommended last year that it should be scheduled, we believed DHS was required to create a PIA for it, however, now that DHS has determined a PIA is not required, we believe it is likely this system does not contain Federal records. As a result of this determination, we recommend withdrawing the schedule.

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Please let us know if you agree with our recommendation to withdraw this schedule or if you would like us to look into this matter more closely.

Thank you,  
Julie Hunsaker

**From:** Julie Hunsaker  
**To:** Tammy.Hudson@associates.dhs.gov  
**Date:** 4/8/2008 10:59:06 PM  
**Subject:** RE: N1-563-08-17

Tammy,

Does the afternoon of the 17th work? I believe I could get there by 1:30 or 2:00. (I'll be in a meeting until about noon and plan to take the metro.)

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 04/07/08 6:57 PM >>>  
Julie,

I think NCSD wanted to do their site visit on the 17th. They're located at Glebe Rd in Arlington (Ballston Metro). Will that work for you? I'm already scheduled to be there all day on the 17th, so it works for me.

-tlh

---

From: Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
Sent: Mon 4/7/2008 6:23 PM  
To: Tammy <CTR> Hudson  
Subject: Fwd: N1-563-08-17

Hi, Tammy.

I wanted to give you an update about potential site visit dates. The following dates will now work with my schedule:

Apr 14: any time  
Apr 17: p.m.  
Apr 21-24: any time  
Apr 25: p.m. (after the Investigative Records site visit)

Julie

>>> Julie Hunsaker 3/21/2008 2:12 PM >>>

Hi, Tammy.

Regarding the NCSD schedule, I'd like to handle it as we handled the Public Affairs schedule - by setting up a site visit. I would like to see all of the records, except for Item 4 (no need there), and speak to a subject matter expert.

Do you think we could set something up for early/mid April? My schedule is currently open on:

Apr 2: a.m.  
Apr 3-4: any time  
Apr 11: a.m.  
Apr 14: any time  
Apr 16-18: any time



**Julie Hunsaker - N1-563-08-17**

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 3/21/2008 2:12 PM  
**Subject:** N1-563-08-17

---

Hi, Tammy.

Regarding the NCSD schedule, I'd like to handle it as we handled the Public Affairs schedule - by setting up a site visit. I would like to see all of the records, except for Item 4 (no need there), and speak to a subject matter expert.

Do you think we could set something up for early/mid April? My schedule is currently open on:

Apr 2: a.m.  
Apr 3-4: any time  
Apr 11: a.m.  
Apr 14: any time  
Apr 16-18: any time

Please let me know how these dates work for you.

Thanks,

Julie

**Julie Hunsaker - RE: N1-563-08-17**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 3/25/2008 7:04 AM  
**Subject:** RE: N1-563-08-17

---

I sent the request – I'll keep you updated.

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Friday, March 21, 2008 2:13 PM  
**To:** Tammy <CTR> Hudson  
**Subject:** N1-563-08-17

Hi, Tammy.

Regarding the NCSD schedule, I'd like to handle it as we handled the Public Affairs schedule - by setting up a site visit. I would like to see all of the records, except for Item 4 (no need there), and speak to a subject matter expert.

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Apr 2: a.m.  
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Apr 14: any time  
Apr 16-18: any time

Please let me know how these dates work for you.

Thanks,

Julie

## Julie Hunsaker - RE: N1-563-08-17

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 3/25/2008 10:18 AM  
**Subject:** RE: N1-563-08-17

Thanks, Tammy!

I don't know how likely a Friday site visit is, but it now looks like I can't make a visit on the morning of April 4.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/25/2008 7:03 AM >>>

I sent the request - I'll keep you updated.

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

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**Sent:** Friday, March 21, 2008 2:13 PM  
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 Apr 14: any time  
 Apr 16-18: any time

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/7/2008 6:59:30 PM  
**Subject:** RE: N1-563-08-17

Julie,

I think NCSD wanted to do their site visit on the 17th. They're located at Glebe Rd in Arlington (Ballston Metro). Will that work for you? I'm already scheduled to be there all day on the 17th, so it works for me.

-tlh

---

From: Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
Sent: Mon 4/7/2008 6:23 PM  
To: Tammy <CTR> Hudson  
Subject: Fwd: N1-563-08-17

Hi, Tammy.

I wanted to give you an update about potential site visit dates. The following dates will now work with my schedule:

Apr 14: any time  
Apr 17: p.m.  
Apr 21-24: any time  
Apr 25: p.m. (after the Investigative Records site visit)

Julie

>>> Julie Hunsaker 3/21/2008 2:12 PM >>>

Hi, Tammy.

Regarding the NCSD schedule, I'd like to handle it as we handled the Public Affairs schedule - by setting up a site visit. I would like to see all of the records, except for Item 4 (no need there), and speak to a subject matter expert.

Do you think we could set something up for early/mid April? My schedule is currently open on:

Apr 2: a.m.  
Apr 3-4: any time  
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Apr 16-18: any time

Please let me know how these dates work for you.

Thanks,

Julie

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/14/2008 7:27:22 AM  
**Subject:** RE: N1-563-08-17

The afternoon of the 17th works for all of us. Let me know if you can still make it.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
Sent: Tuesday, April 08, 2008 10:59 PM  
To: Hudson, Tammy  
Subject: RE: N1-563-08-17

Tammy,

Does the afternoon of the 17th work? I believe I could get there by 1:30 or 2:00. (I'll be in a meeting until about noon and plan to take the metro.)

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 04/07/08 6:57 PM >>>  
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Thanks,

Julie

**Julie Hunsaker - RE: N1-563-08-17**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/14/2008 9:19 AM  
**Subject:** RE: N1-563-08-17

---

That works – I'll be there earlier to go over some stuff, so that will be fine.

Call my cell when you get there [REDACTED] (b) (6)

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, April 14, 2008 9:16 AM  
**To:** Tammy <CTR> Hudson  
**Subject:** RE: N1-563-08-17

Yes, that works for me. I'll plan on that.

Can we leave the time open just to play it safe (i.e., between 1:30 and 2:00) or should we settle on a start time?

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 7:26 AM >>>

The afternoon of the 17th works for all of us. Let me know if you can still make it.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
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**To:** Hudson, Tammy  
**Subject:** RE: N1-563-08-17

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**Julie Hunsaker - RE: N1-563-08-17**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/14/2008 9:35 AM  
**Subject:** RE: N1-563-08-17

---

It's 1110 Glebe Rd, Arlington, VA

If you're driving, there's a public parking garage under the building. If you take the metro, it's the Ballston stop on the orange line and the office is about 2-3 blocks from that.

Take the elevator to the 7<sup>th</sup> floor – that's the DHS Security/Reception.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, April 14, 2008 9:30 AM  
**To:** Tammy <CTR> Hudson  
**Subject:** RE: N1-563-08-17

Sounds good - I'll give you a call when I arrive.

What's the address?

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 9:18 AM >>>  
That works - I'll be there earlier to go over some stuff, so that will be fine.

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Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
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Tammy Hudson  
DHS Records Management - Contractor  
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To: Tammy <CTR> Hudson  
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Apr 16-18: any time

Please let me know how these dates work for you.

Thanks,

Julie

**Julie Hunsaker - RE: N1-563-07-22**

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>, "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**Date:** 3/18/2008 9:44 AM  
**Subject:** RE: N1-563-07-22  
**CC:** "Tammy <CTR> Hudson" <Tammy.Hudson@associates.dhs.gov>, "Ivan King" <Ivan.King@nara.gov>

---

Yew, I approval of the withdrawal of N1-563-07-22

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, March 03, 2008 11:10 AM  
**To:** Schultz, Kathy  
**Cc:** Tammy <CTR> Hudson; Ivan King  
**Subject:** N1-563-07-22

Hi, Kathy.

Ivan has been working to gather information about the Technology Clearinghouse System in order to process schedule number N1-563-07-22, but he's hit a bit of a brick wall. From what we gather, it seems this system may have been replaced before it ever become operational. As a result, we recommend withdrawing this schedule. I spoke with Tammy about doing this last week and I don't think she had any qualms about it. Please let me know if you agree and would like to withdraw this schedule.

Julie

**Julie Hunsaker - OIG Internal Version of N1-560-07-5**

---

**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/20/2008 3:36:12 PM  
**Subject:** OIG Internal Version of N1-560-07-5

---

Hi Julie. Per our discussion, I'm attaching the SF-115 Mr. Weinstein approved in October 2007

[REDACTED] (b)(5)

P.S. I may not be in on Monday. So if you don't hear from me, I will call you Tuesday. Take care.

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		LEAVE BLANK (NARA use only)	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <u>N1-563-07-5</u>	
1. FROM (Agency or establishment) <b>Department of Homeland Security</b>		Date Received <u>2-22-2007</u>	
2. MAJOR SUB DIVISION <b>Office of Inspector General</b>		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 <b>Kathy Schultz</b>	5. TELEPHONE <b>202-447-5075</b>	DATE <u>6/6/07</u>	ARCHIVIST OF THE UNITED STATES <u>Mike W...</u>
6. <b>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>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 <b>1/31/07</b>	SIGNATURE OF AGENCY REPRESENTATIVE <u>Kathleen A. Schultz</u>		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: Investigative Case Files and Data Management System</b>		

**U.S. Department of Homeland Security  
Office of Inspector General  
Investigative Case Files and Data Management System**

The Homeland Security Act of 2002 provided for the establishment of an Office of Inspector General (OIG) in the Department of Homeland Security (DHS) by amendment to the Inspector General Act of 1978. By this action, Congress and the administration ensured independent and objective audits, inspections and investigations of the Department. The Inspector General is appointed by the President, subject to confirmation by the Senate, and reports directly to the Secretary of DHS and to Congress.

This record system consists of paper investigative files and an electronic case management and tracking information system. These disposition instructions are media neutral. Except for items 1b and 2b, these instructions apply regardless of the media or format of the records.

**1. Investigative 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 relate to DHS personnel and programs and operations administered or financed by DHS, including contractors and others having a relationship with DHS. This includes investigative reports and related documents, such as correspondence, notes, attachments and working papers.

**a. All Investigative Case Files EXCEPT for unusually significant cases covered in Item 1b.**

**Disposition: TEMPORARY.** . . Destroy 20 years after completion of the investigation and all actions based thereon.

**b. Significant Investigative Case Files** that (1) involve substantive information relating to national security; (2) involve allegations made against senior DHS officials; (3) attract national media or Congressional attention; or (4) result in substantive changes in DHS policies or procedures. Significant cases will be selected by the Office of the Inspector General based on the above criteria.

**Disposition: PERMANENT.** . Transfer to the National Archives for permanent retention 20 years after completion of the investigation and all actions based thereon.

**2. Investigations Data Management System (IDMS)**

The Investigative Data Management System (IDMS) supports the OIG Office of Investigations in its mission to conduct and supervise investigations of alleged violations of criminal, civil or administrative laws and regulations relating to DHS employees, contractors and other individuals and entities associated with DHS. The database is used to process complaints and to manage information provided during investigations. The system allows the OIG to index investigative case information; manage case inventory; track complaint status, disposition and results; and prepare various management and statistical reports. The IDMS also captures investigative property records and special agent training records for Office of Investigation employees.

The IDMS contains records from 2002 to the present. Historical data is included from the Offices of Inspectors General for three legacy DHS agencies: Department of the Treasury, Department of Justice, and Federal Emergency Management Administration.

**a. Inputs/Source Documents**

Complaints and other investigative information are received by telephone, mail, electronic mail, fax and walk-ins. All complaints and information are assigned a complaint number, and the information is entered into the system through an on-line Complaint Data Entry form. Investigative offices make additional entries as information is developed. Also includes keyed entries for government property records for OIG Office of Investigations employees and other investigator-related information.

~~1) Complaint Data Entry Form and related documentation.~~

~~**Instructions:** After the data has been entered and/or scanned and verified, file incoming source documentation in the appropriate investigative case file. See Investigative Case Files (Items 1a and 1b in this schedule) for disposition.~~

2) Government property records for OIG Office of Investigations employees and other investigator-related information.

**Disposition: TEMPORARY.** Delete when superseded or when no longer needed for operational purposes.

b. Master File/Database Contents

Electronic Complaint and Investigative Case Information.

Data elements include, but are not limited to the following items: date of complaint, complaint number, names and other identifying information for complainants, witnesses, informants, suspects or other parties involved; matters alleged; and complaint disposition and resulting actions. This information may include scanned images. Files also include modules for data investigative property records and other investigator related information.

1) Complaint information and related documentation (except for data related to significant cases described in Item 2b.2).

**Disposition: TEMPORARY.** Delete 20 years after completion of the investigation and all actions based thereon, or when no longer needed for operational purposes, whichever is later.

2) Significant complaint information and related documentation (i.e., database entries related to Significant Investigative Case Files described in Item 1b).

**Disposition: PERMANENT.** Transfer physical custody to NARA 5 years after completion of the investigation and all actions based thereon. Transfer legal custody to NARA 20 years after completion of the investigation and all actions based thereon.

3) Government property records for OIG Office of Investigations employees and other investigator-related information.

**Disposition: TEMPORARY.** Delete when superseded or when no longer needed for operational purposes.

c. Outputs

Management Tracking and other Ad Hoc Reports

Reports include printed or on-line display reports containing lists or summary statistical information concerning investigative caseload, accomplishments, etc.

**Disposition: TEMPORARY.** Destroy when no longer needed for business purposes or place in appropriate file and apply approved disposition for that item.



**Julie Hunsaker - RE: OIG Internal Version of N1-560-07-5**

---

**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/20/2008 4:40:25 PM  
**Subject:** RE: OIG Internal Version of N1-560-07-5

---

Great!! UR like wonderful.

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Friday, June 20, 2008 4:37 PM  
**To:** Michelle Adler  
**Subject:** Re: OIG Internal Version of N1-560-07-5

Michelle,

I'll take a look at this. Let's plan to talk on Tuesday as I will be out on Monday.

Have a nice weekend!

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/20/2008 3:35 PM >>>

Hi Julie. Per our discussion, I'm attaching the SF-115 Mr. Weinstein approved in October 2007

[REDACTED]

(b)(5)

P.S. I may not be in on Monday. So if you don't hear from me, I will call you Tuesday. Take care.

**Julie Hunsaker - Re: OIG Internal Version of N1-560-07-5**

---

**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 6/20/2008 4:37:09 PM  
**Subject:** Re: OIG Internal Version of N1-560-07-5

---

Michelle,

I'll take a look at this. Let's plan to talk on Tuesday as I will be out on Monday.

Have a nice weekend!

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/20/2008 3:35 PM >>>

Hi Julie. Per our discussion, I'm attaching the SF-115 Mr. Weinstein approved in October 2007

[REDACTED] (b)(5)

P.S. I may not be in on Monday. So if you don't hear from me, I will call you Tuesday. Take care.

**From:** Brian Woodall  
**To:** Adler, Michelle  
**Date:** 8/16/2007 12:12:29 PM  
**Subject:** N1-563-07-5, Investigative Case Files and Data Management System

Good afternoon Michelle,

Attached is my appraisal report and the revised schedule for this job.

The letter for the Federal Register requester went out on Thursday August 16, 2007. We must receive any comments about this schedule within 30 days of the date of this letter. If there are no comments and we have received your electronic records questionnaire, this job will go forward for the signature of the Archivist of the United States.

Thanks for all your help (and everyone else).

brian

BRIAN T. WOODALL, Archives Specialist  
Life Cycle Management Division  
National Archives and Records Administration  
8601 Adelphi Road  
College Park, MD 20740-6001  
V: 301.837.1574. F: 301.837.3698  
E-mail: brian.woodall@nara.gov

**CC:** Hudson, Tammy <CTR>; Julie Hunsaker; Kathy.Schultz@DHS.GOV

## Julie Hunsaker - N1-563-08-2

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 2/25/2008 11:42 AM  
**Subject:** N1-563-08-2  
**CC:** Kathy.Schultz@DHS.GOV

Hi, Tammy.

I'm working on the appraisal memo for the Nondisclosure Agreements schedule. Could you send me the following info?

- \* The policy statement that rescinded Management Directive 11042. (I'm hoping this statement explains a little bit more about why the NdAs can now be destroyed immediately upon approval of this schedule.)
- \* The rationale behind the 6 year and 3 month retention period. I'm not sure this retention period is long enough, so any light you could shed on this would be helpful. Wouldn't the agreement not to disclose PCII, SBU and SSI remain in effect for more than 6 years and 3 months after the final payment on the contract? Could a contractor start disclosing this type of information after this period of time? For example, what if they waited 7 years to disclose PCII info? Does the NdA itself state the time period contractors are expected to not disclose this type of information? If not, this might be a good item to run by the DHS GC for an opinion. (If your GC has already weighed in on this, I'd be interested to know their rationale.)

Thanks,

Julie

## Julie Hunsaker - RE: N1-563-08-2

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 2/27/2008 11:58 AM  
**Subject:** RE: N1-563-08-2

Sounds good. I appreciate that.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 2/27/2008 11:55 AM >>>  
Julie,

I found the memo regarding the change in policy, but I only have a hard copy - will get it scanned and sent to you early next week. On the other question, I'll check with Kathy and OGC and see what their opinion is.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [<mailto:Julie.Hunsaker@nara.gov>]  
**Sent:** Monday, February 25, 2008 11:42 AM  
**To:** Tammy <CTR> Hudson  
**Cc:** Schultz, Kathy  
**Subject:** N1-563-08-2

Hi, Tammy.

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\* The policy statement that rescinded Management Directive 11042. (I'm hoping this statement explains a little bit more about why the NdAs can now be destroyed immediately upon approval of this schedule.)

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Thanks,

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**Cc:** Schultz, Kathy  
**Subject:** N1-563-08-2

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Thanks,

Julie

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Mon, Nov 26, 2007 11:07 AM  
**Subject:** FW: SAFECOM Baseline Searchable Database System 11-26-2007

<<SAFECOM Baseline Searchable Database System 11-26-2007.snp>> Let us know if you need anything else.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Harris, Daniel <CTR>  
Sent: Monday, November 26, 2007 10:54 AM  
To: Hudson, Tammy <CTR>  
Subject: SAFECOM Baseline Searchable Database System 11-26-2007

I updated the SAFECOM Sytem Schedule based on the input from Andrea.  
Let me know if I need  
to make additional changes.

Thanks



**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Thu, Nov 8, 2007 12:49 PM  
**Subject:** RE: SAFECOM

I'll check and see what's going on. I don't think there was any argument against making it permanent - but I don't know the entire conversation.

Will follow and let you know.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, November 07, 2007 10:43 AM  
To: Hudson, Tammy  
Subject: SAFECOM

More status checks. I realize you're busy too, but when you get a chance, can you give me any update on the status of changes to the SAFECOM schedule? I'm going to go ahead and start with the appraisal assuming the master data file will be changed to permanent and the final reports will be added as permanent as well.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Fri, Oct 19, 2007 10:20 AM  
**Subject:** FW: SAFECOM Baseline Searchable Database / NARA # N1-563-07-18

Andrea,

Let me know if you need anything else.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Conklin, Gary [USA] [mailto:conklin\_gary@bah.com]  
Sent: Friday, October 19, 2007 10:17 AM  
To: Hudson, Tammy <CTR>  
Cc: Klein-Berndt, Luke  
Subject: RE: SAFECOM Baseline Searchable Database / NARA # N1-563-07-18

Tammy,

Here is the users guide that we developed for the tool. I believe that this should help.

Gary



**NATIONAL INTEROPERABILITY BASELINE SURVEY  
SEARCHABLE DATABASE REPORTING TOOL**

SAFECOM National Interoperability Baseline Survey  
Searchable Database Reporting Tool  
**Training Guide**

## Welcome to the Interoperability Baseline Survey Searchable Database Reporting Tool!

This web-based reporting tool enables you to access and search the data from the Baseline Survey. The tool has extensive automated functionality that retrieves data from the Baseline Survey in various formats and allows you to copy and paste the graphs into other software programs (e.g., MS PowerPoint™, Word™) as a JPG file.

The reporting tool allows you to create customized queries and graphs based on one of the five elements depicted in SAFECOM's Interoperability Continuum—

- ▶ **Governance (green):** Concerns governing structures that enhance communication, coordination, and cooperation; establishing guidelines and principles; obtaining funding; and reducing any internal jurisdictional conflicts.
- ▶ **Policies, practices, and procedures (yellow):** Concerns guidelines or instructions for the use and activation of interoperability solutions that include both operational and technical components.
- ▶ **Technology (orange):** Concerns the technical means to achieve interoperability that include both the technical approach and implementation aspects.
- ▶ **Training and exercises (red):** Concerns the proper training and regular exercises that are critical to the implementation and maintenance of a successful interoperability solution.
- ▶ **Usage (blue):** Concerns how often and in what situations interoperable solutions are used.

You can make queries by state, discipline, and/or size for each of the 32 questions in the 5 elements listed above. Based on the customized queries, graphs will depict respondent data in four interoperability stages below that are tailored to the specific question—

- ▶ **Early:** little or no activity
- ▶ **Moderate:** some progress
- ▶ **Full:** substantially complete progress
- ▶ **Advanced:** efforts to sustain and assure continuous improvements into the future

In addition, the graphs will depict data within three interoperability levels—

- ▶ **With Other Disciplines (blue bar):** Interoperable wireless communications with another first responder organization of a different discipline within the same jurisdiction (e.g., within a county, fire department A can communicate with police department A).
- ▶ **With Other Jurisdictions (tan bar):** Interoperable wireless communications with other organizations of the same discipline outside the jurisdiction, but at the same level of government (e.g., sheriff's deputies in one county can communicate with a responding deputy from a bordering county). All local governments (including municipal, tribal, county, and special districts) are considered the same level of government. Special agencies, such as campus and airport or harbor departments, are also considered to be at the "local" government level for purposes of this survey. This level also includes state-to-state communications.
- ▶ **Between state and local government agencies (maroon bar):** Interoperable wireless communications with other organizations of the same discipline at a different level of government (e.g., local investigators can communicate with state police).

Some queries will yield sufficient data to represent the specified population at or better than the 95 percent confidence level and  $\pm 7.5$  percent confidence interval. The confidence interval is the plus-or-minus figure that indicates the range of response that you can be "sure" the entire population of first responders would have picked if they had been surveyed. The confidence level tells you how sure you can be. It is expressed as a percentage and represents how often the true percentage of the population who would pick an answer lies within the confidence interval.

As an illustration, take a hypothetical finding of a data response of 50 percent. Applying the confidence level and interval would result in a statement such as "We are 95% confident that the true population measure lies between 42.5 percent and 57.5 percent." You can be confident in generalizing the survey findings to the specified population (e.g., state, discipline) of first responders if the query has sufficient data.

Any query without sufficient data will be shown with a warning. You should not generalize the results of such queries to any population beyond those agencies who answered the survey—the data would not be considered representative.

## QUICK START INSTRUCTIONS

### Login

Once your account has been created, log onto the system at—

<https://www.safecomsurveytool.st.dhs.gov>  
Enter the username and password provided by the system administrator. You'll be asked to change your password when you first login. Passwords must be at least eight characters long, contain only alphanumeric data and at least one number and one letter, and have at least one uppercase letter.

**WARNING** — This system is for the use of authorized users only. Individuals using this computer system without authority, or in excess of their authority, are subject to having all of their activities on this system monitored and recorded by system personnel. In the course of monitoring individuals improperly using this system, or in the course of system maintenance, the activities of authorized users may also be monitored. Anyone using this system expressly consents to such monitoring and is advised that if such monitoring reveals possible evidence of criminal activity, system personnel may provide the evidence of such monitoring to law enforcement officials.

Email

Password

☐ Remember Login

[Forgot Password?](#)

### Creating a Report

After you login, the reporting screen displays. On the left side of the screen is the report builder. Execute the following four steps to generate a report:

**Step 1:** Select Geography. Select the state of interest or "Nationwide" to view data for all locations.

**Step 2:** Select Survey Element. Select the appropriate survey element from the drop down menu.

**Step 3:** Select Survey Question. Once you've completed Step 2, a list of questions for that survey element displays. Click the question you'd like to use for the report.

**Step 4:** Create Report. Click the "Create Report" button to generate the report.

**Report Builder**

**Step 1 - Select Geography:**

Nationwide ▼

**Step 2 - Select Survey Element:**

Governance ▼

**Step 3 - Select Survey Question:**

**Survey Questions**

Decision Making Groups - Involvement in decision-making groups that address interoperability

Agreements - agreements made to ensure interoperability

Funding for Capital Investments - interoperability capital investment funding

Funding for Operations - interoperability

**Step 4 - Create Report:**

### Report Filters

Once you've created a report, you can filter the data based on discipline using the "Discipline Filter" menu at the top of the report. You can select "All First Responders," "Fire/EMS," or "Law Enforcement." Selecting one of these will automatically adjust the report to reflect the filtered data.

If you've selected a discipline (either "Fire/EMS" or "Law Enforcement"), a second filter will be available. Depending on which discipline you've selected, you'll be able to filter on the number of sworn officers (Law Enforcement) or the size of population served (Fire/EMS).

### Discipline Filter:

All First Responders ▼

Discipline Filter:	Size of Population:
Fire/EMS ▼	All Fire/EMS ▼
100%	10,000 or less
90%	10,001 - 50,000
80%	50,001 - 100,000
	100,001 - 200,000

### Report Criteria

Each time you create or modify a report, the report criteria are displayed at the bottom of the Report Builder.

State = "Nationwide" and Survey Question = "Decision Making Groups - involvement in decision making groups that address interoperability" and Segment = "Fire/EMS"

### Switch Between Text and Chart

You can switch between the chart view and a tabular data view by using these buttons located at the bottom of the report.



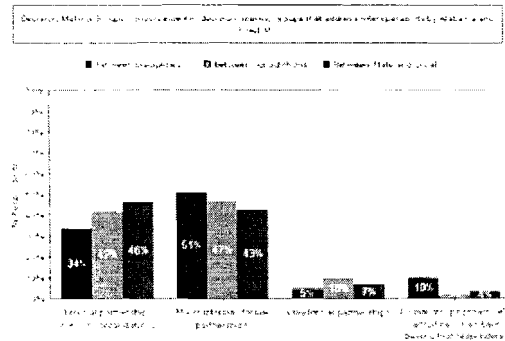
## Download Chart

You can download reports by clicking the download report button located at the bottom of the report.

When the chart is displayed in a new window, right click on the chart, select "Save Picture As" ("Save Image As" in Mozilla Firefox) and save the file to your computer. You can then drag (or copy) the image into MS Word, PowerPoint, etc.

File Edit View Go Database Tools Help

To download chart, right click on the title and select "Copy Image" and then paste the image into word processor, spreadsheet or presentation software.



This analysis contains insufficient data to adequately represent the groups selected. The results should not be generalized to the larger population. They are representative only of those who responded to this survey.

## Rules of Behavior

As a reminder, the following Rules of Behavior are mandatory for users of the Baseline Survey Searchable Database Reporting Tool—

- ▶ **Passwords.** Users shall keep passwords confidential and not share passwords with anyone. In addition, users should ensure passwords are at least eight characters in length, complex (alphanumeric and a minimum of one special character), and changed every 90 days.
- ▶ **System Access.** Users are given access to the Searchable Database based on a need to perform specific work. Users shall work within the confines of the access allowed and shall not attempt to access systems or applications to which access has not been authorized.
- ▶ **Incident Reporting.** All users are responsible for notifying the Application Administrator or the Information System Security Officer (cho\_matthew@bah.com or ng\_catherine@bah.com) regarding any suspicious activity or outage and to facilitate the restoration of services if necessary.
- ▶ **Personal Use of Government Resources.** Users should be aware that personal use of DHS information resources, applications, networks, LANs, and PCs is normally not authorized. Specific direction for personal use is provided in DHS MD 4600.1, Personal Use of Government Office Equipment.

Noncompliance with the rules may result in a range of responses from a verbal or written warning, to removal of system access for a specific period of time, to reassignment to other duties, or to termination, depending on the severity of the violation.

## For More Information

If you have any questions regarding the Baseline Searchable Database Reporting Tool, please contact the Application Administrator or Information System Security Officer (ng\_catherine@bah.com or cho\_matthew@bah.com).

SAFECOM, a communications program of the Department of Homeland Security's Office for Interoperability and Compatibility (OIC), with its Federal partners, provides research, development, testing and evaluation, guidance, tools, and templates on communications-related issues to local, tribal, state, and Federal emergency response agencies.

[www.safecomprogram.gov](http://www.safecomprogram.gov)



**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Fri, Oct 19, 2007 10:48 AM  
**Subject:** RE: FW: SAFECOM Baseline Searchable Database / NARA #N1-563-07-18

The appendix has a sample of the survey

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Friday, October 19, 2007 10:38 AM  
To: Tammy <CTR> Hudson  
Subject: Re: FW: SAFECOM Baseline Searchable Database / NARA #N1-563-07-18

This is helpful, but what I'm after is an idea of the informational content of the system. I'm trying to assess whether or not the data is actually temporary, because it seems to me that it could very well be permanent given the type of information that seems to be collected and how it is used.

Since the data comes from a survey, it would even help if I could get a copy of the survey questions and some background information on the survey itself. Even just a general overview of the types of information collected would be useful.

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 10/19/2007 10:19 AM >>>  
Andrea,

Let me know if you need anything else.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

---

From: Conklin, Gary [USA] [mailto:conklin\_gary@bah.com]  
Sent: Friday, October 19, 2007 10:17 AM  
To: Hudson, Tammy <CTR>  
Cc: Klein-Berndt, Luke  
Subject: RE: SAFECOM Baseline Searchable Database / NARA #  
N1-563-07-18

Tammy,

Here is the users guide that we developed for the tool. I believe  
that  
this should help.

Gary

# Press Release

December 8, 2006  
Contact: DHS Press Office, (202) 282-8010

## **NATIONAL BASELINE SURVEY FINDINGS SHOW SIGNIFICANT LEVELS OF INTEROPERABILITY ACROSS THE NATION**

WASHINGTON— The Department of Homeland Security (DHS) today announced the results of a nationwide survey of first responders and law enforcement that assesses progress in achieving interoperable communications. The national interoperability baseline survey was issued to 22,400 randomly selected law enforcement, fire response, and emergency medical services (EMS) agencies, and confirms that roughly two-thirds of emergency response agencies across the nation use interoperable communications at varying degrees.

“The survey reinforces the fact that interoperability is achievable,” said Homeland Security Secretary Michael Chertoff. “That technology works today and is available. The willingness of emergency response leaders and local officials to make this issue their priority is what will continue to drive progress on one of 9/11’s most important lessons.”

Survey findings indicate that agencies tend to be more developed in technology than they are in culturally related areas like standard operating procedures and exercises. It showed that cross-discipline and cross-jurisdiction interoperability at local levels tends to be more advanced than it is between state and local agencies. In addition, law enforcement, fire response and EMS agencies reported similar levels of development in most areas of interoperability.

The national interoperability baseline survey is the first interoperability assessment that uses a comprehensive definition for interoperability. It was designed in partnership with the emergency response community and assessed stages of development in five areas, governance, standard operating procedures, technology, training and exercises, and usage.

The survey had a statistically valid response rate of 30 percent, with 6,816 agencies responding. Participation in the survey was evenly split between law enforcement and fire response and EMS.

Additional baseline survey findings are available on the SAFECOM Web site at [www.safecomprogram.gov](http://www.safecomprogram.gov).

Since 9/11, DHS has provided more than \$2.1 billion to state and local governments for interoperable communications. Through its SAFECOM program, DHS provides research, development, testing and evaluation, guidance, tools, and templates on communications-related issues that improve emergency response through more effective and efficient interoperable wireless communications.

SAFECOM has already achieved interoperable communications at the command level, within one hour of a major event, in the 10 highest threat urban areas, as part of its *RapidCom 1* initiative. It has published a step-by-step planning guide for developing a locally-driven statewide strategic plan for interoperable communications, and facilitated regional communications interoperability pilots that assist local officials in the implementation of their statewide plans.

*For more information about the SAFECOM program, visit [www.safecomprogram.gov](http://www.safecomprogram.gov) or call 1-866-969-SAFE.*

###



**Homeland  
Security**

From: David Boyd, Authorizing Official

Date: 17 October 2006

Thru: Roopangi Kadakia, Information System Security Manager

To: Anthony Frater, Information System Owner

Subject: Security Accreditation Decision for SAFECOM Baseline Searchable Database System

After reviewing the results of the security certification of the SAFECOM Baseline Searchable Database System, located at Booz Allen Hamilton, XServices data center is located in Sterling, VA, and the supporting evidence provided in the associated security accreditation package (including the current system security plan, the security assessment report, and the plan of action and milestones), I have determined that the risk to agency operations, agency assets, or individuals resulting from the operation of the information system is fully acceptable. Accordingly, I am issuing an *Authorization to Operate* the information system in its existing operating environment for a period of 3 years. The information system is accredited without any significant restrictions or limitations. This security accreditation is my formal declaration that adequate security controls have been implemented in the information system and that a satisfactory level of security is present in the system.

The security accreditation of this information system will remain in effect as long as: (i) the required security status reports for the system are submitted to this office every 2 weeks; (ii) the vulnerabilities reported during the continuous monitoring process do not result in additional agency-level risk which is deemed unacceptable; and (iii) the system has not exceeded the maximum allowable time period between security authorizations in accordance with federal or agency policy.

A copy of this letter with all supporting security certification and accreditation documentation must be retained in accordance with the agency's record retention schedule.

A handwritten signature in black ink, appearing to read "David G. Boyd", written over a horizontal line.

Signature

DAVID G BOYD

---

Designated Approving Authority

Enclosures: SAFECOM Baseline Searchable Database Security Assessment Report October 2006.

## Julie Hunsaker - Fwd: N1-563-08-12

**From:** Julie Hunsaker  
**To:** Byas, Stacie  
**Date:** 2/25/2008 9:42 AM  
**Subject:** Fwd: N1-563-08-12  
**CC:** Fawcett, Stephanie

Stacie,

I just wanted to let you know I spoke with Kathy this morning about this schedule. I hadn't heard back from her so I called her to follow-up. She said she's not sure she wants to withdraw this job - and she said she would call you. Just wanted to give you a heads-up.

Feel free to call me if you want to talk about this.

Julie  
7-0661

>>> Julie Hunsaker 2/14/2008 6:26 AM >>>  
Kathy,

I understand DHS wishes to withdraw NARA Job No. N1-563-08-12 (which covers records in national labs) as this will allow DHS to work with Stacie Byas (in NARA's New York City office) to revise the schedule. Please let me know if this is how DHS would like to proceed.

Thank you,

Julie Hunsaker  
National Archives and Records Administration  
Life Cycle Management Division  
WG1 Lead

## Julie Hunsaker - RE: N1-563-08-12 status

**From:** Julie Hunsaker  
**To:** Byas, Stacie; Schultz, Kathy  
**Date:** 2/26/2008 4:50 PM  
**Subject:** RE: N1-563-08-12 status  
**CC:** Fawcett, Stephanie; Hudson, Tammy <CTR>

Thank you, Kathy. We will withdraw the schedule effective today.

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 2/26/2008 11:44 AM >>>

Julie,

Once Stacie and I talked, I understood the reason for withdrawing the National Labs schedule. I appreciate the assistance from you both.

DHS wishes to withdraw N1-563-08-12 to revising and resubmit at a later date.

Thanks.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

**From:** Stacie Byas [mailto:Stacie.Byas@nara.gov]  
**Sent:** Tuesday, February 26, 2008 9:25 AM  
**To:** Kathy Schultz; Julie Hunsaker  
**Cc:** Stephanie Fawcett  
**Subject:** N1-563-08-12 status

Hi Kathy and Julie,

I had the opportunity to speak with Kathy Schultz this morning about N1-563-08-12.

We will have 2 redos to submit shortly. So, the plan is to withdraw N1-563-08-12.

Kathy, for Julie's requirements, would you confirm with Julie?

If anyone needs anything else, please let me know.

Thanks,

Stacie



**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 10/30/2007 1:37:50 PM  
**Subject:** Re: N1-563-07-19 DisasterHelp.gov

Tammy,

Okay, we will withdraw this schedule effective today.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 10/30/2007 12:45 PM >>>

Julie, This is another schedule that needs to be withdrawn - see below: The public facing side of Disasterhelp has transferred to FEMA. Sarah Hyder is the PM. The private side of Disasterhelp is with HSIN. Denis A. Gusty, PMP Disaster Management Program Manager Office of Interoperability & Compatibility DHS, Science & Technology Thank you, Tammy Tammy Hudson DHS Records Management - Contractor NAC 2, Room 2207 E (202) 282-8562 tammy.hudson@associates.dhs.gov

**CC:** Loiselle, Andrea; Schultz, Kathy

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Ivan King" <Ivan.King@nara.gov>  
**Date:** 6/24/2008 7:40:41 AM  
**Subject:** RE: Office of Security Program Records ( N1-563-08-9)

Sorry for the delay. I'm not saying we can't set up the meeting, but do you think it's really necessary to view these records?

While looking at the schedule, I realized that item 2 - Coordination should be removed. This is the same as the Performance Measurements and Benchmarks item on the Records Common schedule.

Items 1 and 3 are contracting background material - item 3 is just working copies with internal notes.

And item 5 - Security Action Plan you already have.

If you truly feel its necessary, I can set something up, but one record type is at 7th & D and the other at the NAC. We won't be able to do this in one day.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Ivan King [mailto:Ivan.King@nara.gov]  
Sent: Friday, June 20, 2008 5:44 PM  
To: Hudson, Tammy  
Cc: Julie Hunsaker  
Subject: Office of Security Program Records ( N1-563-08-9)

Hi, Tammy.

I didn't hear back from you, in reference to you scheduling a date for me to see these records.

I'm available to come on the morning of Monday, June 30th. Can you arrange for Julie and I to come and take a look at the records on that date? It should only take an hour or so.

Thanks,

Ivan

**CC:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>

## **Julie Hunsaker - RE: HSIN Records Schedule**

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 2/8/2007 3:14 PM  
**Subject:** RE: HSIN Records Schedule

---

Okay, great.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 2/8/2007 2:01 PM >>>  
I did receive that and made the change.

Tammy

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, February 08, 2007 1:17 PM  
**To:** Tammy <CTR> Hudson  
**Subject:** Fwd: HSIN Records Schedule

Tammy,

Here is the message I received:

>>> "Page, Michael" <Michael.A.Page@dhs.gov> 1/12/2007 11:03 AM >>>  
Julie,

Our computer people finally got around to reading the HSIN schedule and requested a change ---- could we make item 5 read:

### **5) Instant messaging (Jabber):**

All Jabber instant messages.

**Disposition:** Cut off monthly. Destroy 6 years after cutoff.

They have informed me that it's pretty much impossible to separate substantive from non-substantive messages.  
(nice of them to get back to me in a timely manner)

Thank you,  
Mike

Michael Page  
Records Officer  
Operations Coordination Directorate  
Dept. of Homeland Security  
Washington, D.C.  
(202)282-8743

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 10/30/2007 11:21:47 AM  
**Subject:** Re: N1-563-07-2 Homeland Security Information Network (HSIN)

Tammy,

We understand the issues you raise and will withdraw this schedule effective today.

Julie Hunsaker  
WG1 Lead

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 10/30/2007 10:55 AM >>>

Julie, We'd like to withdraw schedule N1-563-07-2 Homeland Security Information Network (HSIN). Over the last few months the new project team has drastically changed what it is. Many of the elements that were part of the HSIN database have been taken away and incorporated into the HSIN website/portal. They are in the process of writing a schedule for the HSIN website/portal and want to submit both schedules with the appropriate information. Let me know if you have any questions. Tammy Tammy HudsonDHS Records Management - ContractorNAC 2, Room 2207 E (202) 282-8562tammy.hudson@associates.dhs.gov

**CC:** Loiselle, Andrea; Schultz, Kathy

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 3/17/2008 12:50:24 PM  
**Subject:** RE: N1-563-08-4 (Investigative Files)

Sorry it took so long--as with last time one of the people who wanted to attend was out last week and couldn't provide dates.

We are all currently available April 14, 18, 21, 24, 25, and 28.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/11/2008 10:42:27 AM >>>  
Let me follow with them again - can you give me a couple more dates?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loiselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Tuesday, March 11, 2008 10:34 AM  
To: Hudson, Tammy  
Subject: N1-563-08-4 (Investigative Files)

Tammy,

How are we coming on getting the site visits set up for this? Do you need more dates from me?

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loïselle" <Andrea.Pugsley@nara.gov>  
**Date:** Mon, Feb 4, 2008 11:24 AM  
**Subject:** RE: N1-563-08-4 (Investigative Files)

Ok - this one is going to take a little extra coordination because the records are in 2 or 3 different sites. I'll start working on setting this up.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loïselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Monday, February 04, 2008 11:04 AM  
To: Hudson, Tammy  
Subject: N1-563-08-4 (Investigative Files)

Tammy,

I have a number of people interested in attending the site visit for these records. We are all currently available Feb. 14, 15, 22, 25, 28, and 29.

If none of those dates will work, please let me know and I'll try to provide some for March.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Tue, Feb 19, 2008 12:46 PM  
**Subject:** RE: N1-563-08-4 (Investigative Files)

Can you give me a couple dates at the beginning of March for this? I'm in the process of setting this up.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Monday, February 04, 2008 11:30 AM  
To: Tammy <CTR> Hudson  
Subject: RE: N1-563-08-4 (Investigative Files)

Thanks. There are three people from our custodial units who want to attend the visit, so we'll just have to do what we can.

Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 2/4/2008 11:09 AM >>>

Ok - this one is going to take a little extra coordination because the records are in 2 or 3 different sites. I'll start working on setting this up.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Monday, February 04, 2008 11:04 AM  
To: Hudson, Tammy  
Subject: N1-563-08-4 (Investigative Files)

Tammy,

I have a number of people interested in attending the site visit for these records. We are all currently available Feb. 14, 15, 22, 25, 28, and 29.

If none of those dates will work, please let me know and I'll try to provide some for March.

Thanks,

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Wed, Feb 20, 2008 1:41 PM  
**Subject:** RE: N1-563-08-4 (Investigative Files)

Okay - I'm still trying to identify who you need to talk to. Looks like it will only have to be in 2 locations, so that's a plus!

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, February 20, 2008 1:24 PM  
To: Tammy <CTR> Hudson  
Subject: RE: N1-563-08-4 (Investigative Files)

I'm still waiting to hear back from people for dates. At least one is out until the 25th, so I probably won't be able to provide anything until early next week.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 2/19/2008 12:46 PM >>>

Can you give me a couple dates at the beginning of March for this?

I'm

in the process of setting this up.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Monday, February 04, 2008 11:30 AM  
To: Tammy <CTR> Hudson  
Subject: RE: N1-563-08-4 (Investigative Files)

Thanks. There are three people from our custodial units who want to attend the visit, so we'll just have to do what we can.

Andrea

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Ok - this one is going to take a little extra coordination because the records are in 2 or 3 different sites. I'll start working on setting this up.

Tammy Hudson



DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

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Sent: Monday, February 04, 2008 11:04 AM  
To: Hudson, Tammy  
Subject: N1-563-08-4 (Investigative Files)

Tammy,

I have a number of people interested in attending the site visit for these records. We are all currently available Feb. 14, 15, 22, 25, 28, and 29.

If none of those dates will work, please let me know and I'll try to provide some for March.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Wed, Mar 5, 2008 7:43 AM  
**Subject:** FW: Office of Multimedia Liaison Records Schedule

She's hard to get in touch with by phone - could this be completed through e-mail?

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Ferguson, Bobbie  
Sent: Thursday, February 21, 2008 8:52 PM  
To: Hudson, Tammy <CTR>  
Subject: RE: Office of Multimedia Liaison Records Schedule

On travel...will call next week.

Bobbie Faye

---

From: Hudson, Tammy <CTR>  
Sent: Wednesday, February 20, 2008 4:48 AM  
To: Ferguson, Bobbie  
Cc: Adamoli, Joe  
Subject: Office of Multimedia Liaison Records Schedule

Bobbie,

Last year the Public Affairs staff met with representatives from the DHS Records Management Program. The purpose was to identify the records used by your programs and determine the most appropriate Records Schedules to apply to them.

Below is a Record Schedule listing along with a proposed retention which was submitted to NARA for registration for the Multimedia Liaison records.

#### Multimedia Project Files

Agreements and support documentation (e.g., film and television requests, questionnaires, scripts, reports, and correspondence) for non-governmental, entertainment-oriented motion picture/video projects including, but not limited to, documentaries, books, web games, movies, television programs, and other types of medial related projects requesting the use of the DHS name, seal and insignia, and any other Departmental assistance in the production of a multimedia project.

##### a. Approved requests

TEMPORARY. Cutoff at completion of project. Destroy or delete 6 years from cutoff.

##### b. Rejected requests

TEMPORARY. Destroy or delete 1 year from date of denial.

NARA has some questions on the record information and would like to contact you. Please provide a day, time and phone number that would be convenient for you. I don't think this will take more than 15 minutes; they just have a couple brief questions.

Let me know if you have any questions.

Thanks!

Tammy

Tammy Hudson

DHS Records Management - Contractor

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Wed, Mar 5, 2008 9:16 AM  
**Subject:** RE: FW: Office of Multimedia Liaison Records Schedule

Andrea,

Go ahead an e-mail her your questions: Bobbie.Ferguson@dhs.gov

Can you copy me on the message?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, March 05, 2008 8:27 AM  
To: Tammy <CTR> Hudson  
Subject: Re: FW: Office of Multimedia Liaison Records Schedule

Probably. I just need her to explain what she does, how the multimedia project files are created, and some examples of the type of multimedia projects she deals with.

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/5/2008 7:43 AM >>>  
She's hard to get in touch with by phone - could this be completed through e-mail?

Tammy Hudson

DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

---

From: Ferguson, Bobbie  
Sent: Thursday, February 21, 2008 8:52 PM  
To: Hudson, Tammy <CTR>  
Subject: RE: Office of Multimedia Liaison Records Schedule

On travel...will call next week.

Bobbie Faye

---

From: Hudson, Tammy <CTR>  
Sent: Wednesday, February 20, 2008 4:48 AM  
To: Ferguson, Bobbie  
Cc: Adamoli, Joe  
Subject: Office of Multimedia Liaison Records Schedule

Bobbie,

Last year the Public Affairs staff met with representatives from the DHS Records Management Program. The purpose was to identify the records used by your programs and determine the most appropriate Records Schedules to apply to them.

Below is a Record Schedule listing along with a proposed retention which was submitted to NARA for registration for the Multimedia Liaison records.

#### Multimedia Project Files

Agreements and support documentation (e.g., film and television requests, questionnaires, scripts, reports, and correspondence) for non-governmental, entertainment-oriented motion picture/video projects including, but not limited to, documentaries, books, web games, movies, television programs, and other types of medial related projects requesting the use of the DHS name, seal and insignia, and any other Departmental assistance in the production of a multimedia project.

#### a. Approved requests

TEMPORARY. Cutoff at completion of project. Destroy or delete 6 years from cutoff.

b. Rejected requests

TEMPORARY. Destroy or delete 1 year from date of denial.

NARA has some questions on the record information and would like to contact you. Please provide a day, time and phone number that would be convenient for you. I don't think this will take more than 15 minutes; they just have a couple brief questions.

Let me know if you have any questions.

Thanks!

Tammy

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Wed, Mar 26, 2008 7:06 AM  
**Subject:** FW: Multimedia Project Files

Huh, guess this waits until Monday...

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Ferguson, Bobbie  
Sent: Wednesday, March 26, 2008 7:05 AM  
To: Hudson, Tammy <CTR>  
Subject: Out of Office AutoReply: Multimedia Project Files

I am out of the office until March 27th and will not have access to my email or Blackberry. In my absence please contact the Office of Public Affairs in Washington DC 202 282 8010 for assistance.

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Wed, Mar 26, 2008 7:06 AM  
**Subject:** FW: Multimedia Project Files

fyi

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Hudson, Tammy <CTR>  
Sent: Wednesday, March 26, 2008 7:05 AM  
To: Ferguson, Bobbie  
Subject: FW: Multimedia Project Files

Bobbie,

I know you're extremely busy, but have you had a chance to respond to NARA's inquiry below? They need to have the information for the multimedia records before we can finalize the OPA records schedule.

Let me know if you have any questions.

Thanks!

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Tuesday, March 11, 2008 10:49 AM  
To: Ferguson, Bobbie  
Cc: Hudson, Tammy  
Subject: Multimedia Project Files

Ms. Ferguson,

Tammy Hudson at DHS HQ provided your e-mail as a contact regarding DHS Office of Public Affairs Multimedia Project Files. I am the records analyst at the National Archives responsible for reviewing the records schedule that includes these files to ensure that the schedule accurately describes the records being created, and provides sufficient retention and disposition instructions.

To assist me in reviewing the Multimedia Project Files, could you please explain what you do, how the multimedia project files are created, and provide some examples of the type of multimedia projects you deal with. How are the records currently maintained (paper files or



electronic; if electronic are they stored on a computer hard drive, CD-ROM)? What year were the records first created? Also, can you explain why the approved requests are retained for 6 years prior to destruction?

I appreciate you time and assistance. Please let me know if you have any questions. I can also be reached at 310-837-1684.

Thanks,  
Andrea

Andrea Pugsley Loiselle  
Records Analyst  
Lifecycle Management Division (NWML)  
National Archives and Records Administration-College Park  
8601 Adelphi Road, Rm. 2100  
College Park, MD 20740  
(301) 837-1684

**From:** Andrea Loiselle  
**To:** Tammy.Hudson@associates.dhs.gov  
**Date:** 3/26/2008 8:35:25 AM  
**Subject:** Fwd: Multimedia Project Files

Tammy,

Below is the message I sent to Bobbie Ferguson requesting information on the multimedia project files.

Thanks,  
Andrea

>>> Andrea Loiselle 3/11/2008 10:48 AM >>>  
Ms. Ferguson,

Tammy Hudson at DHS HQ provided your e-mail as a contact regarding DHS Office of Public Affairs Multimedia Project Files. I am the records analyst at the National Archives responsible for reviewing the records schedule that includes these files to ensure that the schedule accurately describes the records being created, and provides sufficient retention and disposition instructions.

To assist me in reviewing the Multimedia Project Files, could you please explain what you do, how the multimedia project files are created, and provide some examples of the type of multimedia projects you deal with. How are the records currently maintained (paper files or electronic; if electronic are they stored on a computer hard drive, CD-ROM)? What year were the records first created? Also, can you explain why the approved requests are retained for 6 years prior to destruction?

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Andrea

Andrea Pugsley Loiselle  
Records Analyst  
Lifecycle Management Division (NWML)  
National Archives and Records Administration-College Park  
8601 Adelphi Road, Rm. 2100  
College Park, MD 20740  
(301) 837-1684

**From:** "Ferguson, Bobbie" <Bobbie.Ferguson@dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Thu, Mar 27, 2008 4:24 PM  
**Subject:** RE: Multimedia Project Files

Office/Directorate: Director, Office of Multimedia

Submitted by: Bobbie Faye Ferguson

Phone Extension: 818 840-6319

#### I. Summary of Office Duties and Responsibilities:

This office was established to work with film, television, publishing and other multimedia projects. The Director, for the Office of Multimedia, serves as the Department's central point of contact for any entertainment-oriented motion picture, television, advertising, video, and multimedia productions/enterprises. As the first Director, for the Office of Multimedia, among my original tasks was the creation of the now official Management Directive 2231. This MD 2231 establishes Departmental policy pertaining to interaction between the Department and Non-Government, Entertainment-Oriented Motion Picture, Television, Advertising, Video and Multimedia Productions/Enterprises and includes the official questionnaire that all requestors must complete. This enables the Department to speak with one voice in working with the industry and establishes the mechanism for providing assistance and protects its "brand" including the insignia, emblems or logos of all the component agencies. In working with the OCG, the first DHS Multimedia Agreement for a motion picture or television production was created. This Agreement spells out the responsibilities and requirements for each party and allows the Department to have input from the start of the project thru the distribution of the completed production. In August 2006, this Office while still a part of the DHS Headquarters Office was moved to the Los Angeles, California area.

The only files that I have are requests for assistance involving film, television, books, video games and other Multimedia projects that come to the Department of Homeland Security. The information provided by a studio, production company, network or writer such as a script is proprietary information. I keep emails until the project is complete or the Department declines to participate. I do not know why the 6 year rule was begun. I did not create that time frame. I have been working for DHS since Oct. 2004.

My computer and Blackberry are currently in DC being worked on...so I do not have any more information to provide at this time.

I hope that this answers your questions.

Bobbie Faye Ferguson

Director, Office of Multimedia

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]

Sent: Tuesday, March 11, 2008 10:49 AM

To: Ferguson, Bobbie

Cc: Hudson, Tammy

Subject: Multimedia Project Files

Ms. Ferguson,

Tammy Hudson at DHS HQ provided your e-mail as a contact regarding DHS Office of Public Affairs Multimedia Project Files. I am the records analyst at the National Archives responsible for reviewing the records schedule that includes these files to ensure that the schedule accurately describes the records being created, and provides sufficient retention and disposition instructions.

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Thanks,

Andrea

Andrea Pugsley Loiselle

Records Analyst

Lifecycle Management Division (NWML)

National Archives and Records Administration-College Park

8601 Adelphi Road, Rm. 2100

College Park, MD 20740

(301) 837-1684

**CC:** "Hudson, Tammy" <Tammy.Hudson@associates.dhs.gov>

**Julie Hunsaker - N1-563-07-16**

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>; Mason, Quinton  
**Date:** 11/13/2007 4:43 PM  
**Subject:** N1-563-07-16

---

Quinton,

Thank you for setting up today's site visit. It was incredibly helpful to have such knowledgeable people in the room to field my questions about the records on this schedule.

In terms of how to move forward, we covered three items on this schedule (Items 5, 6, and 7). Ideally, we would have been able to cover the entire schedule with one visit, however I will be able to make a second site visit to cover the other items. Please let me know which of the following dates will work best for you:

Nov 16, 19, 20, 26, 30  
Dec 3, 4, 6, 7, 10, 11

After this second visit, I will move the schedule forward with the items I have reviewed and drop the other items - in the interest of making progress with this schedule.

Tammy, if you send me an electronic version of this schedule, I will modify it and send you the revisions we talked about today.

Thanks again!

Julie

**Julie Hunsaker - Fwd: N1-563-07-16**

---

**From:** Julie Hunsaker  
**To:** Mason, Quinton  
**Date:** 11/26/2007 1:00 PM  
**Subject:** Fwd: N1-563-07-16  
**CC:** Hudson, Tammy <CTR>

---

Good afternoon, Quinton. I hope you had a nice Thanksgiving holiday!

I thought I'd let you know that I can now no longer conduct a site visit on Dec 3. Please let me know by the end of this week whether you would like to set up a second site visit for this schedule or send the schedule forward with only the three items we reviewed during the site visit.

Thanks,

Julie

>>> Julie Hunsaker 11/14/2007 3:15 PM >>>  
Quinton,

I just wanted to let you know that my schedule has changed somewhat since yesterday. I can no longer conduct a site visit on Nov 19, or 20.

Julie

>>> Julie Hunsaker 11/13/2007 4:43 PM >>>  
Quinton,

Thank you for setting up today's site visit. It was incredibly helpful to have such knowledgeable people in the room to field my questions about the records on this schedule.

In terms of how to move forward, we covered three items on this schedule (Items 5, 6, and 7). Ideally, we would have been able to cover the entire schedule with one visit, however I will be able to make a second site visit to cover the other items. Please let me know which of the following dates will work best for you:

Nov 16, 19, 20, 26, 30  
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After this second visit, I will move the schedule forward with the items I have reviewed and drop the other items - in the interest of making progress with this schedule.

Tammy, if you send me an electronic version of this schedule, I will modify it and send you the revisions we talked about today.

Thanks again!

Julie

**Julie Hunsaker - RE: I&A Records Schedule / NARA Review**

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Mason, Quinton" <Quinton.Mason@dhs.gov>  
**Date:** 12/3/2007 9:52 AM  
**Subject:** RE: I&A Records Schedule / NARA Review  
**CC:** "Delawter, Denise" <Denise.Delawter@dhs.gov>, "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>, "Cooper, Bradford" <Bradford.Cooper@dhs.gov>, "Julie Hunsaker" <Julie.Hunsaker@nara.gov>

---

Quinton,

Julie may not pull the schedule, but 7 of the 10 items on the schedule will be pulled off. DHS/I&A will be out of compliance with the Federal Records Act if those items are not scheduled. Are the meeting(s) on December 10/11 to address the seven items? When NARA conducts appraisal meetings, they appreciate being able to review all the items and have all the relevant parties present.

DHS RM included I&A in the departmental scheduling project, working hard to inventory records and develop a draft schedule. Now that you are on board, it is your responsibility to carry the scheduling process on to completion, unless this is not possible. If you are having difficulty with any RM tasks, DHS RM is able to assist, we simply need to be kept in the loop on status. Please keep the lines of communication open.

Kathy

Kathy Schultz  
 Senior Records Officer  
 Department of Homeland Security  
 (202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Mason, Quinton  
**Sent:** Thursday, November 29, 2007 6:30 AM  
**To:** Hudson, Tammy <CTR>  
**Cc:** Schultz, Kathy; Delawter, Denise  
**Subject:** RE: I&A Records Schedule / NARA Review

Tammy,

Julie sent me an email and I'm attempting to schedule a meeting Dec 10/11.

Per Julie, she will not pull the schedule if we don't meet, she will send the schedule forward with only the three items we reviewed.

**Quinton S. Mason**

Records Officer/  
 Acting Freedom of Information Officer  
 Department of Homeland Security  
 Intelligence and Analysis (I&A)  
 (202) 282-9385  
[quinton.mason@dhs.gov](mailto:quinton.mason@dhs.gov)

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use or copying of this message is strictly prohibited. If you have received this in error, please reply immediately to the sender and delete this message. Thank you.

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Wednesday, November 28, 2007 7:20 AM  
**To:** Mason, Quinton  
**Cc:** Schultz, Kathy  
**Subject:** I&A Records Schedule / NARA Review

Quinton,

NARA is trying to finalize the I&A retention schedule. There are still some outstanding items:

During the 11/13/07 site review it was determined that items 5, 6 and 7 from the original schedule would be re-worked and maintained as Permanent records. Julie made the changes and forwarded them to us 11/15/07. Have you and the appropriate program had a chance to review these changes?

Also, I understand that representatives from the other I&A programs were not available for the meeting and another was going to be scheduled to complete the site/record review. Can this be accomplished before the holidays? NARA's available dates are: Dec 4, 6, 7, 10 and 11.

If we are not able to finalize this by the end of the year, NARA may pull the schedule.

I've attached a copy of the original submission and the NARA edited version.

Let me know if you have any questions or if there's anything I can help with.

Tammy

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** Julie Hunsaker  
**To:** Quinton.Mason@dhs.gov  
**Date:** 12/7/2007 2:20:50 PM  
**Subject:** RE: N1-563-07-16

Quinton,

I am still available on the morning of the 10th. As it turns out, as of this afternoon, I am also available on the morning of the 11th.

If neither of these dates work -- and considering how difficult it seems to have been to set up a second site visit (I proposed 9 different dates more than 3 weeks ago -- and kept you informed as my schedule changed) -- as I said in my email on 11/13, I will recommend moving this schedule forward next week with the 3 items we reviewed during my site visit and dropping the other items. This will allow you to review the remaining items, confirm they meet your needs, and set up a site visit in advance of submitting a new SF 115.

If you have strong objections to this, please let me know. However, I think this course is in the best interest of moving this schedule forward.

Julie

>>> "Mason, Quinton" <Quinton.Mason@dhs.gov> 12/07/07 11:55 AM >>>  
Julie,

When are you available? I don't want to set a date and later discover you are not available.

Thanks

Quinton S. Mason

Records Officer/

Acting Freedom of Information Officer

Department of Homeland Security

Intelligence and Analysis (I&A)

(202) 282-9385

quinton.mason@dhs.gov

This communication, along with any attachments, is covered by federal and state law governing electronic communications and may contain confidential and legally privileged information. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution, use or copying of this message is strictly prohibited. If you have received this in error, please reply immediately to the sender and delete this message. Thank you.

---

From: Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
Sent: Thursday, December 06, 2007 11:50 AM  
To: Quinton Mason  
Cc: Tammy <CTR> Hudson  
Subject: Fwd: N1-563-07-16

Hi, Quinton.

It was nice running into you in the cafeteria the other day. I hope your training classes are going well.

I wanted to let you know I can now no longer conduct a site visit on Dec 11. Please let me know as soon as possible what your plans are.

Thank you,

Julie

>>> Julie Hunsaker 11/26/2007 1:00 PM >>>

Good afternoon, Quinton. I hope you had a nice Thanksgiving holiday!

I thought I'd let you know that I can now no longer conduct a site visit on Dec 3. Please let me know by the end of this week whether you would like to set up a second site visit for this schedule or send the schedule forward with only the three items we reviewed during the site visit.

Thanks,

Julie

>>> Julie Hunsaker 11/14/2007 3:15 PM >>>

Quinton,

I just wanted to let you know that my schedule has changed somewhat since yesterday. I can no longer conduct a site visit on Nov 19, or 20.

Julie

>>> Julie Hunsaker 11/13/2007 4:43 PM >>>

Quinton,

Thank you for setting up today's site visit. It was incredibly helpful to have such knowledgeable people in the room to field my questions about the records on this schedule.

In terms of how to move forward, we covered three items on this schedule (Items 5, 6, and 7). Ideally, we would have been able to cover the entire schedule with one visit, however I will be able to make a second site visit to cover the other items. Please let me know which of the following dates will work best for you:

Nov 16, 19, 20, 26, 30

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After this second visit, I will move the schedule forward with the items I have reviewed and drop the other items - in the interest of making progress with this schedule.

Tammy, if you send me an electronic version of this schedule, I will modify it and send you the revisions we talked about today.

Thanks again!

Julie

CC: Denise.Delawter@dhs.gov, Tammy.Hudson@associates.dhs.gov

**Julie Hunsaker - N1-563-07-16 and N1-563-08-2**

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>; Kathy.Schultz@DHS.GOV; Mason, Quinton  
**Date:** 4/2/2008 11:49 AM  
**Subject:** N1-563-07-16 and N1-563-08-2  
**CC:** Delawter, Denise A

---

I wanted to let you know that a requester asked for a copy of the I&A schedule and the NdA schedule. Both of these schedules were supposed to come off the Federal Register today, however the FR timeframe will now be extended for at least another month.

The requester will have 30 days from the date we mail the schedule to them to submit comments to us. I expect we will get the copies in the mail within a week. (These two schedules are part of a larger group of schedules the requester asked for.) I'll let you know if we receive any comments. Otherwise, both of these schedules will then be ready to send to the U.S. Archivist for review and approval.

Quinton: I've attached the final version of the I&A schedule. It incorporates the strike-out we talked about on 3/11 (see attached). This is what I will send to the requester (along with the SF 115 coversheet).

Julie

## **Julie Hunsaker - Fwd: Job Number N1-563-08-16**

---

**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 4/22/2008 5:42 PM  
**Subject:** Fwd: Job Number N1-563-08-16  
**CC:** Hudson, Tammy <CTR>; Logan, Wilda

---

Hi, Kathy.

I just wanted to follow-up with you and find out whether you have any qualms about withdrawing the FACA Committee Nominees' Records schedule (N1-563-08-16). Please let me know at your earliest convenience.

Thank you,

Julie

>>> Wilda Logan 4/1/2008 5:57 PM >>>

Dear Kathy,

After a detailed review, we are returning without action Job Number N1-563-08-16. We have determined that the items proposed in N1-563-08-16 are already covered by the General Records Schedule (GRS).

Proposed item 1, Individuals appointed, is covered by the broad membership category in permanent item GRS 26, item 2a. Proposed item 2 is covered by temporary item GRS 26, item 2b and proposed item 3 is covered by temporary item GRS 1, item 4.

If you concur with this action, please let us know. If you have any additional questions, please feel free to contact me at [wilda.logan@nara.gov](mailto:wilda.logan@nara.gov).

Sincerely,

Wilda D. Logan,  
Supervisor  
Life Cycle Management Division  
NARA  
(301) 837-3139

## Julie Hunsaker - Fwd: Job Number N1-563-08-16

---

**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 4/30/2008 6:31 PM  
**Subject:** Fwd: Job Number N1-563-08-16  
**CC:** Hudson, Tammy <CTR>; Logan, Wilda

---

Hi, Kathy.

We will go ahead and return this job without action. If you have any concerns about this, please let me know. I would be happy to answer any questions you might have.

Julie Hunsaker  
Work Group Lead  
Life Cycle Management Division  
National Archives and Records Administration

>>> Julie Hunsaker 4/22/2008 5:42 PM >>>  
Hi, Kathy.

I just wanted to follow-up with you and find out whether you have any qualms about withdrawing the FACA Committee Nominees' Records schedule (N1-563-08-16). Please let me know at your earliest convenience.

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Julie

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If you concur with this action, please let us know. If you have any additional questions, please feel free to contact me at [wilda.logan@nara.gov](mailto:wilda.logan@nara.gov).

Sincerely,

Wilda D. Logan,  
Supervisor  
Life Cycle Management Division  
NARA  
(301) 837-3139

**Julie Hunsaker - RE: Job Number N1-563-08-16**

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 5/1/2008 8:19 AM  
**Subject:** RE: Job Number N1-563-08-16  
**CC:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>

---

Julie,

I did not agree to withdrawing this schedule.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, April 30, 2008 6:32 PM  
**To:** Schultz, Kathy  
**Cc:** Tammy <CTR> Hudson; Wilda Logan  
**Subject:** Fwd: Job Number N1-563-08-16

Hi, Kathy.

We will go ahead and return this job without action. If you have any concerns about this, please let me know. I would be happy to answer any questions you might have.

Julie Hunsaker  
Work Group Lead  
Life Cycle Management Division  
National Archives and Records Administration

>>> Julie Hunsaker 4/22/2008 5:42 PM >>>  
Hi, Kathy.



I just wanted to follow-up with you and find out whether you have any qualms about withdrawing the FACA Committee Nominees' Records schedule (N1-563-08-16). Please let me know at your earliest convenience.

Thank you,

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Sincerely,

Wilda D. Logan,  
Supervisor  
Life Cycle Management Division  
NARA  
(301) 837-3139

## Julie Hunsaker - RE: Job Number N1-563-08-16

---

**From:** Julie Hunsaker  
**To:** Schultz, Kathy  
**Date:** 5/1/2008 8:32 AM  
**Subject:** RE: Job Number N1-563-08-16  
**CC:** Hudson, Tammy <CTR>; Logan, Wilda

---

Hi, Kathy.

I wasn't sure what your thoughts were regarding this schedule and assumed "no news was good news" so to speak. It seems I assumed too much. Please let us know what your concerns are about withdrawing this schedule so we may work with you to resolve them.

Thank you,

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 5/1/2008 8:18 AM >>>

Julie,

I did not agree to withdrawing this schedule.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, April 30, 2008 6:32 PM  
**To:** Schultz, Kathy  
**Cc:** Tammy <CTR> Hudson; Wilda Logan  
**Subject:** Fwd: Job Number N1-563-08-16

Hi, Kathy.

We will go ahead and return this job without action. If you have any concerns about this, please let me know. I would be happy to answer any questions you might have.

Julie Hunsaker  
Work Group Lead  
Life Cycle Management Division  
National Archives and Records Administration

>>> Julie Hunsaker 4/22/2008 5:42 PM >>>  
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>>> Wilda Logan 4/1/2008 5:57 PM >>>

Dear Kathy,  
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Proposed item 1, Individuals appointed, is covered by the broad membership category in permanent item GRS 26, item 2a. Proposed item 2 is covered by temporary item GRS 26, item 2b and proposed item 3 is covered by temporary item GRS 1, item 4.

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Sincerely,

Wilda D. Logan,  
Supervisor  
Life Cycle Management Division  
NARA  
(301) 837-3139

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Fri, Nov 23, 2007 10:53 AM  
**Subject:** Additional Public Affairs info

Andrea,

I found the schedule items for photographs and recordings for Public Affairs.

I will have a contact name next week and will set up the meeting for as soon as possible.

When you get a chance, let me know the December dates you have available.

Thanks!

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Tue, Jan 22, 2008 9:34 AM  
**Subject:** Public Affairs site review

Andrea,

How do you want to set up these meetings? I have them starting at 1:00, but I'd like to narrow down the time for each person a bit more - I told them just to keep time open in the afternoon. Some of these meetings will take longer than others - any thoughts? I've grouped them by the records below:

- \* Strategic Communications - Communication Plan
- \* Intelligence and Ops Communications - Fact Sheets, Joint Special Assessments, Management Reports, Public Affairs Guidance,
- \* Internal Communications - Newsletter, Request to Use the DHS Seal
- \* Technical Planning and Operations - Photos and Slides
- \* Press Secretary - Press Conference Records
- \* Speechwriter - Speeches

Multi-media project files are handled by a person located in CA. Also, I'm still trying to work out the info on the video, but I can see if the Chief of Staff can help with that.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Mon, Jan 28, 2008 2:09 PM  
**Subject:** RE: Public Affairs

Okay - 10:30 with Mike is confirmed.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Monday, January 28, 2008 1:56 PM  
To: Tammy <CTR> Hudson  
Cc: Julie Hunsaker  
Subject: RE: Public Affairs

Yes. We have a few questions not answered by the attachment you sent last week. It should be pretty brief. A telecon would work, but since we'll be there anyway it's probably easier.

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 1/28/2008 1:30 PM >>>

You need this in addition to what I sent you last Thursday? If you do, it's not a problem - we can schedule time for that. Just wanted to make sure. Would 10:30 work for that then?

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Monday, January 28, 2008 1:23 PM  
To: Tammy <CTR> Hudson  
Cc: Julie Hunsaker  
Subject: RE: Public Affairs

I still need to take a look at the CONOPS document. Julie thinks that if we could get a description of the program, a reference to the regulation that governs it, or some SOPs or something that explains their process, we would have the information that we need. So, if we can get any of those we probably don't need to meet. Otherwise, I imagine half an hour or so would be sufficient.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 1/28/2008  
1:10 PM >>>  
Do you still want to meet with Communications Monitoring that morning  
too?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Monday, January 28, 2008 1:02 PM  
To: Tammy <CTR> Hudson  
Cc: Julie Hunsaker  
Subject: RE: Public Affairs

Julie and I will be there at 9:30.

Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 1/28/2008  
12:54 PM >>>  
Can you be here at either 9:30 or 10:00 on the 4th? He has a meeting  
at  
11, but said he can meet before that.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Monday, January 28, 2008 9:00 AM  
To: Tammy <CTR> Hudson  
Subject: Re: Public Affairs

Tammy,

I do want to come back on the 4th to finish up the OPA records. I  
need  
to see someone about biographies, fact sheets, joint special  
assessments, management reports, newsletters, Public Affairs Guidance  
(PAG), and speeches. The biographies and newsletters are less of an  
issue, and if I can just see an example, that should suffice.

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 1/28/2008  
6:32 AM >>>  
Andrea,

Let me know if you still want to meet with the last Public Affairs person that wasn't available last Thursday. If you do, I'll try and set that up for next Monday the 4th.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)



**From:** Andrea Loiselle  
**To:** Tammy.Hudson@associates.dhs.gov  
**Date:** 3/28/2008 8:19:34 AM  
**Subject:** Office of Public Affairs

Tammy,

Back on March 11 I sent some minor revisions to the schedule. If you've had time to make changes, can you please send me the revised version.

I received Bobbie Ferguson's response, and I think it covers what I basically need to know, so now I'm just waiting on Barry's response. If I can get that next week I hope to get the appraisal done and moved forward by the end of the week.

Thanks,  
Andrea

**Julie Hunsaker - NARA Schedule Inquiries**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 5/1/2008 7:44 AM  
**Subject:** NARA Schedule Inquiries  
**CC:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>

---

Julie,

Could you please make sure that NARA personnel do not directly contact DHS personnel on schedule questions unless we specifically authorize it?

(b)(6) [REDACTED] contacted me Tuesday, 4/29, about a question on the Classification Management schedule. The person we had originally worked with on this schedule has retired and the new contact was out of the office until 5/1. [REDACTED] was informed of this and was told we would contact the person upon their return.

(b)(6) [REDACTED] contacted me yesterday and told me that [REDACTED] had called around and found someone to ask the questions to. This person [REDACTED] spoke to is not the new contact and is not someone we have dealt with at all during the scheduling process. [REDACTED] stated that he needed this information for the "month end push".

We understand that you have deadlines, but we need to make sure that the appropriate contact procedures are followed. If information needs to be adjusted on the schedule, that needs to be completed at our end; going around the process creates the possibility of either DHS or NARA having inaccurate information.

Thank you,

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - Re: NARA Schedule Inquiries**

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 5/1/2008 8:35 AM  
**Subject:** Re: NARA Schedule Inquiries  
**CC:** Schultz, Kathy

---

Tammy, (b)(6) (b)(6)

Absolutely - I'll talk to [REDACTED] about this. Thanks for bringing this to my attention.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/1/2008 7:43 AM >>>  
Julie,

Could you please make sure that NARA personnel do not directly contact DHS personnel on schedule questions unless we specifically authorize it?

(b)(6) [REDACTED] contacted me Tuesday, 4/29, about a question on the Classification Management schedule. The person we had originally worked with on this schedule has retired and the new contact was out of the office until 5/1. [REDACTED] was informed of this and was told we would contact the person upon their return.

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We understand that you have deadlines, but we need to make sure that the appropriate contact procedures are followed. If information needs to be adjusted on the schedule, that needs to be completed at our end; going around the process creates the possibility of either DHS or NARA having inaccurate information.

Thank you,

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - Re: US Persons Data

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 3/6/2008 9:58 AM  
**Subject:** Re: US Persons Data

---

Tammy,

Good question. Any disposition instruction approved for a specific e-system cannot be used for any other system. This is also true if a disposition instruction is written for a specific office; it can't be used by any other office (unless a specific function moves to another office). But, for example, a correspondence item approved for I&A couldn't be used by S&T.

If DHS wants to write a policy for how to treat US Persons data across all e-systems, the SF 115 would need to make it clear that it would have broad applicability. When we reviewed that SF 115, we would need to have access to information about each/most of the e-systems it would apply to.

This issue is really based on the approach agencies choose to take with scheduling records; there's a micro approach and a macro approach. The micro approach with e-records is to schedule each system, one-by-one, name-by-name. These disposition instructions are not transferrable to any other system. The macro approach (which we call the big bucket approach) is to schedule systems by writing disposition instructions that would apply to groups/categories/classes of e-systems/records. These systems/records would have to share something in common, like a common function. Then, the description of that group of records and the associated disposition instruction would apply to any systems/records that fall under it; either present or future. This approach takes a bit more up-front work because it involves gathering information about all/most of the systems that currently fall under the item, but it has more longevity and broader applicability.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/6/2008 9:19 AM >>>  
Julie,

We have a schedule that we included items for US Persons data, but we specifically wrote the description to that system. We now have another system that will contain US Persons data - do we need to draft new items for that information in the new schedule or can we reference the approved disposition for the 24 Hr Log schedule?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - US Persons

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/4/2008 11:28 AM  
**Subject:** US Persons

---

Julie,

I think we spoke about this before, but just in case...I ran this by Kathy yesterday and she suggested I talk to you.

US Persons – we initially had this as an item on one of the I&A system schedules (IWW 24 Hr Log) – since then, we've had several more systems between I&A and NPPD that contain this information. Can we categorize these items on their own schedule and then just site the authority for the system info, or do we need to include this information on each of the system schedules?

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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

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**Department of Homeland Security**

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**US Persons**

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US Persons data must be identified to ensure compliance with U.S. Intelligence Oversight rules. US Person data is information pertaining to: a person who is a lawful permanent resident as defined in 8 U.S.C. 1101(a)(20) or who is a protected individual as defined by 8 U.S.C. 1324b(a)(3). It also means any corporation, business association, partnership, society, trust, or any other entity, organization or group that is incorporated to do business in the U.S. It also includes any governmental (federal, state or local), entity.

All US Person data must be reviewed on an annual basis to determine if there is an ongoing mission need to retain the information.

---

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

---

**Categorized Records**

**File Plan:** 113-214

At the expiration date (or any time beforehand) a record can be reviewed and certified that there is still a mission need to retain the information. The expiration date will then be set for an additional year out. This can go on for as long as the information is deemed necessary for the mission. If a record arrives at its expiration date without being reviewed and approved, the record will be destroyed or deleted.

**Disposition:**

- a. Records reviewed / certification removed  
TEMPORARY. Destroy or delete immediately upon removal of certification.
- b. Records reaching the expiration date without review / renewal  
TEMPORARY. Cut off one year from date of categorization. Destroy or delete immediately upon cutoff.

**Uncategorized Records**

**File Plan:** 113-214

This same functionality exists for the uncategorized records, however with the 180 day deadline as opposed to the 1 year timeframe. If a category is determined for such a record, an update can be made and the record will then be set with a 1 year out expiration date.

**Disposition:**

- a. Records reviewed / certification removed  
TEMPORARY. Destroy or delete immediately upon removal of certification.
- b. Records reaching the expiration date without review / renewal  
TEMPORARY. Cut off 180 days from date identified. Destroy or delete immediately upon cutoff.

**Julie Hunsaker - Re: US Persons**

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 6/19/2008 2:40:57 PM  
**Subject:** Re: US Persons

---

Tammy,

Is the question whether a schedule can cover a certain TYPE of data within a record? Conceptually, this can be done. The devil's in the details, though - how it's done. Let's talk about this. I'll give you a call.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/4/2008 11:27:27 AM >>>  
Julie,

I think we spoke about this before, but just in case. I ran this by Kathy yesterday and she suggested I talk to you.

US Persons - we initially had this as an item on one of the I&A system schedules (IWW 24 Hr Log) - since then, we've had several more systems between I&A and NPPD that contain this information. Can we categorize these items on their own schedule and then just site the authority for the system info, or do we need to include this information on each of the system schedules?

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - FW: US Persons

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/20/2008 11:43:18 AM  
**Subject:** FW: US Persons

---

fyi

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Broughton, Ole  
**Sent:** Friday, June 20, 2008 11:40 AM  
**To:** Hudson, Tammy <CTR>  
**Cc:** Mason, Quinton  
**Subject:** RE: US Persons

Tammy,

Good morning. The general practice here at I&A is to delete the entire record that contains U.S. Person data if it does not meet our two part Intel Oversight test (1. Do we have the authority to collect the information? 2. Was the information collected in accordance with one or more of our collection categories?).

Best Regards,

Ole

L. A. "Ole" Broughton  
Intelligence Oversight Officer (I&A)  
Department of Homeland Security  
STE III: 202-282-8980  
Unclass: [Ole.Broughton@dhs.gov](mailto:Ole.Broughton@dhs.gov)  
HSDN: [LeRoy.Broughton@dhs.sgov.gov](mailto:LeRoy.Broughton@dhs.sgov.gov)  
JWICS: [labroughton@dhs.ic.gov](mailto:labroughton@dhs.ic.gov)  
Fax: 202-447-3464

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---

**From:** Mason, Quinton  
**Sent:** Friday, June 20, 2008 11:32 AM  
**To:** Broughton, Ole  
**Subject:** FW: US Persons

Ole,



Can you provide some insight to the question below?

Thanks

## Quinton S. Mason

Records and Acting Disclosure Officer  
Department of Homeland Security  
Intelligence and Analysis (I&A)  
(202) 282-9385  
[quinton.mason@dhs.gov](mailto:quinton.mason@dhs.gov)

"It is a thousand times better to have common sense without education than to have education without common sense".

~Robert Green Ingersoll~

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---

**From:** Hudson, Tammy <CTR>  
**Sent:** Friday, June 20, 2008 11:17 AM  
**To:** Mason, Quinton  
**Subject:** US Persons

Quinton,

I have a question about US Persons data in I&A intelligence data. I know that in order for the information to be maintained it must be categorized according to certain standards. Once the categorization is removed, the US Person data is deleted.

The question is – is the entire record deleted or just the particular information on that individual/organization?

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - Re: FW: US Persons**

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 6/24/2008 12:40:40 PM  
**Subject:** Re: FW: US Persons

---

Thanks, Tammy.

In order to process a schedule like this, we'd need to get an idea of which system of records it would affect. Can we get a list of the e-systems the policy would apply to (or at least a list covering the bulk of these systems)?

If any of the systems on the list cover potentially/actually permanent records, we'd need to strategize about how to handle that. (Is selective expunction of certain data an option?)

Also, we'd need to better understand what other data is in these systems that would NOT be covered by any US Person disposition instructions. Generally, with the systems that contain US Persons data, would any other data in the system need to be scheduled or would the US Persons disposition instructions cover the entire systems?

If you'd like to talk this through, let me know.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/20/2008 11:42 AM >>>  
fyi

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Broughton, Ole  
**Sent:** Friday, June 20, 2008 11:40 AM  
**To:** Hudson, Tammy <CTR>  
**Cc:** Mason, Quinton  
**Subject:** RE: US Persons

Tammy,

Good morning. The general practice here at I&A is to delete the entire record that contains U.S. Person data if it does not meet our two part Intel Oversight test (1. Do we have the authority to collect the information? 2. Was the information collected in accordance with one or more of our collection categories?).

Best Regards,

Ole

L. A. "Ole" Broughton  
Intelligence Oversight Officer (I&A)  
Department of Homeland Security  
STE III: 202-282-8980  
Unclas: Ole.Broughton@dhs.gov

HSDN: LeRoy.Broughton@dhs.sgov.gov  
JWICS: labroughton@dhs.ic.gov  
Fax: 202-447-3464

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---

**From:** Mason, Quinton  
**Sent:** Friday, June 20, 2008 11:32 AM  
**To:** Broughton, Ole  
**Subject:** FW: US Persons

Ole,

Can you provide some insight to the question below?

Thanks

**Quinton S. Mason**

Records and Acting Disclosure Officer  
Department of Homeland Security  
Intelligence and Analysis (I&A)  
(202) 282-9385  
[quinton.mason@dhs.gov](mailto:quinton.mason@dhs.gov)

"It is a thousand times better to have common sense without education than to have education without common sense".

~Robert Green Ingersoll~

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---

**From:** Hudson, Tammy <CTR>  
**Sent:** Friday, June 20, 2008 11:17 AM  
**To:** Mason, Quinton  
**Subject:** US Persons

Quinton,

I have a question about US Persons data in I&A intelligence data. I know that in order for the information to be maintained it must be categorized according to certain standards. Once the categorization is removed, the US Person data is deleted.

The question is - is the entire record deleted or just the particular information on that individual/organization?

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - OIG-07-1: Treatment of Immigration Detainees Housed at ICE Facilities**

---

**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 7/14/2008 11:48:04 AM  
**Subject:** OIG-07-1: Treatment of Immigration Detainees Housed at ICE Facilities  
**CC:** "Best, Alexander" <alexander.best@dhs.gov>, "Jordan, Inez" <inez.jordan@dhs.gov>, "Hurley, Kim" <kim.hurley@dhs.gov>

---

Hello. Per your request, attached are 24 binder indexes/table contents related to the work paper binders for OIG Report-07-01, Treatment of Immigration Detainees Housed at ICE Facilities. Please note that the attached files represent most (but not all) of the indexes. We still need to locate some indexes. But before we do, I would appreciate if you review the attached files first. Then if you still need to see the others, please let me know.

If you have questions about the attached files, please contact Alex Best or Inez Jordan in the OIG Office of Audits. Alex Best can be reached by phone at (202) 254-4164 or email at [Alex.Best@dhs.gov](mailto:Alex.Best@dhs.gov). Inez Jordan can be reached by phone at (202) 254-4112 or email at [Inez.Jordan@dhs.gov](mailto:Inez.Jordan@dhs.gov).

Michelle Adler  
DHS Office of Inspector General  
Office of Administration  
(202) 254-4068

## Julie Hunsaker - Re: OIG-07-1: Treatment of Immigration Detainees Housed at ICE Facilities

---

**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 7/16/2008 4:57:35 PM  
**Subject:** Re: OIG-07-1: Treatment of Immigration Detainees Housed at ICE Facilities  
**CC:** Best, Alexander; Hurley, Kim; Jordan, Inez; Macondray, Laurel

---

Michelle,

We've looked over the indexes you sent us. They will suffice as they are fairly comprehensive. There is no need to send us more. Thank you!

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 7/14/2008 11:46 AM >>>

Hello. Per your request, attached are 24 binder indexes/table contents related to the work paper binders for OIG Report-07-01, Treatment of Immigration Detainees Housed at ICE Facilities. Please note that the attached files represent most (but not all) of the indexes. We still need to locate some indexes. But before we do, I would appreciate if you review the attached files first. Then if you still need to see the others, please let me know.

If you have questions about the attached files, please contact Alex Best or Inez Jordan in the OIG Office of Audits. Alex Best can be reached by phone at (202) 254-4164 or email at [Alex.Best@dhs.gov](mailto:Alex.Best@dhs.gov). Inez Jordan can be reached by phone at (202) 254-4112 or email at [Inez.Jordan@dhs.gov](mailto:Inez.Jordan@dhs.gov).

Michelle Adler  
DHS Office of Inspector General  
Office of Administration  
(202) 254-4068

**Julie Hunsaker - 115s**

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 10/24/2007 2:55 PM  
**Subject:** 115s  
**CC:** Cassedy, James; Cotter, Thomas; WG 1

---

Hi, Tammy.

We've decided to simplify the note on the 115 coversheet about inputs, outputs, and documentation covered by the GRS. Before, we were noting the actual item numbers along with the GRS 20 citation (for example, Inputs covered by GRS 20 Item 5) - now when these types of records are not included along with the master file on the 115, we will simply put a note on the cover indicating that they will be covered by "GRS 20" (i.e., we won't go to the extent of citing individual item numbers). Please submit new 115s with this informational note (if applicable).

Please let me know if you have any questions about this.

Julie  
301-837-0661

**Julie Hunsaker - SF 115 Submissions**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 7/1/2008 12:22:28 PM  
**Subject:** SF 115 Submissions  
**CC:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>

---

Julie,

I'm sending the following out today:

Intelligence and Analysis (I&A)

- Domestic Terrorism/Ideologically Based Violence (DTx) Incident Database

National Protection and Programs Directorate (NPPD) common program records

- Office of Cyber Security and Communications program records
- Office of Infrastructure Protection program records
- Office of Risk Management and Analysis program records

NPPD Systems:

- Communication Assets Survey and Mapping Tool (CASM)\
- LENS
- NCAD
- TRIPWire
- INSight
- IDENT
- TRACS

Operations Coordination, Office of

- National Operations Center (NOC) Senior Watch Officer (SWO)/Tracker Logs

Per our previous discussion, I've included a schedule for NPPD Common Records. These were for records that were unique to NPPD, but found across more than one of their divisions. The other change is the Cyber Security and Communications program records schedule. Because of the recent "unannounced" change in program names, it makes more sense to schedule these all under the Division level instead of the program level. That being said, the National Cyber Security Division (NCSD) and National Communications Systems (NCS) schedules will be withdrawn and replaced with the Office of Cyber Security and Communications program records schedule enclosed in the package. The only item this will not affect is the NCS Committee of Principals (COP) schedule. That still is a truly unique item and will remain as a separate item as it was previously submitted. Let me know if this doesn't make sense.

Also, thanks for your help yesterday. You definitely made the whole process make more sense to them.

-tlh

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - Re: SF 115 Submissions

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>; Kathy.Schultz@DHS.GOV  
**Date:** 7/3/2008 5:26:18 PM  
**Subject:** Re: SF 115 Submissions  
**CC:** Woodall, Brian

---

Kathy and Tammy,

Thank you for the information. Per your request we will withdraw schedules with NARA Job Nos. N1-563-08-17 (NCSD Records) and N1-563-08-22 (NCS Program Records). We understand items on forthcoming schedules will replace the items on these schedules.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 7/1/2008 12:21 PM >>>  
 Julie,

I'm sending the following out today:

Intelligence and Analysis (I&A)

- Domestic Terrorism/Ideologically Based Violence (DTx) Incident Database

National Protection and Programs Directorate (NPPD) common program records

- Office of Cyber Security and Communications program records
- Office of Infrastructure Protection program records
- Office of Risk Management and Analysis program records

NPPD Systems:

- Communication Assets Survey and Mapping Tool (CASM)\
- LENS
- NCAD
- TRIPWire
- INSight
- IDENT
- TRACS

Operations Coordination, Office of

- National Operations Center (NOC) Senior Watch Officer (SWO)/Tracker Logs

Per our previous discussion, I've included a schedule for NPPD Common Records. These were for records that were unique to NPPD, but found across more than one of their divisions. The other change is the Cyber Security and Communications program records schedule. Because of the recent "unannounced" change in program names, it makes more sense to schedule these all under the Division level instead of the program level. That being said, the National Cyber Security Division (NCSD) and National Communications Systems (NCS) schedules will be withdrawn and replaced with the Office of Cyber Security and Communications program records schedule enclosed in the package. The only item this will not affect is the NCS Committee of Principals (COP) schedule. That still is a truly unique item and will remain as a separate item as it was previously submitted. Let me know if this doesn't make sense.

Also, thanks for your help yesterday. You definitely made the whole process make more sense to them.

-tlh



**Julie Hunsaker - NCS SF 115**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/20/2008 11:50:32 AM  
**Subject:** NCS SF 115

---

Julie,

I'm sorry – I don't want to make more work for you.

When we talked about making a general NPPD schedule, there were a couple items on the NCS schedule that could be pulled that were not unique to them. Attached is the 115 that just contains the unique NCS records (there were only 3 removed).

The COP schedule will remain as is.

Let me know if there are any questions.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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

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**National Protection and Programs Directorate**

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The genesis of the National Communications System (NCS) began in 1962 after the Cuban missile crisis when communications problems among the United States, the Union of Soviet Socialist Republics, the North Atlantic Treaty Organization, and foreign heads of state threatened to complicate the crisis further. After the crisis, President John F. Kennedy ordered an investigation of national security communications, and the National Security Council (NSC) formed an interdepartmental committee to examine the communications networks and institute changes. This interdepartmental committee recommended the formation of a single unified communications system to serve the President, Department of Defense, diplomatic and intelligence activities, and civilian leaders. Consequently, in order to provide better communications support to critical Government functions during emergencies, President Kennedy established the National Communications System by a Presidential Memorandum on August 21, 1963. The NCS mandate included linking, improving, and extending the communications facilities and components of various Federal agencies, focusing on interconnectivity and survivability.

On April 3, 1984, President Ronald Reagan signed Executive Order (E.O.) 12472 which broadened the NCS' national security and emergency preparedness (NS/EP) capabilities and superseded President Kennedy's original 1963 memorandum. The NCS expanded from its original six members to an interagency group of 23 Federal departments and agencies, and began coordinating and planning NS/EP telecommunications to support crises and disasters.

With the addition of the Office of the Director, National Intelligence in September 2007, the NCS membership currently stands at 24 members.

After nearly 40 years with the Secretary of Defense serving as its Executive Agent, President George W. Bush transferred the National Communications System to the Department of Homeland Security (DHS).

The mission of the NCS is to assist the President, the National Security Council, the Director of the Office of Science and Technology Policy and the Director of the Office of Management and Budget in (1) the exercise of the telecommunications functions and responsibilities, and (2) the coordination of the planning for and provision of national security and emergency preparedness communications for the Federal government under all circumstances, including crisis or emergency, attack & recovery and reconstitution.

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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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**U.S. Department of Homeland Security  
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**1 Delegation/Meeting Files**

Contains meeting announcements, schedules and participant lists; may also include, topics of discussions, issue and talking points, biographies, summary and/or position papers and information and background.

**Disposition:**

TEMPORARY. Cut off annually. Destroy or delete 3 years after cutoff.

**2 Federal Telecommunications Recommendations (FTR)**

Issued by the Technology and Standards Division, after approval by the Federal Telecommunication Standards Committee and the Deputy Manager, NCS, pursuant to Executive Order 12472, NCS Directive 4-1, and Public Law 104-113.

**Disposition:**

TEMPORARY. Review annually. Cut off files that have had no action in 5 years. Destroy or delete at cutoff.

**3 Federal Telecommunications Standard Committee (FTSC)**

Committees established by agency authority for facilitative or operational purposes, related to the agency's mission, e.g. committees tasked with reviewing policy, studying reorganizations, recommending new actions or developing multi-year plans.

**Disposition:**

TEMPORARY. Cut off on termination of committee. Destroy or delete 2 years after cutoff.

Records created by committees, including agenda, minutes, reports, and related records documenting the accomplishments, policies, and membership of committees.

Files that relate to day-to-day committee activities and/or do not contain unique information of historical value, including such records as:

- correspondence
- other routine records, such as public mail, requests for information, consultant personnel files, etc.

**U.S. Department of Homeland Security  
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**4 Federal Telecommunications Standard Committee (FTSC)**

Copies of committee records, such as agendas, meeting minutes, final reports and related records created by or documenting the accomplishments of committees, excluding those kept by the sponsor or Secretariat.

**Disposition:**

TEMPORARY. Destroy or delete when 3 years old.

**U.S. Department of Homeland Security  
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**5 Federal Telecommunications Standard Committee (FTSC)**

In accordance with Executive Order 12472 relating to the Management responsibilities for the FTSP, the Manager, NCS established the Federal Telecommunications Standard Committee (FTSC) in which NCS member agencies may participate. Other Federal agencies may participate with concurrence of the Manager, NCS. The FTSC is chaired by the Assistant Manager, Office of Technology and Standards.

Files documenting the Committee's establishment, membership, policy, organization, deliberations, findings, and recommendations, including such records as

- original charter, renewal and amended charters, organization charts, functional statements, directives or memorandums to staff concerning their responsibilities, and other materials that document the organization and functions of the Committee and its components
- agendas, briefing books, minutes, testimony, and transcripts of meetings and hearings as well as audiotapes and/or videotapes of meetings and hearings which were not fully transcribed
- one copy each of reports, studies, pamphlets, posters (2 copies) and other publications produced by or for the committee as well as news releases, commissioners' speeches, formal photographs and other significant public affairs files
- correspondence, subject and other files maintained by key committee staff, such as the chair, executive director, and legal counsel, documenting the functions of the committee
- substantive records relating to research studies and other projects, including unpublished studies and reports and substantive research materials (may include electronic data).
- questionnaires, surveys and other raw data accumulated in connection with research studies and other projects where the information has been consolidated or aggregated in analyses, reports, or studies covered by Item 2(a) (may include data maintained electronically).
- Records created to comply with the provisions of the Government in the Sunshine Act, annual reports to Congress describing the agency's compliance with the act.

**Disposition:**

PERMANENT. Transfer to the National Archives on termination of the Committee. Earlier periodic transfers are authorized for committees operating for 3 years or longer.

**U.S. Department of Homeland Security  
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- Documentation of subcommittees, working groups, or other subgroups of advisory committees, that support their reports and recommendations to the full or parent committee. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records.
- Documentation of formally designated subcommittees and working groups. This documentation may include, but is not limited to minutes, transcripts, reports, correspondence, briefing materials, and other related records.

**6 Technical Information Bulletins/Tech Notes**

Describes the non-proprietary concepts and protocols that were components of the responses to a request for information (RFI), in addition to information obtained from sources such as standard bodies, technology forums, technology magazines, and professional organizations

These reports are published electronically, collected into a formal series, and are assigned an identifier (report number, volume number).

**Disposition:**

TEMPORARY. Review annually. Cut off files that have had no action in 5 years. Destroy or delete at cutoff.

**7 Test and Evaluation Files**

Consists of the following:

- Test Evaluation Master Plan developed by system, of how test evaluations will be carried out and documented.
- Integrated Master Schedule that plots dates and schedules for evaluations
- Analysis of Alternatives for evaluations of alternative designs based on performance, cost, schedule and risk criteria
- Performance specifications
- Joint capability and capability design documents
- Test evaluation results
- Concept of Operations

**Disposition:**

a. Test Project file (excluding Final Report)  
TEMPORARY. Destroy or delete 5 years after completion or cancellation of project or 1 year after responsible office determines it is no longer needed for legal, audit, administrative or business purposes.

b. Final Report  
TEMPORARY. Review annually. Cut off inactive files that have had no action in 5 years. Destroy or delete at cutoff.

## Julie Hunsaker - Re: NCS SF 115

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 6/20/2008 12:17:04 PM  
**Subject:** Re: NCS SF 115

---

Thanks, Tammy. I'll try to wrap my mind around the big picture and get back to you early next week. Trying to meet a couple deadlines today . . .

Thanks also for the US Persons info. I want to talk to Wilda about it before we take the next step. I think we can also work something out for it next week.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/20/2008 11:49 AM >>>  
Julie,

I'm sorry - I don't want to make more work for you.

When we talked about making a general NPPD schedule, there were a couple items on the NCS schedule that could be pulled that were not unique to them. Attached is the 115 that just contains the unique NCS records (there were only 3 removed).

The COP schedule will remain as is.

Let me know if there are any questions.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - DHS SF 115 Submissions to NARA**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/18/2008 9:06:20 AM  
**Subject:** DHS SF 115 Submissions to NARA

---

Julie,

We just received the approval to submit the following schedules to NARA. Unfortunately, Kathy's on vacation and will return on 6/30, so we can't get the SF 115s signed, but here's an advanced warning on what you'll receive that week:

Intelligence and Analysis (I&A)

- Domestic Terrorism/Ideologically Based Violence (DTx) Incident Database
- Intelligence and Information Fusion (I2F)
- Organizational Shared Space (OSS)
- Pantheon
- Pathfinder

National Protection and Programs (NPPD)

- Office of Emergency Communications (OEC) program records
  - Communication Assets Survey and Mapping Tool (CASM)
- Office of Infrastructure Protection program records
  - Protective Security Division
    - LENS
    - NCAD
    - TRIPWire
  - National Infrastructure Coordination Center/INSight
- US-VISIT
  - IDENT
  - TRACS

Operations Coordination, Office of

- National Operations Center (NOC) Senior Watch Officer (SWO)/Tracker Logs

**\*\*Office of Emergency Communications (OEC) and Office of Infrastructure Protection are the program records. All other items listed are electronic systems.**

-tlh

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)



## Julie Hunsaker - Re: DHS SF 115 Submissions to NARA

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**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 6/18/2008 4:42:48 PM  
**Subject:** Re: DHS SF 115 Submissions to NARA

---

Thanks, Tammy!

Regarding Pantheon, I believe it's already covered by a media neutral item on the schedule just approved for I&A. See Item 5 on the attached. (Attached is a copy of either the final or near-final I&A 115. I'd have to go to our paper files to find out for sure. But I do recall that Item 5 on the approved schedule does contain "(e.g. Pantheon)" in the item description.)

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/18/2008 9:05 AM >>>  
 Julie,

We just received the approval to submit the following schedules to NARA. Unfortunately, Kathy's on vacation and will return on 6/30, so we can't get the SF 115s signed, but here's an advanced warning on what you'll receive that week:

### Intelligence and Analysis (I&A)

- Domestic Terrorism/Ideologically Based Violence (DTx) Incident Database
- Intelligence and Information Fusion (I2F)
- Organizational Shared Space (OSS)
- Pantheon
- Pathfinder

### National Protection and Programs (NPPD)

- Office of Emergency Communications (OEC) program records
  - Communication Assets Survey and Mapping Tool (CASM)
- Office of Infrastructure Protection program records
  - Protective Security Division
    - LENS
    - NCAD
    - TRIPWire
  - National Infrastructure Coordination Center/INSight
- US-VISIT
  - IDENT
  - TRACS

### Operations Coordination, Office of

- National Operations Center (NOC) Senior Watch Officer (SWO)/Tracker Logs

\*\*Office of Emergency Communications (OEC) and Office of Infrastructure Protection are the program records. All other items listed are electronic systems.

-tlh

**U.S. Department of Homeland Security  
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**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  
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**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  
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**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.

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/18/2008 6:01:20 PM  
**Subject:** RE: DHS SF 115 Submissions to NARA

You're right, but there is US Persons data involved, so unless we do something to cover all those records Department-wide, then I'll have to submit that part of the schedule.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207-E (202) 282-8562  
tammy.hudson@associates.dhs.gov

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From: Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
Sent: Wed 6/18/2008 4:42 PM  
To: Tammy <CTR> Hudson  
Subject: Re: DHS SF 115 Submissions to NARA

Thanks, Tammy!

Regarding Pantheon, I believe it's already covered by a media neutral item on the schedule just approved for I&A. See Item 5 on the attached. (Attached is a copy of either the final or near-final I&A 115. I'd have to go to our paper files to find out for sure. But I do recall that Item 5 on the approved schedule does contain "(e.g. Pantheon)" in the item description.)

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/18/2008 9:05 AM >>>

Julie,

We just received the approval to submit the following schedules to NARA. Unfortunately, Kathy's on vacation and will return on 6/30, so we can't get the SF 115s signed, but here's an advanced warning on what you'll receive that week:

Intelligence and Analysis (I&A)

- \* Domestic Terrorism/Ideologically Based Violence (DTx) Incident Database
- \* Intelligence and Information Fusion (I2F)
- \* Organizational Shared Space (OSS)
- \* Pantheon

- \* Pathfinder

National Protection and Programs (NPPD)

- \* Office of Emergency Communications (OEC) program records
  - o Communication Assets Survey and Mapping Tool (CASM)
- \* Office of Infrastructure Protection program records
  - o Protective Security Division
- \* LENS
- \* NCAD
- \* TRIPWire
  - o National Infrastructure Coordination Center/INSight
- \* US-VISIT
  - o IDENT
  - o TRACS

Operations Coordination, Office of

- \* National Operations Center (NOC) Senior Watch Officer (SWO)/Tracker Logs

\*\*Office of Emergency Communications (OEC) and Office of Infrastructure Protection are the program records. All other items listed are electronic systems.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

## Julie Hunsaker - RE: DHS SF 115 Submissions to NARA

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**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 6/19/2008 2:34:58 PM  
**Subject:** RE: DHS SF 115 Submissions to NARA

---

Okay, got it. I'll reply to your 6/4 email with the info I have re scheduling US Persons data.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/18/2008 5:59:52 PM >>>  
You're right, but there is US Persons data involved, so unless we do something to cover all those records Department-wide, then I'll have to submit that part of the schedule.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207-E (202) 282-8562  
tammy.hudson@associates.dhs.gov

---

From: Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
Sent: Wed 6/18/2008 4:42 PM  
To: Tammy <CTR> Hudson  
Subject: Re: DHS SF 115 Submissions to NARA

Thanks, Tammy!

Regarding Pantheon, I believe it's already covered by a media neutral item on the schedule just approved for I&A. See Item 5 on the attached. (Attached is a copy of either the final or near-final I&A 115. I'd have to go to our paper files to find out for sure. But I do recall that Item 5 on the approved schedule does contain "(e.g. Pantheon)" in the item description.)

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/18/2008 9:05 AM >>>

Julie,

We just received the approval to submit the following schedules to NARA. Unfortunately, Kathy's on vacation and will return on 6/30, so we can't get the SF 115s signed, but here's an advanced warning on what you'll receive that week:

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- \* US-VISIT
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#### Operations Coordination, Office of

- \* National Operations Center (NOC) Senior Watch Officer (SWO)/Tracker Logs

\*\*Office of Emergency Communications (OEC) and Office of Infrastructure Protection are the program records.  
All other items listed are electronic systems.

-tlh

Tammy Hudson



**From:** Thomas Cotter  
**To:** Cassedy, James; Hunsaker, Julie  
**Date:** 9/12/2007 8:52:33 AM  
**Subject:** Fwd: RE: SF 115 System Reports

Fine by me as well.

>>> Julie Hunsaker 9/12/2007 8:31 AM >>>  
Tom — do you have any qualms?

>>> James Cassedy 9/11/2007 3:04 PM >>>  
Fine by me.

JC

James Cassedy  
Archivist, Work Group 4 Leader  
LifeCycle Management Division (NWML)  
National Archives and Records Administration  
8601 Adelphi Road  
College Park, MD 20740  
[james.cassedy@nara.gov](mailto:james.cassedy@nara.gov)  
(301)-837-1584  
301-837-3699 (fax)

>>> Julie Hunsaker 9/11/2007 2:20 PM >>>

Jim, Tom:

When I received this message from Tammy at DHS, I told her to hold off until I ran this approach by you (see below). What do you think?

Julie

>>> "Hudson, Tammy <CTR>" <[Tammy.Hudson@associates.dhs.gov](mailto:Tammy.Hudson@associates.dhs.gov)> 9/11/2007 2:14 PM >>>

Okay, that's easy to modify. We'll test it out with one we're sending the end of this week! (USCIS Ombudsman) -tlh Tammy HudsonContractor - DHS Records ManagementNAC 2, Room 2207 E (202) 282-8562[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

From: Julie Hunsaker [<mailto:Julie.Hunsaker@nara.gov>]  
Sent: Tuesday, September 11, 2007 2:08 PM  
To: Tammy <CTR> Hudson  
Cc: Andrea Loiselle; Brian Woodall; Ivan King; Jennie Guilbaud  
Subject: Re: SF 115 System Reports

Thanks, Tammy. I received the schedules yesterday and am divvying them up today.

I think the version you provide with just the items that need scheduling are fine. If we take this approach, would it be possible to add a note to the 115 simply stating that inputs will be covered by GRS Items \_\_\_\_\_ and outputs (or whatever the items may be) will be covered by GRS Items \_\_\_\_\_? If this type of note doesn't fit into your database, it could show up on the 115 coverage. I think this approach would both simplify the 115s and resolve any questions at the outset about why some expected items don't show up on the form.

In the meantime, for the set we received yesterday, we may go ahead and use the full versions you sent and cross out the GRS items.

Julie

>>> "Hudson, Tammy <CTR>" <[Tammy.Hudson@associates.dhs.gov](mailto:Tammy.Hudson@associates.dhs.gov)> 9/7/2007 6:36 AM >>>  
Julie, I'm sending the schedules today. I attached the full system schedules, but I also attached a copy of a system schedule with just the information that needs scheduling (no GRS or non-record). Let me know if you prefer that - we can send one or both. -tlh Tammy HudsonContractor - DHS Records ManagementNAC 2, Room 2207 E (202) 282-8562[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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## Julie Hunsaker - RE: SF 115 System Reports

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**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 9/12/2007 9:58 AM  
**Subject:** RE: SF 115 System Reports  
**CC:** WG 1

---

Tammy,

It looks like we're all on the same page over here. It's okay to move ahead with the approach discussed below.

One other broad issue I should mention relates to media neutral permanent items. Due to comments we've received from our electronic records office, we are advising agencies:

- \* If the retention period for a media neutral permanent item is longer than 5 years before transfer to NARA,

- \* Then please create within a **single** disposition instruction separate transfer instructions for "paper" (or "non-electronic") records and "electronic" records - with the electronic records being transferred to NARA within 5 years (either as an accession or a pre-accession, if appropriate).

For example:

Disposition: PERMANENT. Cut off annually. Transfer paper records to the National Archives 10 years after cutoff. Transfer electronic records to the National Archives 5 years after cutoff.

or:

Disposition: PERMANENT. Cut off annually. For paper records, transfer physical and legal custody to the National Archives 10 years after cutoff. For electronic records, transfer physical custody to the National Archives 5 years after cutoff and transfer legal custody to the National Archives 10 years after cutoff.

The second example incorporates what we call "pre-accessioning." This is where NARA becomes the physical custodian of records before we become the legal custodian of records - and we do not provide access to the records in the period before we legally accession them. In effect, NARA serves as a sort of off-site storage location for records before we legally accession them - allowing us to take steps to maintain and preserve the electronic records.

We generally approve pre-accessioning for highly sensitive records with access restrictions.

Regarding the package of schedules we just received, we will be working with you to update the transfer instructions for any items in the batch that are media neutral, permanent, and have transfer periods longer than five years. I do not think there were many of these.

Please feel free to give me a call if you have any questions.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 9/11/2007 2:21 PM >>>  
No problem - it won't be ready til Thursday at the earliest.

Tammy Hudson  
Contractor - DHS Records Management

NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, September 11, 2007 2:20 PM  
**To:** Tammy <CTR> Hudson  
**Subject:** RE: SF 115 System Reports

Because USCIS is handled by a different workgroup (WG4) . . . I should run this approach by the WG4 lead and the USCIS appraiser. Let me check with them and get right back with you.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 9/11/2007 2:14 PM >>>  
 Okay, that's easy to modify. We'll test it out with one we're sending the end of this week! (USCIS Ombudsman)

-tlh

Tammy Hudson  
 Contractor - DHS Records Management  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

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**Sent:** Tuesday, September 11, 2007 2:08 PM  
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Thanks, Tammy. I received the schedules yesterday and am divvying them up today.

I think the version you provide with just the items that need scheduling are fine. If we take this approach, would it be possible to add a note to the 115 simply stating that inputs will be covered by GRS Items \_\_\_\_ and outputs (or whatever the items may be) will be covered by GRS Items \_\_\_\_? If this type of note doesn't fit into your database, it could show up on the 115 coverage page. I think this approach would both simplify the 115s and resolve any questions at the outset about why some expected items don't show up on the form.

In the meantime, for the set we received yesterday, we may go ahead and use the full versions you sent and cross out the GRS items.

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>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 9/7/2007 6:36 AM >>>  
 Julie,

I'm sending the schedules today. I attached the full system schedules, but I also attached a copy of a system schedule with just the information that needs scheduling (no GRS or non-record).

Let me know if you prefer that - we can send one or both.

-tlh

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 Contractor - DHS Records Management  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - RE: SF 115 System Reports**

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**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 9/12/2007 10:07 AM  
**Subject:** RE: SF 115 System Reports

---

Sound good.

-tlh

Tammy Hudson  
Contractor - DHS Records Management  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, September 12, 2007 9:59 AM  
**To:** Tammy <CTR> Hudson  
**Cc:** Andrea Loiselle; Brian Woodall; Ivan King; Jennie Guilbaud  
**Subject:** RE: SF 115 System Reports

Tammy,

It looks like we're all on the same page over here. It's okay to move ahead with the approach discussed below.

One other broad issue I should mention relates to media neutral permanent items. Due to comments we've received from our electronic records office, we are advising agencies:

\* If the retention period for a media neutral permanent item is longer than 5 years before transfer to NARA,

\* Then please create within a **single** disposition instruction separate transfer instructions for "paper" (or "non-electronic") records and "electronic" records - with the electronic records being transferred to NARA within 5 years (either as an accession or a pre-accession, if appropriate).

For example:

Disposition: PERMANENT. Cut off annually. Transfer paper records to the National Archives 10 years after cutoff. Transfer electronic records to the National Archives 5 years after cutoff.

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Disposition: PERMANENT. Cut off annually. For paper records, transfer physical and legal custody to the National Archives 10 years after cutoff. For electronic records, transfer physical custody to the National Archives 5 years after cutoff and transfer legal custody to the National Archives 10 years after cutoff.

The second example incorporates what we call "pre-accessioning." This is where NARA becomes the physical custodian of records before we become the legal custodian of records - and we do not provide access to the records in the period before we legally accession them. In effect, NARA serves as a sort of off-site storage location for records before we legally accession them - allowing us to take steps to maintain and preserve the electronic records.

We generally approve pre-accessioning for highly sensitive records with access restrictions.

## Julie Hunsaker - Upcoming Schedules

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>; Kathy.Schultz@DHS.GOV  
**Date:** 3/31/2008 10:20 AM  
**Subject:** Upcoming Schedules

---

Hi, Kathy and Tammy.

We'd like to get a sense of what's coming down the pike in terms of scheduling. Do you have a sense of how many schedules your agency might send to us during this next quarter (April-June)?

Also, do you possibly have a sense of how many items might be on these schedules - and the percentage of the items that may cover electronic records?

Any ballpark figures you could send me would be much appreciated.

Thank you!

Julie

## Julie Hunsaker - RE: Upcoming Schedules

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>, "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**Date:** 3/31/2008 10:52 AM  
**Subject:** RE: Upcoming Schedules

---

Julie,

My rough guess would be 5-6 program schedules, 10 system schedules and maybe 2 more agency wide schedules

-tlh

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, March 31, 2008 10:21 AM  
**To:** Tammy <CTR> Hudson; Schultz, Kathy  
**Subject:** Upcoming Schedules

Hi, Kathy and Tammy.

We'd like to get a sense of what's coming down the pike in terms of scheduling. Do you have a sense of how many schedules your agency might send to us during this next quarter (April-June)?

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Any ballpark figures you could send me would be much appreciated.

Thank you!

Julie

## Julie Hunsaker - RE: Upcoming Schedules

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>; Schultz, Kathy  
**Date:** 3/31/2008 12:59:47 PM  
**Subject:** RE: Upcoming Schedules

---

Thank you, Tammy!

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/31/2008 10:36 AM >>>  
Julie,

My rough guess would be 5-6 program schedules, 10 system schedules and maybe 2 more agency wide schedules

-tlh

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, March 31, 2008 10:21 AM  
**To:** Tammy <CTR> Hudson; Schultz, Kathy  
**Subject:** Upcoming Schedules

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Any ballpark figures you could send me would be much appreciated.

Thank you!

Julie



## Julie Hunsaker - Schedules to NARA

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 5/20/2008 8:19 AM  
**Subject:** Schedules to NARA  
**CC:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>

---

Julie,

Just want to give you a heads up of what will be coming your way...

I will be sending 2 system schedules (with PIAs) tomorrow:

- Homeland Security Information Network (HSIN) – Ops Center
- National Biosurveillance Integration System (NBIS) 2.0 – Office of Health Affairs

Additionally, we have 5 program and 6 more system schedules awaiting OGC approval. Those will be submitted as soon as the final DHS approval is received.

### Program Schedules:

- Office of General Counsel (OGC)
- National Protection and Programs Directorate (NPPD)
  - National Communications System (NCS)
    - Committee of Principals
  - Office of Infrastructure Protection (IP)
  - Risk Management and Analysis (RMA)

### Systems:

- National Protection and Programs Directorate (NPPD)
  - INSight
  - Linked Encrypted Network System (LENS)
  - National Capabilities Analysis Database (NCAD)
  - TRIPwire
- US-VISIT
  - Automated Biometric Identification System (IDENT)
  - Technical Reconciliation Analysis Classification System (TRACS)

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - Re: Schedules to NARA**

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 5/20/2008 8:49 AM  
**Subject:** Re: Schedules to NARA  
**CC:** Schultz, Kathy

---

Thank you for letting us know what's on the way! We appreciate the heads-up.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/20/2008 8:19 AM >>>  
 Julie,

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-tlh

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - Re: FW: NARA Update for Records**

---

**From:** Julie Hunsaker  
**To:** Schultz, Kathy  
**Date:** 4/24/2008 3:51:57 PM  
**Subject:** Re: FW: NARA Update for Records  
**CC:** Gerhart, Joseph M; Jackson, Lawan; King, Ivan

---

Kathy and Joseph,

Thank you for pointing out this discrepancy. I will take this from here and see the allocation statements for both ICE and TSA are updated and show FAMS as part of TSA.

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 4/24/2008 3:42 PM >>>

Julie,

How should be handle the issue that Joe mentions below?

Thanks.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Gerhart, Joseph M [<mailto:joseph.m.gerhart@dhs.gov>]  
**Sent:** Thursday, April 24, 2008 3:18 PM  
**To:** Schultz, Kathy  
**Subject:** NARA Update for Records

Kathy:

Do we need to update this NARA Record Group Description that was originally issued since it has FAMS records under ICE which now belong to TSA.

<<NARA work.pdf>>

If so do we do or do you(DHS) have to do?

Joseph Gerhart

Chief, Records Branch

Office of Asset Management

DHS - Immigration and Customs Enforcement (ICE)

202-305-3014

[joseph.m.gerhart@dhs.gov](mailto:joseph.m.gerhart@dhs.gov)

**Julie Hunsaker - Record Cutoffs**

---

**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/5/2008 2:40 PM  
**Subject:** Record Cutoffs

---

Hi Julie. Please save this email. If time permits during our telecon, I'd like to discuss with you more about record cutoffs. The text below comes from the *Disposition of Federal Records: A Records Management Handbook*. I will be referring to it when I ask you my questions. Thanks.

-----

**For records with retention periods of 1 year or more:**

Cut off at the end of each fiscal (or calendar) year.

- For example, if the disposition for a correspondence file is "destroy when 3 years old", then destroy it 3 years after the annual cutoff.

**For records with retention periods based on an event or action:**

Cut off on the date the event occurs or the action is completed and then apply the retention period.

- For example, if the disposition for case working papers is "destroy when related case file is closed," then cut off and destroy the working papers when closing the related file.

**For records with retention periods based on a specified time period after an event or action:**

Place in an inactive file on the date the event occurs or the action is completed and cut off the inactive file at the end of each fiscal (or calendar) year; then apply the retention period.

- For example, if the disposition for a case file is "destroy 6 years after case is closed," then destroy 6 years after the annual cutoff along with other case files closed during that year.

[illegible]

[illegible]

[illegible]



[illegible]

[illegible]

[illegible]

Job No	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-463-07-1	Exec Sec Corresp Tracking System	10/1/2006	Amentrout	Kathy Schultz	12/8/2006	;NARA sent question to agency.	

Job No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-463-07-1	Exec Sec Corresp Tracking System	10/1/2006	Armentrout	Kathy Schultz	12/8/2006	NARA sent question to agency.	

[illegible]



[illegible]

[illegible]



[illegible]

[illegible]

[illegible]

[illegible]

Job. No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-563-07-1	Exec Sec Corresp Tracking System	10/1/2006	LOISELLE	Kathy Schultz	9/17/2007	Reassigned.	
N1-563-07-2	Homeland Security Info Network (HSIN)	2/23/2007	LOISELLE	Kathy Schultz	9/17/2007	Reassigned.	
N1-563-07-3	History Office	2/28/2007	KING	Kathy Schultz	9/14/2007	Schedule sent to agency for revision.	
N1-563-07-4	Management Directives & Delegations of Authority	2/28/2007	KING	Kathy Schultz	9/14/2007	Schedule sent to agency for revision.	
N1-563-07-5	OIG Investigative Case Files and Data Management System	2/28/2007	WOODALL	Kathy Schultz	9/26/2007	Sent for approval by the Archivist.	
N1-563-07-6	Civil Rights & Civil Liberties Case	5/24/2007	KING	Kathy Schultz	9/28/2007	Registered	
N1-563-07-7	Chemical Security Assessment Tool (CSAT)	5/31/2007	LAURA MCHALE (Phila.)	Kathy Schultz	9/4/2007	Published in the Federal Register. Notice expires 10/4/07	
N1-563-07-8	Critical Infrastructure Warning Info Network (CWIN)	5/31/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	9/28/2007	Federal Register publication process initiated.	
N1-563-07-9	Priority Telecommunications System (PTS)	5/31/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	9/28/2007	Ongoing appraisal work being conducted. (NARA will contact DHS with an additional question.)	
N1-563-07-10	Master Station Log (MSL)	6/15/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	9/21/2007	Published in the Federal Register. Notice expires 10/22/07.	
N1-563-07-11	Intelligence Watch and Warning 24 Hour Log database	7/17/2007	HUNSAKER	Kathy Schultz	9/4/2007	Published in the Federal Register. Notice expires 10/4/07.	
N1-563-07-12	Priority Telecommunications Service records	8/7/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	9/28/2007	Federal Register publication process initiated.	
N1-563-07-13	Executive Level Records	9/6/2007	LOISELLE	Kathy Schultz	9/7/07	Registered	
N1-563-07-14	Operations Directorate COOP/Personnel Dtbs	9/12/2007	LOISELLE	Kathy Schultz	9/27/2007	Federal Register publication process initiated.	
N1-563-07-15	Repeat and Disruptive Callers Dtbs	9/12/2007	LOISELLE	Kathy Schultz	9/27/2007	Federal Register publication process initiated.	
N1-563-07-16	Office of Intelligence & Analysis Program Records	9/12/2007	LOISELLE	Kathy Schultz	9/13/2007	Registered	
N1-563-07-17	Office of Public Affairs Program Records	9/12/2007	LOISELLE	Kathy Schultz	9/13/2007	Registered	
N1-563-07-18	SAFECOM Baseline Searchable Database System	9/13/2007	LOISELLE	Kathy Schultz	9/13/2007	Registered	
N1-563-07-19	DisasterHelp.gov	9/13/2007	LOISELLE	Kathy Schultz	9/13/2007	Registered	
N1-563-07-20	Science & Technology Directorate Program Records	9/14/2007	KING	Kathy Schultz	9/28/2007	Registered	
N1-563-07-21	Product Idea / Technology Gap Request System	9/14/2007	KING	Kathy Schultz	9/25/2007	Registered	
N1-563-07-22	Technology Clearinghouse System	9/14/2007	KING	Kathy Schultz	9/25/2007	Registered	
N1-563-07-23	SAFETY Action System	9/14/2007	KING	Kathy Schultz	9/25/2007	Registered	



Job. No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-563-07-1	Exec Sec Corresp Tracking System	10/1/2006	LOISELLE	Kathy Schultz	10/26/2007	Appraisal meeting set for 11/1/07.	
N1-563-07-3	History Office	2/28/2007	KING	Kathy Schultz	10/31/2007	Revised schedule received.	
N1-563-07-4	Management Directives & Delegations of Authority	2/28/2007	KING	Kathy Schultz	10/29/2007	Sent for approval by the Archivist.	
N1-563-07-6	Civil Rights & Civil Liberties Case	5/24/2007	KING	Kathy Schultz	10/16/2007	Appraisal meeting held.	
N1-563-07-8	Critical Infrastructure Warning Info Network (CWIN)	5/31/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	10/18/2007	Published in the Federal Register. Notice expires 11/19/07.	
N1-563-07-9	Priority Telecommunications System (PTS)	5/31/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	10/24/2007	Federal Register publication process initiated.	
N1-563-07-12	Priority Telecommunications Service records	8/7/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	10/18/2007	Published in the Federal Register. Notice expires 11/19/07.	
N1-563-07-13	Executive Level Records	9/6/2007	LOISELLE	Kathy Schultz	10/26/2007	Appraisal meeting set for 11/1/07.	
N1-563-07-14	Operations Directorate COOP/Personnel Dtbs	9/12/2007	LOISELLE	Kathy Schultz	10/18/2007	Published in the Federal Register. Notice expires 11/19/07.	
N1-563-07-15	Repeat and Disruptive Callers Dtbs	9/12/2007	LOISELLE	Kathy Schultz	10/18/2007	Published in the Federal Register. Notice expires 11/19/07.	
N1-563-07-16	Office of Intelligence & Analysis Program Records	9/12/2007	LOISELLE	Kathy Schultz	10/10/2007	Agency contacted for appraisal visit appointment.	
N1-563-07-17	Office of Public Affairs Program Records	9/12/2007	LOISELLE	Kathy Schultz	10/19/2007	NARA sent request for information to agency.	
N1-563-07-18	SAFECOM Baseline Searchable Database System	9/13/2007	LOISELLE	Kathy Schultz	10/24/2007	Schedule sent to agency for revision.	
N1-563-07-20	Science & Technology Directorate Program Records	9/14/2007	KING	Kathy Schultz	10/16/2007	Appraisal meeting held.	
N1-563-07-21	Product Idea / Technology Gap Request System	9/14/2007	KING	Kathy Schultz	10/16/2007	Appraisal meeting held.	
N1-563-07-22	Technology Clearinghouse System	9/14/2007	KING	Kathy Schultz	10/16/2007	Appraisal meeting held.	
N1-563-07-23	SAFETY Action System	9/14/2007	KING	Kathy Schultz	10/16/2007	Appraisal meeting held.	
N1-563-07-5	OIG Investigative Case Files and Data Management System	2/28/2007	WOODALL	Kathy Schultz	10/11/2007	Signed.	10/16/2007
N1-563-07-11	Intelligence Watch and Warning 24 Hour Log database	7/17/2007	HUNSAKER	Kathy Schultz	10/12/2007	Signed.	10/16/2007
N1-563-07-7	Chemical Security Assessment Tool (CSAT)	5/31/2007	LAURA MCHALE (Phila.)	Kathy Schultz	10/23/2007	Signed.	10/26/2007
N1-563-07-10	Master Station Log (MSL)	6/15/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	10/30/2007	Signed.	
N1-563-07-2	Homeland Security Info Network (HSIN)	2/23/2007	LOISELLE	Kathy Schultz	10/30/2007	Withdrawn.	10/30/2007
N1-563-07-19	DisasterHelp.gov	9/13/2007	LOISELLE	Kathy Schultz	10/30/2007	Withdrawn.	10/30/2007

Job. No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-563-07-1	Exec Sec Corresp Tracking System	10/1/2006	LOISELLE	Kathy Schultz	11/14/2007	Schedule sent to agency for revision.	
N1-563-07-3	History Office	2/28/2007	KING	Kathy Schultz	11/5/2007	Sent to public requester for comment. Comments due 12/5/07.	
N1-563-07-6	Civil Rights & Civil Liberties Case	5/24/2007	KING	Kathy Schultz	11/8/2007	NARA received information requested from agency.	
N1-563-07-9	Priority Telecommunications System (PTS)	5/31/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	11/8/2007	Published in the Federal Register. Notice expires 12/10/07.	
N1-563-07-13	Executive Level Records	9/6/2007	LOISELLE	Kathy Schultz	11/14/2007	Schedule sent to agency for revision.	
N1-563-07-16	Office of Intelligence & Analysis Program Records	9/12/2007	HUNSAKER	Kathy Schultz	11/13/2007	Agency contacted for appraisal visit appointment.	
N1-563-07-17	Office of Public Affairs Program Records	9/12/2007	LOISELLE	Kathy Schultz	11/6/2007	Agency contacted for appraisal visit appointment.	
N1-563-07-18	SAFECOM Baseline Searchable Database System	9/13/2007	LOISELLE	Kathy Schultz	11/28/2007	Schedule forwarded to other NARA unit(s) for review.	
N1-563-07-20	Science & Technology Directorate Program Records	9/14/2007	KING	Kathy Schultz	11/20/2007	NARA received responses to questions sent to agency.	
N1-563-07-21	Product Idea / Technology Gap Request System	9/14/2007	KING	Kathy Schultz	11/1/2007	NARA sent questions to agency.	
N1-563-07-22	Technology Clearinghouse System	9/14/2007	KING	Kathy Schultz	11/1/2007	NARA sent questions to agency.	
N1-563-07-23	SAFETY Action System	9/14/2007	KING	Kathy Schultz	11/16/2007	NARA received information requested from agency.	
N1-563-08-1	CIS Ombudsman Virtual System	10/12/2007	COTTER	Kathy Schultz	11/8/2007	Published in the Federal Register. Notice expires 12/10/07.	
N1-563-07-2	Homeland Security Info Network (HSIN)	2/23/2007	LOISELLE	Kathy Schultz	10/30/2007	Withdrawn.	10/30/2007
N1-563-07-4	Management Directives & Delegations of Authority	2/28/2007	KING	Kathy Schultz	11/6/2007	Signed.	11/19/2007
N1-563-07-5	OIG Investigative Case Files and Data Management System	2/28/2007	WOODALL	Kathy Schultz	10/11/2007	Signed.	10/16/2007
N1-563-07-7	Chemical Security Assessment Tool (CSAT)	5/31/2007	LAURA MCHALE (Phila.)	Kathy Schultz	10/23/2007	Signed.	10/26/2007
N1-563-07-8	Critical Infrastructure Warning Info Network (CWIN)	5/31/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	11/30/2007	Signed.	
N1-563-07-10	Master Station Log (MSL)	6/15/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	10/30/2007	Signed.	11/5/2007
N1-563-07-11	Intelligence Watch and Warning 24 Hour Log database	7/17/2007	HUNSAKER	Kathy Schultz	10/12/2007	Signed.	10/16/2007
N1-563-07-12	Priority Telecommunications Service records	8/7/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	11/30/2007	Signed.	
N1-563-07-14	Operations Directorate COOP/Personnel Dtbs	9/12/2007	LOISELLE	Kathy Schultz	11/30/2007	Signed.	
N1-563-07-15	Repeat and Disruptive Callers Dtbs	9/12/2007	LOISELLE	Kathy Schultz	11/30/2007	Signed.	
N1-563-07-19	DisasterHelp.gov	9/13/2007	LOISELLE	Kathy Schultz	10/30/2007	Withdrawn.	10/30/2007

Job. No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-563-07-1	Exec Sec Corresp Tracking System	10/1/2006	LOISELLE	Kathy Schultz	11/14/2007	Schedule sent to agency for revision.	
N1-563-07-3	History Office	2/28/2007	KING	Kathy Schultz	12/20/2007	Sent for approval by Archivist.	
N1-563-07-6	Civil Rights & Civil Liberties Case	5/24/2007	KING	Kathy Schultz	12/20/2007	Revised schedule received.	
N1-563-07-9	Priority Telecommunications System (PTS)	5/31/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	12/19/2007	Signed.	
N1-563-07-13	Executive Level Records	9/6/2007	LOISELLE	Kathy Schultz	12/18/2007	Federal Register publication process initiated.	
N1-563-07-16	Office of Intelligence & Analysis Program Records	9/12/2007	HUNSAKER	Kathy Schultz	12/10/2007	Appraisal meeting set for 1/8/2008.	
N1-563-07-17	Office of Public Affairs Program Records	9/12/2007	LOISELLE	Kathy Schultz	11/6/2007	Agency contacted for appraisal visit appointment	
N1-563-07-18	SAFECOM Baseline Searchable Database System	9/13/2007	LOISELLE	Kathy Schultz	11/28/2007	Schedule forwarded to other NARA unit(s) for review.	
N1-563-07-20	Science & Technology Directorate Program Records	9/14/2007	KING	Kathy Schultz	12/4/2007	NARA sent questions to agency.	
N1-563-07-21	Product Idea / Technology Gap Request System	9/14/2007	KING	Kathy Schultz	12/18/2007	Federal Register publication process initiated.	
N1-563-07-22	Technology Clearinghouse System	9/14/2007	KING	Kathy Schultz	12/18/2007	NARA sent questions to agency.	
N1-563-07-23	SAFETY Action System	9/14/2007	KING	Kathy Schultz	12/21/2007	Published in the Federal Register. Notice expires 1/22/2008.	
N1-563-08-1	CIS Ombudsman Virtual System	10/12/2007	COTTER	Kathy Schultz	12/11/2007	Schedule forwarded to other NARA unit(s) for review.	
N1-563-08-2	Nondisclosure Agreements	12/14/2007	HUNSAKER	Kathy Schultz	12/14/2007	Registered.	
N1-563-07-2	Homeland Security Info Network (HSIN)	2/23/2007	LOISELLE	Kathy Schultz	10/30/2007	Withdrawn.	10/30/2007
N1-563-07-4	Management Directives & Delegations of Authority	2/28/2007	KING	Kathy Schultz	11/6/2007	Signed.	11/19/2007
N1-563-07-5	OIG Investigative Case Files and Data Management System	2/28/2007	WOODALL	Kathy Schultz	10/11/2007	Signed.	10/16/2007
N1-563-07-7	Chemical Security Assessment Tool (CSAT)	5/31/2007	LAURA MCHALE (Phila.)	Kathy Schultz	10/23/2007	Signed.	10/26/2007
N1-563-07-8	Critical Infrastructure Warning Info Network (CWIN)	5/31/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-10	Master Station Log (MSL)	6/15/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	10/30/2007	Signed.	11/5/2007
N1-563-07-11	Intelligence Watch and Warning 24 Hour Log database	7/17/2007	HUNSAKER	Kathy Schultz	10/12/2007	Signed.	10/16/2007
N1-563-07-12	Priority Telecommunications Service records	8/7/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-14	Operations Directorate COOP/Personnel Dtbs	9/12/2007	LOISELLE	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-15	Repeat and Disruptive Callers Dtbs	9/12/2007	LOISELLE	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-19	DisasterHelp.gov	9/13/2007	LOISELLE	Kathy Schultz	10/30/2007	Withdrawn.	10/30/2007



Job. No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-563-07-1	Exec Sec Corresp Tracking System	10/1/2006	LOISELLE	Kathy Schultz	1/31/2008	Revised schedule received.	
N1-563-07-3	History Office	2/28/2007	KING	Kathy Schultz	1/3/2008	Signed.	
N1-563-07-6	Civil Rights & Civil Liberties Case	5/24/2007	KING	Kathy Schultz	12/20/2007	Revised schedule received.	
N1-563-07-13	Executive Level Records	9/6/2007	LOISELLE	Kathy Schultz	1/18/2008	Published in the Federal Register. Notice expires 2/19/2008	
N1-563-07-16	Office of Intelligence & Analysis Program Records	9/12/2007	HUNSAKER	Quinton Mason	1/31/2008	Federal Register publication process initiated.	
N1-563-07-17	Office of Public Affairs Program Records	9/12/2007	LOISELLE	Kathy Schultz	1/24/2008	Appraisal meeting held.	
N1-563-07-18	SAFECOM Baseline Searchable Database System	9/13/2007	LOISELLE	Kathy Schultz	1/22/2008	Federal Register publication process initiated.	
N1-563-07-20	Science & Technology Directorate Program Records	9/14/2007	KING	Kathy Schultz	12/4/2007	NARA sent questions to agency.	
N1-563-07-21	Product Idea / Technology Gap Request System	9/14/2007	KING	Kathy Schultz	12/18/2007	Federal Register publication process initiated.	
N1-563-07-22	Technology Clearinghouse System	9/14/2007	KING	Kathy Schultz	12/18/2007	NARA sent questions to agency.	
N1-563-07-23	SAFETY Act System	9/14/2007	KING	Kathy Schultz	1/31/2008	Sent for approval by the Archivist.	
N1-563-08-1	CIS Ombudsman Virtual System	10/12/2007	COTTER	Kathy Schultz	1/23/2008	Sent for approval by the Archivist.	
N1-563-08-2	Nondisclosure Agreements	12/14/2007	HUNSAKER	Kathy Schultz	1/31/2008	Federal Register publication process initiated.	
N1-563-08-3	Record Common to All	1/17/2008	HUNSAKER	Kathy Schultz	1/17/2008	Registered.	
N1-563-08-4	Investigative Files	1/18/2008	LOISELLE	Kathy Schultz	1/18/2008	Registered.	
N1-563-08-5	Communications Monitoring	1/18/2008	LOISELLE	Kathy Schultz	1/23/2008	Agency contacted for appraisal visit appointment.	
N1-563-08-6	Functional Committees' Records	1/29/2008	KING	Kathy Schultz	1/29/2008	Registered.	
N1-563-08-7	Global Terrorism Database	1/29/2008	KING	Kathy Schultz	1/29/2008	Registered.	
N1-563-08-8	Office of the Chief Procurement Program Records	1/29/2008	KING	Kathy Schultz	1/29/2008	Registered.	
N1-563-08-9	Office of Security Program Records	1/29/2008	KING	Kathy Schultz	1/29/2008	Registered.	
N1-563-08-10	Classification Management Records	1/29/2008	KING	Kathy Schultz	1/29/2008	Registered.	
N1-563-08-11	Training Records	1/29/2008	KING	Kathy Schultz	1/29/2008	Registered.	
N1-563-08-12	Office of National Labs	1/29/2008	STACIE BYAS (NYC)	Kathy Schultz	1/29/2008	Registered.	
N1-563-08-13	Domestic Nuclear Detection Office (DNDO) Program Records	1/29/2008	LOISELLE	Kathy Schultz	1/31/2008	NARA sent questions to agency.	
N1-563-08-14	Infrastructure Information Collection Program System (IICP)	1/29/2008	LAURA MCHALE (Phila.)	Kathy Schultz	1/29/2008	Registered.	
N1-563-08-15	Mail Mngt Business Intel Tool (MBIT)	1/29/2008	LAURA MCHALE (Phila.)	Kathy Schultz	1/29/2008	Registered.	
N1-563-07-2	Homeland Security Info Network (HSIN)	2/23/2007	LOISELLE	Kathy Schultz	10/30/2007	Withdrawn.	10/30/2007
N1-563-07-4	Management Directives & Delegations of Authority	2/28/2007	KING	Kathy Schultz	11/6/2007	Signed.	11/19/2007
N1-563-07-5	OIG Investigative Case Files and Data Management System	2/28/2007	WOODALL	Kathy Schultz	10/11/2007	Signed.	10/16/2007
N1-563-07-7	Chemical Security Assessment Tool (CSAT)	5/31/2007	LAURA MCHALE (Phila.)	Kathy Schultz	10/23/2007	Signed.	10/26/2007
N1-563-07-8	Critical Infrastructure Warning Info Network (CWIN)	5/31/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	11/30/2007	Signed.	12/3/2007

Job. No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-563-07-9	Priority Telecommunications System (PTS)	5/31/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	12/19/2007	Signed.	1/11/2008
N1-563-07-10	Master Station Log (MSL)	6/15/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	10/30/2007	Signed.	11/5/2007
N1-563-07-11	Intelligence Watch and Warning 24 Hour Log database	7/17/2007	HUNSAKER	Kathy Schultz	10/12/2007	Signed.	10/16/2007
N1-563-07-12	Priority Telecommunications Service records	8/7/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-14	Operations Directorate COOP/Personnel Dtbs	9/12/2007	LOISELLE	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-15	Repeat and Disruptive Callers Dtbs	9/12/2007	LOISELLE	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-19	DisasterHelp.gov	9/13/2007	LOISELLE	Kathy Schultz	10/30/2007	Withdrawn.	10/30/2007

Job. No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-563-07-1	Exec Sec Corresp Tracking System	10/1/2006	LOISELLE	Kathy Schultz	2/14/2008	Schedule forwarded to other NARA unit for review.	
N1-563-07-6	Civil Rights & Civil Liberties Case	5/24/2007	KING	Kathy Schultz	2/27/2008	Schedule forwarded to other NARA unit(s) for review.	
N1-563-07-13	Executive Level Records	9/6/2007	LOISELLE	Kathy Schultz	2/26/2008	Sent to public requester for comment. Comments due March 27	
N1-563-07-16	Office of Intelligence & Analysis Program Records	9/12/2007	HUNSAKER	Quinton Mason	1/31/2008	Federal Register publication process initiated.	
N1-563-07-17	Office of Public Affairs Program Records	9/12/2007	LOISELLE	Kathy Schultz	2/14/2008	NARA sent request for information to agency (technical questionnaires to Barry Bahler).	
N1-563-07-18	SAFECOM Baseline Searchable Database System	9/13/2007	LOISELLE	Kathy Schultz	2/8/2008	Published in the Federal Register. Notice expires March 10.	
N1-563-07-20	Science & Technology Directorate Program Records	9/14/2007	KING	Kathy Schultz	2/29/2008	NARA sent questions to agency and requested site visit.	
N1-563-07-21	Product Idea / Technology Gap Request System	9/14/2007	KING	Kathy Schultz	2/15/2008	Federal Register publication process initiated.	
N1-563-07-22	Technology Clearinghouse System	9/14/2007	KING	Kathy Schultz	2/27/2008	Recommended withdrawal.	
N1-563-07-23	SAFETY Act System	9/14/2007	KING	Kathy Schultz	2/21/2008	Signed.	2/20/2008
N1-563-08-1	CIS Ombudsman Virtual System	10/12/2007	COTTER	Kathy Schultz	2/1/2008	Signed.	2/5/2008
N1-563-08-2	Nondisclosure Agreements	12/14/2007	HUNSAKER	Kathy Schultz	1/31/2008	Federal Register publication process initiated.	
N1-563-08-3	Record Common to All	1/17/2008	HUNSAKER	Kathy Schultz	2/29/2008	NARA sent questions to agency and requested site visit.	
N1-563-08-4	Investigative Files	1/18/2008	LOISELLE	Kathy Schultz	2/4/2008	Agency contacted for appraisal visit appointment.	
N1-563-08-5	Communications Monitoring	1/18/2008	LOISELLE	Kathy Schultz	2/27/2008	Federal Register publication process initiated.	
N1-563-08-6	Functional Committees' Records	1/29/2008	KING	Kathy Schultz	2/19/2008	NARA received responses to questions sent to agency.	
N1-563-08-7	Global Terrorism Database	1/29/2008	KING	Kathy Schultz	2/19/2008	NARA received responses to questions sent to agency.	
N1-563-08-8	Office of the Chief Procurement Program Records	1/29/2008	KING	Kathy Schultz	2/19/2008	NARA received responses to questions sent to agency.	
N1-563-08-9	Office of Security Program Records	1/29/2008	KING	Kathy Schultz	2/19/2008	NARA received responses to questions sent to agency.	
N1-563-08-10	Classification Management Records	1/29/2008	KING	Kathy Schultz	1/29/2008	Registered.	
N1-563-08-11	Training Records	1/29/2008	KING	Kathy Schultz	2/19/2008	NARA received responses to questions sent to agency.	
N1-563-08-12	Office of National Labs	1/29/2008	STACIE BYAS (NYC)	Kathy Schultz	2/26/2008	Withdrawn.	2/29/2008
N1-563-08-13	Domestic Nuclear Detection Office (DNDO) Program Records	1/29/2008	LOISELLE	Kathy Schultz	2/25/2008	Schedule sent to agency for revision	
N1-563-08-14	Infrastructure Information Collection Program System (IICP)	1/29/2008	LAURA MCHALE (Phila.)	Kathy Schultz	1/29/2008	Registered.	
N1-563-08-15	Mail Mngt Business Intel Tool (MBIT)	1/29/2008	LAURA MCHALE (Phila.)	Kathy Schultz	2/19/2008	NARA received responses to questions sent to agency.	
N1-563-08-16	FACA Committee Nominees Records	2/28/2008	LOGAN	Kathy Schultz	2/28/2008	Registered.	
N1-563-07-2	Homeland Security Info Network (HSIN)	2/23/2007	LOISELLE	Kathy Schultz	10/30/2007	Withdrawn.	10/30/2007
N1-563-07-3	History Office	2/28/2007	KING	Kathy Schultz	1/3/2008	Signed.	1/11/2008
N1-563-07-4	Management Directives & Delegations of Authority	2/28/2007	KING	Kathy Schultz	11/6/2007	Signed.	11/19/2007
N1-563-07-5	OIG Investigative Case Files and Data Management System	2/28/2007	WOODALL	Kathy Schultz	10/11/2007	Signed.	10/16/2007
N1-563-07-7	Chemical Security Assessment Tool (CSAT)	5/31/2007	LAURA MCHALE (Phila.)	Kathy Schultz	10/23/2007	Signed.	10/26/2007
N1-563-07-8	Critical Infrastructure Warning Info Network (CWIN)	5/31/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	11/30/2007	Signed.	12/3/2007

Job. No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-563-07-9	Priority Telecommunications System (PTS)	5/31/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	12/19/2007	Signed.	1/11/2008
N1-563-07-10	Master Station Log (MSL)	6/15/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	10/30/2007	Signed.	11/5/2007
N1-563-07-11	Intelligence Watch and Warning 24 Hour Log database	7/17/2007	HUNSAKER	Kathy Schultz	10/12/2007	Signed.	10/16/2007
N1-563-07-12	Priority Telecommunications Service records	8/7/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-14	Operations Directorate COOP/Personnel Dtbs	9/12/2007	LOISELLE	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-15	Repeat and Disruptive Callers Dtbs	9/12/2007	LOISELLE	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-19	DisasterHelp.gov	9/13/2007	LOISELLE	Kathy Schultz	10/30/2007	Withdrawn.	10/30/2007

## Julie Hunsaker - March Schedules Status Report

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**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 4/1/2008 4:28 PM  
**Subject:** March Schedules Status Report  
**CC:** Hudson, Tammy <CTR>; King, Ivan; Logan, Wilda; Loiselle, Andrea; Mason, Quinton; McHale, Laura

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Kathy,

I've attached the schedules status report for March.

We conducted background research on N1-563-08-16 (for FACA Committee Nominees' Records) in March and determined it should be withdrawn, however this withdrawal action will show up on the April report.

Julie

Job. No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-563-07-1	Exec Sec Corresp Tracking System	10/1/2006	LOISELLE	Kathy Schultz	3/18/2008	Federal Register publication process initiated.	
N1-563-07-6	Civil Rights & Civil Liberties Case	5/24/2007	KING	Kathy Schultz	3/31/2008	Federal Register publication process initiated.	
N1-563-07-13	Executive Level Records	9/6/2007	LOISELLE	Kathy Schultz	3/31/2008	Sent for approval by the Archivist.	
N1-563-07-16	Office of Intelligence & Analysis Program Records	9/12/2007	HUNSAKER	Quinton Mason	3/3/2008	Published in the Federal Register. Notice expires 4/2/2008.	
N1-563-07-17	Office of Public Affairs Program Records	9/12/2007	LOISELLE	Kathy Schultz	3/28/2008	NARA received information requested from agency.	
N1-563-07-18	SAFECOM Baseline Searchable Database System	9/13/2007	LOISELLE	Kathy Schultz	3/19/2008	Sent to public requester for comment. Comments due April 20.	
N1-563-07-20	Science & Technology Directorate Program Records	9/14/2007	KING	Kathy Schultz	3/20/2008	NARA received responses to questions sent to agency and sent additional follow-up questions.	
N1-563-07-21	Product Idea / Technology Gap Request System	9/14/2007	KING	Kathy Schultz	2/15/2008	Federal Register publication process initiated.	
N1-563-07-22	Technology Clearinghouse System	9/14/2007	KING	Kathy Schultz	3/18/2008	Withdrawn.	3/28/2008
N1-563-08-2	Nondisclosure Agreements	12/14/2007	HUNSAKER	Kathy Schultz	3/3/2008	Published in the Federal Register. Notice expires 4/2/2008.	
N1-563-08-3	Record Common to All	1/17/2008	HUNSAKER	Kathy Schultz	3/20/2008	NARA sent questions to agency.	
N1-563-08-4	Investigative Files	1/18/2008	LOISELLE	Kathy Schultz	3/28/2008	Appraisal meeting set for April 25.	
N1-563-08-5	Communications Monitoring	1/18/2008	LOISELLE	Kathy Schultz	2/27/2008	Federal Register publication process initiated	
N1-563-08-6	Functional Committees' Records	1/29/2008	KING	Kathy Schultz	3/21/2008	NARA sent questions to agency.	
N1-563-08-7	Global Terrorism Database	1/29/2008	KING	Kathy Schultz	3/31/2008	NARA sent questions to agency.	
N1-563-08-8	Office of the Chief Procurement Program Records	1/29/2008	KING	Kathy Schultz	2/19/2008	NARA received responses to questions sent to agency.	
N1-563-08-9	Office of Security Program Records	1/29/2008	KING	Kathy Schultz	2/19/2008	NARA received responses to questions sent to agency.	
N1-563-08-10	Classification Management Records	1/29/2008	KING	Kathy Schultz	2/19/2008	NARA received responses to questions sent to agency.	
N1-563-08-11	Training Records	1/29/2008	KING	Kathy Schultz	3/31/2008	Agency contacted for appraisal visit appointment.	
N1-563-08-13	Domestic Nuclear Detection Office (DNDO) Program Records	1/29/2008	LOISELLE	Kathy Schultz	3/31/2008	NARA received information requested from agency.	
N1-563-08-14	Infrastructure Information Collection Program System (IICP)	1/29/2008	LAURA MCHALE (Phila.)	Kathy Schultz	3/25/2008	NARA sent questions to agency.	
N1-563-08-15	Mail Mngt Business Intel Tool (MBIT)	1/29/2008	LAURA MCHALE (Phila.)	Kathy Schultz	2/19/2008	NARA received responses to questions sent to agency.	
N1-563-08-16	FACA Committee Nominees Records	2/28/2008	LOGAN	Kathy Schultz	2/28/2008	Registered.	
N1-563-08-17	Nat'l Cyber Security Division Records	3/4/2008	HUNSAKER	Kathy Schultz	3/21/2008	Agency contacted for appraisal visit appointment.	
N1-563-07-2	Homeland Security Info Network (HSIN)	2/23/2007	LOISELLE	Kathy Schultz	10/30/2007	Withdrawn	10/30/2007
N1-563-07-3	History Office	2/28/2007	KING	Kathy Schultz	1/3/2008	Signed.	1/11/2008
N1-563-07-4	Management Directives & Delegations of Authority	2/28/2007	KING	Kathy Schultz	11/6/2007	Signed.	11/19/2007
N1-563-07-5	OIG Investigative Case Files and Data Management System	2/28/2007	WOODALL	Kathy Schultz	10/11/2007	Signed.	10/16/2007
N1-563-07-7	Chemical Security Assessment Tool (CSAT)	5/31/2007	LAURA MCHALE (Phila.)	Kathy Schultz	10/23/2007	Signed.	10/26/2007
N1-563-07-8	Critical Infrastructure Warning Info Network (CWIN)	5/31/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-9	Priority Telecommunications System (PTS)	5/31/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	12/19/2007	Signed.	1/11/2008

Job. No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-563-07-10	Master Station Log (MSL)	6/15/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	10/30/2007	Signed.	11/5/2007
N1-563-07-11	Intelligence Watch and Warning 24 Hour Log database	7/17/2007	HUNSAKER	Kathy Schultz	10/12/2007	Signed.	10/16/2007
N1-563-07-12	Priority Telecommunications Service records	8/7/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-14	Operations Directorate COOP/Personnel Dtbs	9/12/2007	LOISELLE	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-15	Repeat and Disruptive Callers Dtbs	9/12/2007	LOISELLE	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-19	DisasterHelp.gov	9/13/2007	LOISELLE	Kathy Schultz	10/30/2007	Withdrawn.	10/30/2007
N1-563-07-23	SAFETY Act System	9/14/2007	KING	Kathy Schultz	2/21/2008	Signed.	2/20/2008
N1-563-08-1	CIS Ombudsman Virtual System	10/12/2007	COTTER	Kathy Schultz	2/1/2008	Signed.	2/5/2008
N1-563-08-12	Office of National Labs	1/29/2008	STACIE BYAS (NYC)	Kathy Schultz	2/26/2008	Withdrawn.	2/29/2008

## Julie Hunsaker - RE: March Schedules Status Report

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**From:** Julie Hunsaker  
**To:** Schultz, Kathy  
**Date:** 4/21/2008 9:35:15 AM  
**Subject:** RE: March Schedules Status Report  
**CC:** King, Ivan

---

Kathy,

Certainly - it's attached.

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 4/17/2008 1:05 PM >>>

Julie,

Could I get a copy of the ICE status report for March?

Thanks.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, April 01, 2008 4:28 PM  
**To:** Schultz, Kathy  
**Cc:** Tammy <CTR> Hudson; Quinton Mason; Andrea Loiselle; Ivan King; Laura McHale; Wilda Logan  
**Subject:** March Schedules Status Report



Kathy,

I've attached the schedules status report for March.

We conducted background research on N1-563-08-16 (for FACA Committee Nominees' Records) in March and determined it should be withdrawn, however this withdrawal action will show up on the April report.

Julie

[illegible]

## Julie Hunsaker - RE: March Schedules Status Report

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/17/2008 1:05 PM  
**Subject:** RE: March Schedules Status Report

---

Julie,

Could I get a copy of the ICE status report for March?

Thanks.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, April 01, 2008 4:28 PM  
**To:** Schultz, Kathy  
**Cc:** Tammy <CTR> Hudson; Quinton Mason; Andrea Loiselle; Ivan King; Laura McHale; Wilda Logan  
**Subject:** March Schedules Status Report

Kathy,

I've attached the schedules status report for March.

We conducted background research on N1-563-08-16 (for FACA Committee Nominees' Records) in March and determined it should be withdrawn, however this withdrawal action will show up on the April report.

Julie

## Julie Hunsaker - April Schedules Status Report

---

**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 5/5/2008 12:09 PM  
**Subject:** April Schedules Status Report  
**CC:** Hudson, Tammy <CTR>; King, Ivan; Logan, Wilda; Loiselle, Andrea; Mason, Quinton; McHale, Laura; Woodall, Brian

---

Kathy,

I've attached the schedules status report for April.

The Communications Monitoring schedule (N1-563-08-5) was requested for public comment off the Federal Register on May 1. (This doesn't show up on the attached April report.) We received no requests for copies of the other two schedules that came off the Federal Register on May 2 (N1-563-07-1 and N1-563-07-21). We will send these two schedules forward to the Archivist for his review and signature.

Regarding N1-563-08-16 for FACA Committee Nominees Records, please let us know what your concerns are regarding withdrawal of this schedule. We will return the schedule without action on May 30 absent any information indicating why it should not be withdrawn.

Please feel free to give me a call if you have any questions.

Julie

Job No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-563-07-1	Exec Sec Corresp Tracking System	10/1/2006	LOISELLE	Kathy Schultz	4/2/2008	Published in the Federal Register. Notice expires 5/2/08.	
N1-563-07-6	Civil Rights & Civil Liberties Case	5/24/2007	KING	Kathy Schultz	4/14/2008	Published in the Federal Register. Notice expires 5/14/2008.	
N1-563-07-13	Executive Level Records	9/6/2007	LOISELLE	Kathy Schultz	4/4/2008	Signed.	4/30/2008
N1-563-07-16	Office of Intelligence & Analysis Program Records	9/12/2007	HUNSAKER	Quinton Mason	4/14/2008	Sent to public requester for comment. Comments due 5/14/2008.	
N1-563-07-17	Office of Public Affairs Program Records	9/12/2007	LOISELLE	Kathy Schultz	4/30/2008	Schedule sent to agency for revision.	
N1-563-07-18	SAFECOM Baseline Searchable Database System	9/13/2007	LOISELLE	Kathy Schultz	4/28/2008	Sent for approval by the Archivist	
N1-563-07-20	Science & Technology Directorate Program Records	9/14/2007	KING	Kathy Schultz	4/14/2008	Revised schedule received.	
N1-563-07-21	Product Idea / Technology Gap Request System	9/14/2007	KING	Kathy Schultz	4/2/2008	Published in the Federal Register. Notice expires 5/2/2008.	
N1-563-08-2	Nondisclosure Agreements	12/14/2007	HUNSAKER	Kathy Schultz	4/14/2008	Sent to public requester for comment. Comments due 5/14/2008.	
N1-563-08-3	Record Common to All	1/17/2008	HUNSAKER	Kathy Schultz	4/15/2008	NARA received responses to questions sent to agency.	
N1-563-08-4	Investigative Files	1/18/2008	LOISELLE	Kathy Schultz	4/28/2008	Schedule sent to agency for revision.	
N1-563-08-5	Communications Monitoring	1/18/2008	LOISELLE	Kathy Schultz	4/2/2008	Published in the Federal Register. Notice expires 5/2/2008.	
N1-563-08-6	Functional Committees' Records	1/29/2008	KING	Kathy Schultz	4/14/2008	NARA sent questions to agency.	
N1-563-08-7	Global Terrorism Database	1/29/2008	KING	Kathy Schultz	4/15/2008	Withdrawn.	4/17/2008
N1-563-08-8	Office of the Chief Procurement Program Records	1/29/2008	WOODALL	Kathy Schultz	4/28/2008	NARA received responses to questions sent to agency.	
N1-563-08-9	Office of Security Program Records	1/29/2008	KING	Kathy Schultz	2/19/2008	NARA received responses to questions sent to agency.	
N1-563-08-10	Classification Management Records	1/29/2008	WOODALL	Kathy Schultz	4/22/2008	(Assigned to new appraiser.)	
N1-563-08-11	Training Records	1/29/2008	KING	Kathy Schultz	3/31/2008	Agency contacted for appraisal visit appointment.	
N1-563-08-13	Domestic Nuclear Detection Office (DNDO) Program Records	1/29/2008	LOISELLE	Kathy Schultz	4/30/2008	Federal Register publication process initiated.	
N1-563-08-14	Infrastructure Information Collection Program System (IICP)	1/29/2008	LAURA MCHALE (Phila.)	Kathy Schultz	4/7/2008	NARA received responses to questions sent to agency.	
N1-563-08-15	Mail Mngt Business Intel Tool (MBIT)	1/29/2008	LAURA MCHALE (Phila.)	Kathy Schultz	4/24/2008	Federal Register publication process initiated.	
N1-563-08-16	FACA Committee Nominees Records	2/28/2008	LOGAN	Kathy Schultz	4/30/2008	(Agency contacted to withdraw schedule: 4/1, 4/22, 4/28, 4/30.)	
N1-563-08-17	Nat'l Cyber Security Division Records	3/4/2008	HUNSAKER	Kathy Schultz	4/17/2008	Appraisal meeting held.	
N1-563-07-2	Homeland Security Info Network (HSIN)	2/23/2007	LOISELLE	Kathy Schultz	10/30/2007	Withdrawn.	10/30/2007
N1-563-07-3	History Office	2/28/2007	KING	Kathy Schultz	1/3/2008	Signed.	1/11/2008
N1-563-07-4	Management Directives & Delegations of Authority	2/28/2007	KING	Kathy Schultz	11/6/2007	Signed.	11/19/2007
N1-563-07-5	OIG Investigative Case Files and Data Management System	2/28/2007	WOODALL	Kathy Schultz	10/11/2007	Signed.	10/16/2007
N1-563-07-7	Chemical Security Assessment Tool (CSAT)	5/31/2007	LAURA MCHALE (Phila.)	Kathy Schultz	10/23/2007	Signed.	10/26/2007
N1-563-07-8	Critical Infrastructure Warning Info Network (CWIN)	5/31/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-9	Priority Telecommunications System (PTS)	5/31/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	12/19/2007	Signed.	1/11/2008
N1-563-07-10	Master Station Log (MSL)	6/15/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	10/30/2007	Signed.	11/5/2007

Job No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-563-07-11	Intelligence Watch and Warning 24 Hour Log database	7/17/2007	HUNSAKER	Kathy Schultz	10/12/2007	Signed.	10/16/2007
N1-563-07-12	Priority Telecommunications Service records	8/7/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-14	Operations Directorate COOP/Personnel Dtb	9/12/2007	LOISELLE	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-15	Repeat and Disruptive Callers Dtb	9/12/2007	LOISELLE	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-19	DisasterHelp.gov	9/13/2007	LOISELLE	Kathy Schultz	10/30/2007	Withdrawn.	10/30/2007
N1-563-07-22	Technology Clearinghouse System	9/14/2007	KING	Kathy Schultz	3/18/2008	Withdrawn.	3/28/2008
N1-563-07-23	SAFETY Act System	9/14/2007	KING	Kathy Schultz	2/21/2008	Signed.	2/20/2008
N1-563-08-1	CIS Ombudsman Virtual System	10/12/2007	COTTER	Kathy Schultz	2/1/2008	Signed.	2/5/2008
N1-563-08-12	Office of National Labs	1/29/2008	STACIE BYAS (NYC)	Kathy Schultz	2/26/2008	Withdrawn.	2/29/2008

## Julie Hunsaker - May Schedules Status Report

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**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 6/3/2008 5:15 PM  
**Subject:** May Schedules Status Report  
**CC:** Hudson, Tammy <CTR>; King, Ivan; Logan, Wilda; Loiselle, Andrea; Mason, Quinton; McHale, Laura; Woodall, Brian

---

Kathy,

I've attached the schedules status report for May. Five schedules were signed in May: N1-563-07-1 (Exec Sec Correspondence Tracking System), N1-563-07-16 (Office of Intelligence and Analysis Program Records), N1-563-07-18 (SAFECOM), N1-563-07-21 (Product Idea / Technology Gap Request System), and N1-563-08-2 (Nondisclosure Agreements).

Yesterday we registered the two new schedules DHS submitted. These schedules will show up on the June report. The National Biosurveillance Integration System (NBIS) is NARA Job No. N1-563-08-18 and the Homeland Security Information Network (HSIN) is NARA Job No. N1-563-08-19. Laura McHale in our Philadelphia office will be reviewing these schedules.

Please feel free to give me a call if you have any questions.

Julie

Job No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-563-07-1	Exec Sec Corresp Tracking System	10/1/2006	LOISELLE	Kathy Schultz	5/15/2008	Signed.	5/20/2008
N1-563-07-6	Civil Rights & Civil Liberties Case	5/24/2007	KING	Kathy Schultz	5/21/2008	Sent for approval by the Archivist.	
N1-563-07-16	Office of Intelligence & Analysis Program Records	9/12/2007	HUNSAKER	Quinton Mason	5/30/2008	Signed.	
N1-563-07-17	Office of Public Affairs Program Records	9/12/2007	LOISELLE	Kathy Schultz	5/27/2008	Published in the Federal Register Notice expires 6/26/2008	
N1-563-07-18	SAFECOM Baseline Searchable Database System	9/13/2007	LOISELLE	Kathy Schultz	5/8/2008	Signed.	5/20/2008
N1-563-07-20	Science & Technology Directorate Program Records	9/14/2007	KING	Kathy Schultz	5/7/2008	NARA sent questions to agency	
N1-563-07-21	Product Idea / Technology Gap Request System	9/14/2007	KING	Kathy Schultz	5/20/2008	Signed.	5/23/2008
N1-563-08-2	Nondisclosure Agreements	12/14/2007	HUNSAKER	Kathy Schultz	5/30/2008	Signed.	
N1-563-08-3	Record Common to All	1/17/2008	HUNSAKER	Kathy Schultz	5/23/2008	NARA sent questions to agency.	
N1-563-08-4	Investigative Files	1/18/2008	LOISELLE	Kathy Schultz	5/28/2008	Agency contacted for appraisal visit appointment	
N1-563-08-5	Communications Monitoring	1/18/2008	LOISELLE	Kathy Schultz	5/7/2008	Sent to public requester for comment. Comments due 6/6/2008.	
N1-563-08-6	Functional Committees' Records	1/29/2008	KING	Kathy Schultz	5/19/2008	NARA received responses to questions sent to agency.	
N1-563-08-8	Office of the Chief Procurement Program Records	1/29/2008	WOODALL	Kathy Schultz	5/29/2008	Federal Register publication process initiated.	
N1-563-08-9	Office of Security Program Records	1/29/2008	KING	Kathy Schultz	5/30/2008	Agency contacted for appraisal visit appointment.	
N1-563-08-10	Classification Management Records	1/29/2008	WOODALL	Kathy Schultz	5/27/2008	Schedule sent to agency for revision.	
N1-563-08-11	Training Records	1/29/2008	KING	Kathy Schultz	5/27/2008	Agency contacted for appraisal visit appointment.	
N1-563-08-13	Domestic Nuclear Detection Office (DNDO) Program Records	1/29/2008	LOISELLE	Kathy Schultz	5/27/2008	Federal Register publication process initiated.	
N1-563-08-14	Infrastructure Information Collection Program System (IICP)	1/29/2008	LAURA MCHALE (Phila.)	Kathy Schultz	4/7/2008	NARA received responses to questions sent to agency	
N1-563-08-15	Mail Mngt Business Intel Tool (MBIT)	1/29/2008	LAURA MCHALE (Phila.)	Kathy Schultz	5/13/2008	Published in the Federal Register. Notice expires 6/12/2008.	
N1-563-08-16	FACA Committee Nominees Records	2/28/2008	LOGAN	Kathy Schultz	5/29/2008	NARA received information requested from Agency.	
N1-563-08-17	Nat'l Cyber Security Division Records	3/4/2008	HUNSAKER	Kathy Schultz	5/9/2008	Schedule revisions recommended.	
N1-563-07-2	Homeland Security Info Network (HSIN)	2/23/2007	LOISELLE	Kathy Schultz	10/30/2007	Withdrawn.	10/30/2007
N1-563-07-3	History Office	2/28/2007	KING	Kathy Schultz	1/3/2008	Signed.	1/11/2008
N1-563-07-4	Management Directives & Delegations of Authority	2/28/2007	KING	Kathy Schultz	11/6/2007	Signed.	11/19/2007
N1-563-07-5	OIG Investigative Case Files and Data Management System	2/28/2007	WOODALL	Kathy Schultz	10/11/2007	Signed.	10/16/2007
N1-563-07-7	Chemical Security Assessment Tool (CSAT)	5/31/2007	LAURA MCHALE (Phila.)	Kathy Schultz	10/23/2007	Signed.	10/26/2007
N1-563-07-8	Critical Infrastructure Warning Info Network (CWIN)	5/31/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	11/30/2007	Signed.	12/3/2007
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N1-563-07-10	Master Station Log (MSL)	6/15/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	10/30/2007	Signed.	11/5/2007
N1-563-07-11	Intelligence Watch and Warning 24 Hour Log database	7/17/2007	HUNSAKER	Kathy Schultz	10/12/2007	Signed.	10/16/2007



Job No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-563-07-12	Priority Telecommunications Service records	8/7/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-13	Executive Level Records	9/6/2007	LOISELLE	Kathy Schultz	4/4/2008	Signed.	4/30/2008
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N1-563-07-15	Repeat and Disruptive Callers Dtbs	9/12/2007	LOISELLE	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-19	DisasterHelp.gov	9/13/2007	LOISELLE	Kathy Schultz	10/30/2007	Withdrawn.	10/30/2007
N1-563-07-22	Technology Clearinghouse System	9/14/2007	KING	Kathy Schultz	3/18/2008	Withdrawn.	3/28/2008
N1-563-07-23	SAFETY Act System	9/14/2007	KING	Kathy Schultz	2/21/2008	Signed.	2/20/2008
N1-563-08-1	CIS Ombudsman Virtual System	10/12/2007	COTTER	Kathy Schultz	2/1/2008	Signed.	2/5/2008
N1-563-08-7	Global Terrorism Database	1/29/2008	KING	Kathy Schultz	4/15/2008	Withdrawn.	4/17/2008
N1-563-08-12	Office of National Labs	1/29/2008	STACIE BYAS (NYC)	Kathy Schultz	2/26/2008	Withdrawn.	2/29/2008

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/4/2008 6:46:17 AM  
**Subject:** RE: May Schedules Status Report

I was looking at the attached report - what are you waiting on from me on S&T?

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

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From: Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
Sent: Tuesday, June 03, 2008 5:15 PM  
To: Schultz, Kathy  
Cc: Tammy <CTR> Hudson; Quinton Mason; Andrea Loiselle; Brian Woodall; Ivan King; Laura McHale; Wilda Logan  
Subject: May Schedules Status Report

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Please feel free to give me a call if you have any questions.

**Julie Hunsaker - RE: May Schedules Status Report**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/4/2008 6:49 AM  
**Subject:** RE: May Schedules Status Report  
**CC:** "Ivan King" <Ivan.King@nara.gov>, "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>

---

I was looking at the attached report – what are you waiting on from me on S&T?

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, June 03, 2008 5:15 PM  
**To:** Schultz, Kathy  
**Cc:** Tammy <CTR> Hudson; Quinton Mason; Andrea Loiselle; Brian Woodall; Ivan King; Laura McHale; Wilda Logan  
**Subject:** May Schedules Status Report

Kathy,

I've attached the schedules status report for May. Five schedules were signed in May: N1-563-07-1 (Exec Sec Correspondence Tracking System), N1-563-07-16 (Office of Intelligence and Analysis Program Records), N1-563-07-18 (SAFECOM), N1-563-07-21 (Product Idea / Technology Gap Request System), and N1-563-08-2 (Nondisclosure Agreements).

Yesterday we registered the two new schedules DHS submitted. These schedules will show up on the June report. The National Biosurveillance Integration System (NBIS) is NARA Job No. N1-563-08-18 and the Homeland Security Information Network (HSIN) is NARA Job No. N1-563-08-19. Laura McHale in our Philadelphia office will be reviewing these schedules.

Please feel free to give me a call if you have any questions.

Julie

## Julie Hunsaker - RE: May Schedules Status Report

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 6/4/2008 8:31 AM  
**Subject:** RE: May Schedules Status Report  
**CC:** King, Ivan; Schultz, Kathy

---

Good morning, Tammy!

I've attached the last email I have re this schedule. I think most of the program area questions are still outstanding. Let me know if I've missed something along the way - it's entirely possible.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/4/2008 6:45 AM >>>  
I was looking at the attached report - what are you waiting on from me on S&T?

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, June 03, 2008 5:15 PM  
**To:** Schultz, Kathy  
**Cc:** Tammy <CTR> Hudson; Quinton Mason; Andrea Loiselle; Brian Woodall; Ivan King; Laura McHale; Wilda Logan  
**Subject:** May Schedules Status Report

Kathy,

I've attached the schedules status report for May. Five schedules were signed in May: N1-563-07-1 (Exec Sec Correspondence Tracking System), N1-563-07-16 (Office of Intelligence and Analysis Program Records), N1-563-07-18 (SAFECOM), N1-563-07-21 (Product Idea / Technology Gap Request System), and N1-563-08-2 (Nondisclosure Agreements).

Yesterday we registered the two new schedules DHS submitted. These schedules will show up on the June report. The National Biosurveillance Integration System (NBIS) is NARA Job No. N1-563-08-18 and the Homeland Security Information Network (HSIN) is NARA Job No. N1-563-08-19. Laura McHale in our Philadelphia office will be reviewing these schedules.

Please feel free to give me a call if you have any questions.

Julie

## Julie Hunsaker - June Schedules Status Report

---

**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 7/2/2008 3:44 PM  
**Subject:** June Schedules Status Report  
**CC:** Hudson, Tammy <CTR>; King, Ivan; Logan, Wilda; Loiselle, Andrea; McHale, Laura; Woodall, Brian

---

Kathy,

I've attached the schedules status report for June. Two schedules were signed in June: N1-563-07-6 (Civil Rights & Civil Liberties Case Files) and N1-563-08-5 (Communications Monitoring).

Please feel free to give me a call if you have any questions.

Julie

Job No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-563-07-6	Civil Rights & Civil Liberties Case	5/24/2007	KING	Kathy Schultz	6/27/2008	Signed.	
N1-563-07-17	Office of Public Affairs Program Records	9/12/2007	LOISELLE	Kathy Schultz	6/26/2008	Federal Register notice expired.	
N1-563-07-20	Science & Technology Directorate Program Records	9/14/2007	KING	Kathy Schultz	6/25/2008	NARA received responses to questions.	
N1-563-08-3	Record Common to All	1/17/2008	HUNSAKER	Kathy Schultz	5/23/2008	NARA sent questions to agency.	
N1-563-08-4	Investigative Files	1/18/2008	LOISELLE	Kathy Schultz	6/30/2008	Appraisal meeting held	
N1-563-08-5	Communications Monitoring	1/18/2008	LOISELLE	Kathy Schultz	6/27/2008	Signed.	
N1-563-08-6	Functional Committees' Records	1/29/2008	KING	Kathy Schultz	6/11/2008	Schedule sent to agency for revision.	
N1-563-08-8	Office of the Chief Procurement Program Records	1/29/2008	WOODALL	Kathy Schultz	6/12/2008	Published in the Federal Register. Notice expires 7/14/2008.	
N1-563-08-9	Office of Security Program Records	1/29/2008	KING	Kathy Schultz	6/24/2008	Agency sent questions to NARA.	
N1-563-08-10	Classification Management Records	1/29/2008	WOODALL	Kathy Schultz	6/11/2008	Federal Register publication process initiated.	
N1-563-08-11	Training Records	1/29/2008	KING	Kathy Schultz	6/19/2008	NARA received responses to questions sent to agency	
N1-563-08-13	Domestic Nuclear Detection Office (DNDO) Program Records	1/29/2008	LOISELLE	Kathy Schultz	6/12/2008	Published in the Federal Register. Notice expires 7/14/2008.	
N1-563-08-14	Infrastructure Information Collection Program System (IICP)	1/29/2008	MCHALE (Phila.)	Kathy Schultz	6/30/2008	Published in the Federal Register. Notice expires 7/30/2008.	
N1-563-08-15	Mail Mngt Business Intel Tool (MBIT)	1/29/2008	MCHALE (Phila.)	Kathy Schultz	6/30/2008	Sent for approval by the Archivist.	
N1-563-08-16	FACA Committee Nominees Records	2/28/2008	LOGAN	Kathy Schultz	5/29/2008	NARA received information requested from Agency.	
N1-563-08-17	Nat'l Cyber Security Division Records	3/4/2008	HUNSAKER	Kathy Schultz	5/9/2008	Schedule revisions recommended.	
N1-563-08-18	National Biosurveillance Information	6/2/2008	MCHALE (Phila.)	Kathy Schultz	6/2/2008	Registered.	
N1-563-08-19	Homeland Security Information	6/2/2008	MCHALE (Phila.)	Kathy Schultz	6/2/2008	Registered.	
N1-563-08-20	Risk Management and Analysis (RMA) Program Records	6/26/2008	WOODALL	Kathy Schultz	6/26//2008	Registered.	
N1-563-08-21	National Communications System (NCS) Committee of Principals Records	6/26/2008	WOODALL	Kathy Schultz	6/26//2008	Registered.	
N1-563-08-22	National Communications System (NCS) Program Records	6/26/2008	WOODALL	Kathy Schultz	6/26//2008	Registered.	
N1-563-07-1	Exec Sec Corresp Tracking System	10/1/2006	LOISELLE	Kathy Schultz	5/15/2008	Signed.	5/20/2008
N1-563-07-2	Homeland Security Info Network (HSIN)	2/23/2007	LOISELLE	Kathy Schultz	10/30/2007	Withdrawn.	10/30/2007
N1-563-07-3	History Office	2/28/2007	KING	Kathy Schultz	1/3/2008	Signed.	1/11/2008
N1-563-07-4	Management Directives & Delegations of Authority	2/28/2007	KING	Kathy Schultz	11/6/2007	Signed.	11/19/2007
N1-563-07-5	OIG Investigative Case Files and Data Management System	2/28/2007	WOODALL	Kathy Schultz	10/11/2007	Signed.	10/16/2007
N1-563-07-7	Chemical Security Assessment Tool (CSAT)	5/31/2007	LAURA MCHALE (Phila.)	Kathy Schultz	10/23/2007	Signed.	10/26/2007
N1-563-07-8	Critical Infrastructure Warning Info Network (CWIN)	5/31/2007	MEG PHILLIPS (Phila.)	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-9	Priority Telecommunications System (PTS)	5/31/2007	PHILLIPS (Phila.)	Kathy Schultz	12/19/2007	Signed.	1/11/2008
N1-563-07-10	Master Station Log (MSL)	6/15/2007	PHILLIPS (Phila.)	Kathy Schultz	10/30/2007	Signed.	11/5/2007

Job No.	Title	Date Registered	NARA Appraiser	Agency POC	Date of Last Action	Status/Last Action	Date Closed
N1-563-07-11	Intelligence Watch and Warning 24 Hour Log database	7/17/2007	HUNSAKER	Kathy Schultz	10/12/2007	Signed.	10/16/2007
N1-563-07-12	Priority Telecommunications Service records	8/7/2007	PHILLIPS (Phila.)	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-13	Executive Level Records	9/6/2007	LOISELLE	Kathy Schultz	4/4/2008	Signed.	4/30/2008
N1-563-07-14	Operations Directorate COOP/Personnel Dtbs	9/12/2007	LOISELLE	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-15	Repeat and Disruptive Callers Dtbs	9/12/2007	LOISELLE	Kathy Schultz	11/30/2007	Signed.	12/3/2007
N1-563-07-16	Office of Intelligence & Analysis Program Records	9/12/2007	HUNSAKER	Quinton Mason	5/30/2008	Signed.	6/9/2008
N1-563-07-18	SAFECOM Baseline Searchable Database System	9/13/2007	LOISELLE	Kathy Schultz	5/8/2008	Signed.	5/20/2008
N1-563-07-19	DisasterHelp.gov	9/13/2007	LOISELLE	Kathy Schultz	10/30/2007	Withdrawn.	10/30/2007
N1-563-07-21	Product Idea / Technology Gap Request System	9/14/2007	KING	Kathy Schultz	5/20/2008	Signed.	5/23/2008
N1-563-07-22	Technology Clearinghouse System	9/14/2007	KING	Kathy Schultz	3/18/2008	Withdrawn.	3/28/2008
N1-563-07-23	SAFETY Act System	9/14/2007	KING	Kathy Schultz	2/21/2008	Signed.	2/20/2008
N1-563-08-1	CIS Ombudsman Virtual System	10/12/2007	COTTER	Kathy Schultz	2/1/2008	Signed.	2/5/2008
N1-563-08-2	Nondisclosure Agreements	12/14/2007	HUNSAKER	Kathy Schultz	5/30/2008	Signed.	6/9/2008
N1-563-08-7	Global Terrorism Database	1/29/2008	KING	Kathy Schultz	4/15/2008	Withdrawn.	4/17/2008
N1-563-08-12	Office of National Labs	1/29/2008	STACIE BYAS (NYC)	Kathy Schultz	2/26/2008	Withdrawn.	2/29/2008

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Tue, Dec 11, 2007 7:26 AM  
**Subject:** RE: Executive Level Records & IQ System Schedules

This is all set. Attached is the Exec Level copy with the addition I needed to make in the Correspondence description.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, December 05, 2007 9:13 AM  
To: Tammy <CTR> Hudson  
Subject: RE: Executive Level Records & IQ System Schedules

Thanks! Sounds good. I just need to know where it is so I can give a status report on my end.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 12/5/2007 9:09 AM >>>

No, I have a meeting with Kathy Friday - I'll check with her then.

I don't see any problem, but I need her approval.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, December 05, 2007 9:08 AM  
To: Hudson, Tammy  
Subject: Executive Level Records & IQ System Schedules

Tammy,

Do you have any update on the status of these schedules (N1-563-07-1 & N1-563-07-13)?

Thanks,  
Andrea



**From:** Ivan King  
**To:** Tammy.Hudson@associates.dhs.gov  
**Date:** 2/29/2008 5:20:25 PM  
**Subject:** Global Terrorism Database Opinion

Tammy,

We have reviewed the schedule for the Global Terrorism Database and the supporting documentation (i.e., the Privacy Threshold Analysis). After our review, we have come to the conclusion that this system likely does not need to be scheduled. When we recommended last year that it should be scheduled, we believed DHS was required to create a PIA for it (see attached), however, now that DHS has determined a PIA is not required, we believe it is likely this system does not contain Federal records. As a result of this determination, we recommend withdrawing the schedule.

If you would like us to make a more certain assessment about whether this database contains Federal records, we would now need to understand a couple of things more fully:

1) Why did DHS determine a PIA wasn't needed? Is there a POC we could talk to about this? Or is there some documentation we could look at that explains the rationale behind the decision?

2) What exactly is DHS's relationship with the other involved entities (The National Consortium for the study of Terrorism and Responses to Terrorism (START) and The Center for Terrorism and Intelligence Studies (CETIS))? We think it would clear things up a lot if we could review the document (perhaps an MOU?) that established DHS's involvement with these entities and this database and defines DHS's role.

While we believe the entire database should likely not be viewed as a Federal record, copies of records made from the database by DHS and use/maintained in the course of its business would be Federal records. However, because these copies would become part of established DHS series (e.g., by investigative case files), they would be covered by the disposition authorities for these series and would not have to be scheduled separately.

Please let us know if you agree with our recommendation to withdraw this schedule (if so, we'll send an email to Kathy) or if you would like us to look into this matter more closely. Thank you.

Ivan

Ivan King  
Archives Specialist, NWML  
National Archives and Records Administration  
Life Cycle Management Division  
8601 Adelphi Road  
College Park, MD 20740  
Office - (301) 837-3030  
Fax - (301) 837-3697  
Ivan.King@nara.gov

>>> Julie Hunsaker 2/29/2008 4:41 PM >>>  
>>> Julie Hunsaker 11/21/2007 12:06 PM >>>  
Tammy,

Yes, DHS needs to schedule this data. The fact that DHS needs to create a PIA for this system means DHS is responsible for it - at least for now - and the system relates to DHS activities. From what little we know about it at this point, we agree it **may** have permanent value.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 11/16/2007 7:53 AM >>>

Julie, Any opinion? This is all public data that they gather and input to this system. The system has been operating since 2001 with funding by other agencies. At this point, DHS is targeted to fund this for one year only. Do we need to schedule this? After 2008 it will be funded by another agency. Have you ever heard of this? Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

From: Harris, Daniel <CTR>

Sent: Friday, November 16, 2007 7:48 AM

To: Hudson, Tammy <CTR>

Subject: Global Terrorism Database Opinion  
Tammy, I am working with Allison Smith from the Human Factors Division, in the Science and Technology Directorate. She is writing a Privacy Impact Assessment for the Global Terrorism Database (GTD). <http://www.start.umd.edu/data/gtd/> The GTD is maintained by the National Consortium for the Study of Terrorism and Responses to Terror (START). It is a U.S. Department of Homeland Security Center of Excellence, tasked by the Department of Homeland Security's Science and Technology Directorate with using state-of-the-art theories, methods, and data from the social and behavioral sciences to improve understanding of the origins, dynamics, and social and psychological impacts of terrorism. START is based at the University of Maryland, College Park. When I spoke with Allison she said that the Human Factors is only funding the GTD and no one DHS is using the data, rather it is made openly available to researchers and academics. So I questioned whether or not DHS was the actual owner and maybe a PIA wasn't needed. She double-checked and confirmed the PIA was necessary. Allison would like to know how long the information should be maintained (Question 3). As the GTD is a compilation of details concerning terrorist attacks, I'm thinking it may be of permanent value. Funding for this project is scheduled to cease in 2008. At that point the GTD will continue to be developed and funded by some other entity. A copy is to be stored permanently and made available at the Inter-University Consortium for Political and Social Research (ICPSR) <http://www.icpsr.umich.edu/> Would you mind checking with your NARA contact to get an opinion? Thanks  
Daniel J. Harris

Contractor - DHS Records Management

Nebraska Avenue Complex (NAC) Building 2, Room 2207C

202-282-8515

[Daniel.Harris@associates.dhs.gov](mailto:Daniel.Harris@associates.dhs.gov)

**Julie Hunsaker - Re: FW: Global Terrorism Database Opinion**

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 11/21/2007 12:06 PM  
**Subject:** Re: FW: Global Terrorism Database Opinion

---

Tammy,

Yes, DHS needs to schedule this data. The fact that DHS needs to create a PIA for this system means DHS is responsible for it - at least for now - and the system relates to DHS activities. From what little we know about it at this point, we agree it **may** have permanent value.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 11/16/2007 7:53 AM >>>

Julie,

Any opinion? This is all public data that they gather and input to this system. The system has been operating since 2001 with funding by other agencies. At this point, DHS is targeted to fund this for one year only.

Do we need to schedule this? After 2008 it will be funded by another agency. Have you ever heard of this?

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Harris, Daniel <CTR>  
**Sent:** Friday, November 16, 2007 7:48 AM  
**To:** Hudson, Tammy <CTR>  
**Subject:** Global Terrorism Database Opinion

Tammy,

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<http://www.start.umd.edu/data/gtd/>

The GTD is maintained by the National Consortium for the Study of Terrorism and Responses to Terror (START).

It is a U.S. Department of Homeland Security Center of Excellence, tasked by the Department of Homeland Security's Science and Technology Directorate with using state-of-the-art theories, methods, and data from the social and behavioral sciences to improve understanding of the origins, dynamics, and social and psychological impacts of terrorism. START is based at the University of Maryland, College Park.

When I spoke with Allison she said that the Human Factors is only funding the GTD and no one DHS is using the

data, rather it is made openly available to researchers and academics. So I questioned whether or not DHS was the actual owner and maybe a PIA wasn't needed. She double-checked and confirmed the PIA was necessary.

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Would you mind checking with your NARA contact to get an opinion?

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Daniel J. Harris  
Contractor - DHS Records Management  
Nebraska Avenue Complex (NAC)

Building 2, Room 2207C  
202-282-8515  
[Daniel.Harris@associates.dhs.gov](mailto:Daniel.Harris@associates.dhs.gov)

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Ivan King" <Ivan.King@nara.gov>  
**Date:** 4/1/2008 6:47:00 AM  
**Subject:** RE: Global Terrorism Database Opinion - Follow-up

We agree with withdrawing it.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Ivan King [mailto:Ivan.King@nara.gov]  
Sent: Monday, March 31, 2008 2:44 PM  
To: Hudson, Tammy  
Subject: Global Terrorism Database Opinion - Follow-up

Hi, Tammy.

I just wanted to follow-up on the email message below, regarding the Global Terrorism Database (GTD) . Please let me know, if you have any questions.

Thanks,

Ivan

>>> Ivan King 2/29/2008 5:20 PM >>>  
Tammy,

We have reviewed the schedule for the Global Terrorism Database and the supporting documentation (i.e., the Privacy Threshold Analysis). After our review, we have come to the conclusion that this system likely does not need to be scheduled. When we recommended last year that it should be scheduled, we believed DHS was required to create a PIA for it (see attached), however, now that DHS has determined a PIA is not required, we believe it is likely this system does not contain Federal records. As a result of this determination, we recommend withdrawing the schedule.

If you would like us to make a more certain assessment about whether this database contains Federal records, we would now need to understand a couple of things more fully:

- 1) Why did DHS determine a PIA wasn't needed? Is there a POC we could talk to about this? Or is there some documentation we could look at that explains the rationale behind the decision?
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While we believe the entire database should likely not be viewed as a Federal record, copies of records made from the database by DHS and use/maintained in the course of its business would be Federal records. However, because these copies would become part of established DHS series (e.g., by investigative case files), they would be covered by the disposition authorities for these series and would not have to be scheduled separately.

Please let us know if you agree with our recommendation to withdraw this schedule (if so, we'll send an email to Kathy) or if you would like us to look into this matter more closely. Thank you.

Ivan

Ivan King  
Archives Specialist, NWML  
National Archives and Records Administration  
Life Cycle Management Division  
8601 Adelphi Road  
College Park, MD 20740  
Office - (301) 837-3030  
Fax - (301) 837-3697  
Ivan.King@nara.gov

>>> Julie Hunsaker 2/29/2008 4:41 PM >>>  
>>> Julie Hunsaker 11/21/2007 12:06 PM >>>  
Tammy,

Yes, DHS needs to schedule this data. The fact that DHS needs to create a PIA for this system means DHS is responsible for it - at least for now - and the system relates to DHS activities. From what little we know about it at this point, we agree it may have permanent value.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 11/16/2007 7:53 AM >>>

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DHS Records Management - Contractor  
NAC 2, Room 2207 E (202)  
282-8562  
tammy.hudson@associates.dhs.gov

---

From: Harris, Daniel <CTR>  
Sent: Friday, November 16, 2007 7:48 AM  
To: Hudson, Tammy <CTR>  
Subject: Global Terrorism Database Opinion  
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<http://www.start.umd.edu/data/gtd/>The GTD is maintained by the National Consortium for the Study of Terrorism and Responses to Terror (START). It is a U.S. Department of Homeland Security Center of Excellence, tasked by the Department of Homeland Security's Science and Technology Directorate with using state-of-the-art theories, methods, and data from the social and behavioral sciences to improve understanding of the origins, dynamics, and social and psychological impacts of terrorism. START is based at the University of Maryland, College Park. When I spoke with Allison she said that the Human Factors is only funding the GTD and no one DHS is using the data, rather it is made openly available to researchers and academics. So I questioned whether or not DHS was the actual owner and maybe a PIA wasn't needed. She double-checked and confirmed the PIA was necessary. Allison would like to know how long the information should be maintained (Question 3).

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Contractor - DHS Records Management  
Nebraska Avenue Complex (NAC) Building 2, Room 2207C  
202-282-8515  
[Daniel.Harris@associates.dhs.gov](mailto:Daniel.Harris@associates.dhs.gov)

## Julie Hunsaker - Re: Additional info needed

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 1/17/2008 3:19 PM  
**Subject:** Re: Additional info needed

Hi, Tammy.

"Mission related" can be defined as the things that agency does that differentiates it from another agency. Generally, these things are framed in terms of what is stable and generally won't change. I don't think there is a NARA sanctioned definition of what "mission related" training material is - it would be for the agency to determine. But if you'd like to chat about this and bounce some ideas off someone, let me know.

I'm not sure I totally understand the question about version control. For a policy statement that is superseded, sometimes the new statement is given a new number or date. I think it is really up to the agency to define what qualifies something as a new version. If an item on a schedule identifies a cutoff as when something is superseded and it's unclear exactly how to recognize when something is superseded, it would be useful to include information about this in the item description. (Does this question have anything to do with what to do with drafts? If so, 36 CFR 1222.34c contains guidance on how to determine whether working files/drafts are Federal records.)

The types of electronic formats accepted by NARA for transfer of permanent records are found in two places: in regulation and in our guidance. 36 CFR 1228.270d states we'll take files in ASCII or EBCDIC. We've published our guidance on other e-formats we'll take on our website at:

<http://www.archives.gov/records-mgmt/initiatives/transfer-to-nara.html>

The website indicates we'll take the following formats for the following record types **if certain conditions are met** (these conditions are in the guidance products):

- 1) e-mail - in standard markup language or in their native format;
- 2) scanned images of textual records - in TIFF, GIF, BIFF, or PNG;
- 3) PDF;
- 4) digital photos - in TIFF, JFIF, or JPEG;
- 5) digital geospatial data records - in anything using a non-proprietary, published, open standard (for example, Spatial Data Transfer Standard or Geography Markup Language); and
- 6) web content records - in HTML or XML.

Let me know if you'd like to talk about any of this.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 1/17/2008 10:21 AM >>>  
 Julie,

Couple quick questions that have come up with one of our training departments. What is NARA's definition of the following:

- What is considered "mission related" training material
- Version control - what type of updates or modifications qualify as superseding
- Electronic document formats accepted by NARA for permanent retention



## Julie Hunsaker - Re: CIS PIA

---

**From:** Julie Hunsaker  
**To:** Schultz, Kathy  
**Date:** 12/13/2007 4:06 PM  
**Subject:** Re: CIS PIA

Kathy,

No, it is not. A short retention period does not preclude the requirement to schedule records. Tom Cotter, the USCIS appraisal archivist, will contact Brian Lutz, the USCIS Records Officer, about this PIA and to schedule these records.

Thank you for notifying us about this.

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 12/12/2007 1:34 PM >>>  
Julie,

I was reviewing posted PIAs and came across the attached. Please go to section 3.2.

Is this true?

Thanks.

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*



Privacy Impact Assessment  
for the

## DHS / UKvisas Project

November 14, 2007

Contact Point

Elizabeth Gaffin

Associate Counsel

United States Citizenship and Immigration Services

202-272-1400

Reviewing Official

Hugo Teufel III

Chief Privacy Officer

Department of Homeland Security

(703) 235-0780



## Abstract

Recently the United Kingdom (UK) enacted legislation requiring the submission of biometric data by almost all individuals filing applications for UK visas. Officials from the UK and Department of Homeland Security (DHS) have agreed that individuals who are physically located in the United States (US) may provide the requisite biometrics and limited biographical information at U.S. Citizenship and Immigration Services (USCIS) Application Support Centers (ASCs) for forward transfer to the UK in support of the adjudication of applications for visas. USCIS will temporarily retain the submitted biometric and biographical records until the UK provides confirmation that the transfer of data was successful. USCIS will delete the biometric and biographical records immediately after it receives that confirmation.

## Introduction

UKvisas Biometric Capture Program (BCP), the UK governmental entity responsible for the granting of visas, initiated a biometric capture program in April 2005 in order to increase the security of their visa issuance process. The aim of the program is to introduce digital fingerprinting and photographic capabilities into the existing UK visa application process by 2008. The UK Program vision is to achieve a fast, effective and comprehensive biometrically enabled visa system, helping to create a secure and integrated border control. Towards that end, the UK announced that all applicants, with few exceptions (Heads of State for example), will be required to supply 10 digit fingerscans and a digital photograph when applying for a UK visa. This new procedure is supported by the UK's Article 3 of The Immigration (Provision of Physical Data) Regulations 2006. The UK has already begun collecting biometrics on visa applicants from several countries and will extend this requirement to people residing in the US by December 2007. The UK has a large volume of applications in the US but few locations in which to process them.

As part of this new requirement, UKvisas BCP has reached out to its international partners and allies to determine whether it can leverage existing processes in certain countries to capture the biometrics. UKvisas BCP and DHS conducted a viability study and determined that DHS could offer the services of the USCIS Application Support Centers (ASC) for the biometrics collection of individuals filing UK visa applications and who are physically present in the United States. The ASCs are a network of 129 geographically dispersed locations in all 50 US states and Puerto Rico, St. Thomas, Guam, and St. Croix managed by the DHS Citizenship and Immigration Service (USCIS). The ASCs were initially established to assist legacy U.S. Immigration and Naturalization Service (now part of USCIS) to collect biometric data.

An applicant for a UK visa begins the application process by completing the UK visa application, and submitting the application fee, on-line at [www.visa4uk.gov.uk](http://www.visa4uk.gov.uk). The applicant will be directed by the UK to an on-line scheduling system to make an appointment for biometrics capture at a DHS ASC (or, alternatively, at the appropriate UK consulate if the applicant chooses not to submit his or her information at an ASC). The applicant will print the appointment receipt and will be instructed to bring the receipt with them to the ASC. The applicant will arrive at the ASC with their appointment receipt and photo identification (preferably a passport.) The ASC personnel will check the applicant's photo identification and validate the applicant's appointment against an appointment manifest that will be provided by UKvisas. A UK visa Entry Clearance Officer will perform the ultimate authentication of an applicant's identity at the time of entry into the UK. ASC personnel will not be required to confirm the identity of the UK visa applicant on behalf of the UK government.

All information related to the UK biometrics process will be immediately transmitted to the UK utilizing secure electronic transfer methods. These individual transmissions occur in real time – USCIS will



not be holding the information for a batched transmission. Upon confirmation of receipt from the UK, the information will be deleted from the USCIS concentrator that has temporarily stored the biometric record pending notice of successful transmission from the UK. USCIS will have no ability to retrieve the information after the confirmation of the successful transfer of the data to the UK. The UK visa applicant population will include third country nationals, Lawful Permanent Residents, and US Citizens. It is anticipated that, routinely, the retention period will be less than 30 minutes and no longer than 12 hours. Although USCIS will not retrieve the information by personal identifier, in the event there is a problem with the transmission, USCIS may need to be able to retrieve the information that is queued up awaiting transmission to determine if the problem is equipment or transmission-related.

## Section 1.0

### Information collected and maintained

#### 1.1 What information is to be collected?

The information obtained from applicants for the UKvisas project includes biometric, and associated biographic data provided at the time of biometric capture at an ASC. The biometric data includes 10-print fingerprints captured by the electronic live scan device, and photographs. The biographic data includes unique identification, First and Last Name; Date of Birth; Place of Birth; Gender and Aliases. The above data elements will be assembled into an Electronic Fingerprint Transmission Specification (EFTS) file for transmission from the ASC to the UKvisas site in the UK.

#### 1.2 From whom is information collected?

The information is obtained from applicants for UK visas, physically present in the United States at the time of biometric capture. Fingerprints and photos are obtained electronically at one of USCIS' Application Support Centers (ASC). UK visa applicants include third country nationals, Lawful Permanent Residents, and U.S. citizens applying for a UK visa while in the U.S.

#### 1.3 Why is the information being collected?

Section 126 of the UK Nationality, Immigration and Asylum Act of 2002 authorizes the UK to require the submission of biometric information in support of an immigration application. Under Article 3 of The Immigration (Provision of Physical Data) Regulations 2006, the collection of biometric information is required by the UK to enable verification of an applicants' eligibility for a UK visa. In the United States, the UK has a large volume of applications but few locations in which to process them. In order to assist the UK in accomplishing its goals, DHS has agreed to allow its Application Support Centers to perform the services associated with the biometric capture.

#### 1.4 How is the information collected?

An applicant for a UK visa begins the application process by completing the UK visa application on-line at [www.visa4uk.gov.uk](http://www.visa4uk.gov.uk). The applicant will be directed by the UK to an on-line scheduling system to make an appointment for biometrics capture at a DHS ASC (or, alternatively, at the appropriate UK consulate if the applicant chooses not to submit his or her information at an ASC). The applicant will print the appointment receipt that includes limited biographic data in a bar code. USCIS personnel will scan the



barcode to record the applicant's biographic data into the ASC's liveness biometric capture device. Thereafter, the applicant's biometrics (fingerprints and photograph) will be captured.

## **1.5 What specific legal authorities/arrangements/agreements define the collection of information?**

The Department of Homeland Security has signed a Memorandum of Understanding with the United Kingdom's UKvisas BCP office that defines technical roles, responsibilities, and processes of the two Government agencies in furtherance of the limited gathering and transfer of biometric and biographic information to the UK. Additionally, general authority for the DHS to provide this service to UKvisas BCP on an advanced funds basis is found in section 573 of the Foreign Assistance Act, 22 U.S.C. Section 2349aa, and is also covered by a related letter agreement.

## **1.6 Privacy Impact Analysis: Given the amount and type of data being collected, discuss what privacy risks were identified and how they were mitigated.**

Since USCIS is acting solely as an agent for the UK and will be deleting the data as soon as the UK confirms receipt of the information, the privacy risks are extremely limited. Any potential privacy risk associated with the inadvertent disclosure of personally identifiable information is mitigated by the almost instantaneous transfer of the data to the UK utilizing secure encrypted transfer methods, followed by the rapid deletion of the record from USCIS IT systems.

## **Section 2.0**

### **Uses of the system and the information**

#### **2.1 Describe all the uses of information.**

USCIS serves only as the front-end data gathering agent for the UK. USCIS will transfer the data to the UK, and the UK government will use the data to determine if the applicant is eligible for a UK visa. After confirmation of receipt by the UK, the information is deleted from USCIS IT systems and cannot be utilized or retrieved by USCIS.

#### **2.2 Does the system analyze data to assist users in identifying previously unknown areas of note, concern, or pattern?**

No.



## 2.3 How will the information collected from individuals or derived from the system be checked for accuracy?

The role of the ASC is strictly a front-end data gathering agent and will not involve performing any data accuracy checks. The ASC personnel will not be required to confirm the identity of the UK visa applicant on behalf of the UK government.

## 2.4 Privacy Impact Analysis: Given the amount and type of information collected, describe any types of controls that may be in place to ensure that information is used in accordance with the above described uses.

USCIS is not using the data for its own purposes. The data submitted by applicants will be deleted as soon as USCIS receives confirmation that the UK has received it.

## Section 3.0 Retention

### 3.1 What is the retention period for the data in the system?

USCIS will not retain the data beyond the point at which USCIS has received confirmation that the UK has received the information. USCIS anticipates that the retention period routinely will be less than 30 minutes and will be no longer than 12 hours.

### 3.2 Has the retention schedule been approved by the National Archives and Records Administration (NARA)?

USCIS will not retain the data beyond the point at which USCIS has received confirmation that the UK has received the information. USCIS anticipates that the retention period routinely will be less than 30 minutes and will be no longer than 12 hours. Since USCIS will be keeping these records for such a short period of time, no retention schedule is needed.

### 3.2 Privacy Impact Analysis: Given the purpose of retaining the information, explain why the information is needed for the indicated period.

The information is needed for the brief time that it is retained by USCIS in order to ensure a successful transfer. If a failure in the transmission occurs, the brief retention period will afford USCIS the ability to resend the record to make sure the information is successfully transferred to the UK. Once

## **Julie Hunsaker - Re: FW: Disposing working papers (Drafts)**

---

**From:** Julie Hunsaker  
**To:** Mason, Quinton  
**Date:** 11/6/2007 12:29 PM  
**Subject:** Re: FW: Disposing working papers (Drafts)

---

Hi, Quinton.

This is a good question. The litmus test you outline below is not a good model to follow. It does not comport with Federal regs. I think reviewing the following regulations will help clarify the issue:

36 CFR 1220.14 includes the definition of a federal record.

36 CFR 1222.12 contains further clarification of the definition of a federal record.

36 CFR 1222.34 contains guidance on how to identify a federal record and 1222.34c particularly addresses how to determine whether working files (such as drafts) are Federal records.

Essentially the litmus test to apply to a draft when deciding how to dispose of it (or anything other type of documentation) is whether it is a Federal record. If it is a record, it must be destroyed in accordance with an approved disposition authority. If it is not a record, it can be destroyed at the agency's discretion.

Please let me know if you have further questions about this.

Julie

>>> "Mason, Quinton" <Quinton.Mason@dhs.gov> 11/6/2007 10:21 AM >>>  
Good Morning Julie -

Please see email traffic below and provide guidance.

Thanks for your support

**Quinton S. Mason**

Records Officer/  
Acting Freedom of Information Officer  
Department of Homeland Security  
Intelligence and Analysis (I&A)  
(202) 282-9385  
[quinton.mason@dhs.gov](mailto:quinton.mason@dhs.gov)

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---

**From:** Schultz, Kathy  
**Sent:** Tuesday, November 06, 2007 8:52 AM  
**To:** Mason, Quinton  
**Subject:** RE: Disposing working papers (Drafts)

Quinton,

Please contact your appraisal archivist that you met with recently.

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Mason, Quinton  
**Sent:** Monday, November 05, 2007 2:29 PM  
**To:** Schultz, Kathy  
**Subject:** Disposing working papers (Drafts)

Kathy,

Question was presented in reference to destroying a draft (documentation).

My understanding is that a draft can be destroyed once changes have been included in a revised version.

Please provide guidance

Thanks

**Quinton S. Mason**  
Records Officer/  
Acting Freedom of Information Officer  
Department of Homeland Security  
Intelligence and Analysis (I&A)  
(202) 282-9385  
[quinton.mason@dhs.gov](mailto:quinton.mason@dhs.gov)

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**Julie Hunsaker - RE: Administrative Law**

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**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 10/2/2007 6:13 AM  
**Subject:** RE: Administrative Law

---

That does help. I drafted a schedule, but the person was questioning the length of time for retention. What was proposed is within the guidelines you listed.

Thanks!

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, October 01, 2007 5:11 PM  
**To:** Tammy <CTR> Hudson  
**Subject:** Re: Administrative Law

Tammy,

I spoke with the DOJ appraisal archivist, Steve Cooper. He said that DOJ doesn't have a schedule for Administrative Law records. This is because DOJ arranges all of their schedules by subject rather than by organizational structure. They have a classification scheme that includes more than 200 subjects (e.g., Theft of Government Property, Church Arson, and Foreign Litigation), but Administrative Law isn't one of them. As a result, the types of records the DHS Admin Law Division creates/maintains could show up on a dozen or more DOJ schedules. Tracking down the schedules with these analogous records would be incredibly time consuming for DHS and is unnecessary. I would recommend instead that DHS simply write their schedules according to their own analysis and needs.

I can add that Steve said DOJ retains most of their temp legal records between 20 and 30 years.

Please feel free to give me a call if you have any questions.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 9/27/2007 6:49 AM >>>  
Julie,

Is there any chance I can get a copy of the DOJ schedule for Administrative Law? I'm trying to schedule our OGC - Administrative Law division and he wants to keep in line with their scheduling information since a lot of their work corresponds with DOJ.

Thanks as usual.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - RE: Vetting records series dispositions of less than 2 years with GAO**

---

**From:** "Pritchard, Kimberly" <pritchard\_kimberly@bah.com>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 9/10/2007 1:46 PM  
**Subject:** RE: Vetting records series dispositions of less than 2 years with GAO  
**CC:** "Pierantozzi, Jeff" <pierantozzi\_jeff@bah.com>

---

Thanks so much for your quick response, Julie!  
Kim

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, September 10, 2007 12:39 PM  
**To:** Pritchard, Kimberly  
**Cc:** Pierantozzi, Jeff  
**Subject:** RE: Vetting records series dispositions of less than 2 years with GAO

Hi, Kim.

Here is the contact information I have for Carol:

Carol Brock  
Government Accountability Office  
441 G Street NW  
Mail Stop 1127  
Washington DC 20548-0001  
202-512-3435

I unfortunately don't have an email address for her. I hope this helps!

Julie

>>> "Pritchard, Kimberly" <pritchard\_kimberly@bah.com> 9/10/2007 12:00 PM >>>

Hi Julie:

I just wanted to follow up with you regarding Carol Brock's contact information. Thanks for forwarding!

Kim

Kimberly A. Pritchard  
Associate  
Booz Allen Hamilton  
478.747.8356

-----Original Message-----

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Friday, September 07, 2007 10:43 AM  
**To:** Sartori, Sarah  
**Cc:** Pierantozzi, Jeff; Pritchard, Kimberly  
**Subject:** RE: Vetting records series dispositions of less than 2 years with GAO

Certainly, I'll send Kim that info on Monday.

Julie

>>> "Sartori, Sarah" <sartori\_sarah@bah.com> 09/07/07 10:37 AM >>>  
Hi Julie -

We've had a bit of trouble getting in contact with Kathy recently so if you could forward Carol's contact information to Kim on Monday that would be very helpful. Thanks again for everything!

Regards,  
Sarah Ingalls Sartori  
Booz Allen Hamilton

Mobile Number: (816) 678-5256  
Fax Number: (703) 902-3567  
sartori\_sarah@bah.com

-----Original Message-----

From: Julie Hunsaker [<mailto:Julie.Hunsaker@nara.gov>]  
Sent: Friday, September 07, 2007 10:36 AM  
To: Sartori, Sarah  
Cc: Pierantozzi, Jeff; Pritchard, Kimberly  
Subject: Re: Vetting records series dispositions of less than 2 yearswith GAO

Hi, Sarah.

Probably the best thing to do is either talk to Kathy Schultz to find out whether DHS has a specific approach to GAO packages . . . or to contact the GAO Records Officer, Carol Brock. I don't have Carol's contact information with me today, but I could look it up on Monday if that would be helpful.

Julie

>>> "Sartori, Sarah" <sartori\_sarah@bah.com> 09/07/07 10:25 AM >>>  
Hi Julie -

Our team is going to vet all records series dispositions of less than 2 years with GAO. What is the best way for us to do this? Should we simply highlight the series within our submission packages? Do we need to contact GAO directly? Thanks in advance for any information you can provide!

Regards,  
Sarah Ingalls Sartori  
Booz Allen Hamilton

Mobile Number: (816) 678-5256  
Fax Number: (703) 902-3567  
sartori\_sarah@bah.com

## Julie Hunsaker - RE: DSS Manual Online?

---

**From:** Julie Hunsaker  
**To:** Crepeau, Robert CIV DSS; Glenewinkel, Jill; Hudson, Tammy <CTR>  
**Date:** 9/10/2007 12:30 PM  
**Subject:** RE: DSS Manual Online?

---

Great!

I've also attached the three other schedules approved for DSS since its manual was published.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 9/10/2007 12:17 PM >>>  
Thanks to all of you!

I think this is what we need.

Tammy Hudson  
Contractor - DHS Records Management  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Crepeau, Robert, CIV, DSS [<mailto:Robert.Crepeau@dss.mil>]  
Sent: Monday, September 10, 2007 12:13 PM  
To: Jill Glenewinkel  
Cc: Hudson, Tammy; Julie Hunsaker  
Subject: RE: DSS Manual Online?

Jill,  
I do not have electronic copies of the schedules. Attached is the DSS manual and the last schedule not in the manual.  
Bob

*NA-46-02-1*

-----Original Message-----

From: Jill Glenewinkel [<mailto:jill.glenewinkel@nara.gov>]  
Sent: Monday, September 10, 2007 11:52 AM  
To: Crepeau, Robert, CIV, DSS  
Cc: tammy.hudson@associates.dhs.gov; Julie Hunsaker  
Subject: DSS Manual Online?

Hi, Bob,

Hope all is going well with you. We've received a request from DHS for a copy of the DSS manual and all current schedules. Do you have an e-version of the manual and schedules to send Tammy at DHS? Her contact information is listed below.

Please cc all in this message.

Many thanks,

JILL

>>> "Hudson, Tammy <CTR>" < Tammy.Hudson@associates.dhs.gov > 8/21/2007  
2:07 PM >>>

Julie, Is it possible to get a copy of the record schedules for DSS? (see  
below) Thanks! Tammy  
Tammy Hudson Contractor - DHS Records Management NAC 2,  
Room 2207 E (202) 282-8562 tammy.hudson@associates.dhs.gov

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>71-446-03-1</i>	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>12-13-2002</i>	
1. FROM (Agency or establishment) Department of Defense, Defense Security Service		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Industrial Security Program		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 Special Access Program			
4. NAME OF PERSON WITH WHOM TO CONFER Janice Savoy-McCormick	5. TELEPHONE NUMBER 703-325-6182	DATE <i>5-2-03</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Carl</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>1</u> page(s) are not needed now for the business for 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 of 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 <i>12/10/02</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Janice Savoy-McCormick</i>		TITLE <i>Records Mgmt</i>
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1.	<b>8-31 Information Assurance</b>  <b>8-31 (2) Information Assurance Planning and Program Management:</b> Documents related to Information Assurance strategic plans, personnel resources, budget, studies, and projects.  Disposition: Destroy after 10 years.		
2.	<b>8-31 (3) Defense Information System Network (DISN):</b> Correspondence related to contractor access granted to the DoD DISN.  Disposition: Destroy one year after system access is terminated, canceled, or superseded.		
<i>cc Agency, DR, Truman</i>			

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
3.	<p><b>8-31 (4) Information Assurance Laboratory:</b> Information relating to the laboratory's inventory, operating plan, projects, and reports.</p> <p>Disposition: Destroy one year after supersession, termination, obsolescence, or when no longer needed for reference purposes.</p>		
4.	<p><b>Electronic Mail and Word Processing System Copies:</b> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.</p> <p>a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.</p> <p>Destroy/delete within 180 days after the recordkeeping copy has been produced.</p> <p>b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p> <p>Destroy/delete when dissemination, revision, or updating is completed.</p> <p><i>Note: File number 8-31 (5) is covered by the GRS and is not included on this SF 115.</i></p> <p><i>Recordkeeping Copy: Media Neutral</i></p>		

*agency concurrence 1/3/03  
tcs*

# REQUEST FOR RECORDS DISPOSITION AUTHORITY

JOB NUMBER

771-446-03-2

To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION  
8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001

Date received

12-13-2002

1. FROM (Agency or establishment)  
Defense Security Service

NOTIFICATION TO AGENCY

2. MAJOR SUBDIVISION  
Industrial Security Program

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  
International Programs

4. NAME OF PERSON WITH WHOM TO CONFER  
Janice Savoy

5. TELEPHONE NUMBER  
703-325-6182

DATE

4-3-03

ARCHIVIST OF THE UNITED STATES

*John W. Carl*

## 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 2 page(s) are not needed now for the business for 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 of the GAO Manual for Guidance of Federal Agencies,

☒ is not required

☐ is attached; or

☐ has been requested.

DATE

12/10/02

SIGNATURE OF AGENCY REPRESENTATIVE

*James Savoy McCormick*

TITLE

*Record Mgmt*

7. ITEM NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR  
SUPERSEDED JOB  
CITATION

10. ACTION TAKEN  
(NARA USE ONLY)

### 8-30 International Programs

1.

**8-30(1) Embassy Liaison Visits:** Documents and trip reports related to liaison activity with foreign embassies and missions.

Disposition: Destroy after 1 year.

2.

**8-30(2) Foreign Government Points of Contact:** This file contains lists of points of contact, phone, fax, and email addresses of foreign government officials that ISB has interactions with.

Disposition: Delete/destroy when superseded, obsolete, or no longer needed for reference, whichever is later.

3.

**8-30(3) Foreign Liaison Officer (FLO) Assignments:** Documents related to FLO assignments to cleared defense contractors.

Disposition: Destroy 3 years after expiration of assignment.

*cc Agency, NR, NAWM*



# REQUEST FOR RECORDS DISPOSITION AUTHORITY – CONTINUATION

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
4.	<p><b>8-30(4) Hand Carriage Requests:</b> Documents relating to the arrangements approved for hand carrying classified information across international borders.</p> <p>Disposition: Destroy 6 months after event occurs.</p>		
5.	<p><b>8-30(5) International agreements:</b> Reference copies of international agreements and MOUs, GSOIAs, Bilateral Agreements, and country reference material, e.g. surveys, historical and background information. The Office of the Secretary of Defense (OSD) negotiates these agreements and maintains the record copy.</p> <p>Disposition: Review agreements annually. Destroy when superseded by an updated agreement or when obsolete, whichever is later.</p>		
6.	<p><b>8-30(6) Multinational Programs:</b> This file includes material related to multinational programs that cannot be logically filed under one country. Material is filed alphabetically.</p> <p>Disposition: Destroy when superseded, obsolete or no longer needed for reference, whichever is later.</p>		
7.	<p><b>8-30(7) Program Security Instructions/Secured Communications Plans (PSI/SCP):</b> Agreements and instructions for secure electronic and other communications negotiated between two governments.</p> <p>Disposition: Destroy 6 months after termination or supersession of plan.</p>		
8.	<p><b>8-30(8) Security Violations:</b> This file contains documents related to security violations involving the mishandling of foreign government information entrusted to cleared U.S. facilities. Violations are filed in chronological order by country.</p> <p>Disposition: Cutoff on completion of the ISB Action Officer's investigation of the violation case. Maintain in inactive files for 3 years and destroy.</p>		
9.	<p><b>8-30(9) Transportation Plans (TP):</b> Approved plans for transferring hardware or other classified material from one international location to another. Also included in this file are Long-term Hand carriage plans.</p> <p>Disposition: Destroy six months after termination or supersession of the plan.</p>		

## REQUEST FOR RECORDS DISPOSITION AUTHORITY – CONTINUATION

Job Number

3 of 3

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
10.	<p><b>8-30(10) User Agency Visit Trip Reports:</b> Documents relating to the User Agency visits.</p> <p>Disposition: Destroy after one year.</p>		
11.	<p><b>8-30(11) Briefing material:</b> Presentations made by the Chief and IS Specialists of the ISB. When applicable, a copy of the public release approval will be affixed to the presentation.</p> <p>Disposition: Destroy when superseded, obsolete or no longer needed for reference, whichever is later.</p>		
12.	<p><b>8-30(13) Government to Government Representative Delegations:</b></p> <p>This file contains information regarding DCMA personnel and U.S. military liaison officers assigned overseas who are authorized to perform government to government transmissions on behalf of DSS.</p> <p>Disposition: Destroy 2 years after expiration of the delegation of authority.</p>		
13.	<p><b>Electronic Mail and Word Processing System Copies:</b></p> <p>Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.</p> <p>a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.</p> <p>Destroy/delete within 180 days after the recordkeeping copy has been produced.</p> <p>b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p> <p>Destroy/delete when dissemination, revision, or updating is completed.</p> <p><i>Record Keeping Copy: Media Neutral</i></p> <p><i>Note: File number 8-30(12) pertains to non-record reference copies and is not included on this SF 115.</i></p>		

*agency concurrence*  
*1/3/03 ter*

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <b>771-446-03-3</b>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <b>12-13-2002</b>	
1. FROM (Agency or establishment) Department of Defense, Defense Security Service		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.	
2. MAJOR SUBDIVISION Industrial Security Program			
3. MINOR SUBDIVISION Special Access Program			
4. NAME OF PERSON WITH WHOM TO CONFER Janice Savoy-McCormick	5. TELEPHONE NUMBER 703-325-6182	DATE <b>5-2-03</b>	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</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>1</u> page(s) are not needed now for the business for 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 of 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>12/10/02</b>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Janice Savoy-McCormick</i>		TITLE <i>Records Mgmt</i>
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1.	<b>8-29 Special Access Program</b>  <b>8-29 (1) Site visits:</b> Reports on visits to Cleared Industrial Facilities to ensure compliance.  Disposition: Destroy 1 year after next cyclical inspection.		
2.	<b>8-29 (2) International Arms Control Agreements:</b> Records of activities associated with arms control agreements which impact DSS and Industry. Files include specific agreements, <del>and</del> records of meetings, and proposed actions pertaining to each agreement.  Disposition: Destroy 2 years after the agreement has terminated.	copies of	agency concurrence (Michael McDaniel) 1/2/03 tes
3.	<b>8-29 (2b) Field Activities:</b> Records of field activities relating to the International Arms Control Agreements. Included are after action reports, treaty awareness visits, and telephone notifications.  Disposition: Destroy 2 years after the agreement has terminated.		
<i>cc Agency, HR, Manual</i>			

REQUEST FOR RECORDS DISPOSITION-CONTINUATION	Job Number	Page 2 of 2
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
4.	<p><b>8-29 (2c) Defense Treaty Inspection Readiness Program (DTIRP):</b> Consists of educational and informational material relating to specific treaties.</p> <p>Disposition: Destroy 2 years after the agreement has terminated.</p>		
5.	<p><b>Electronic Mail and Word Processing System Copies:</b> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.</p> <p>a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.</p> <p>Destroy/delete within 180 days after the recordkeeping copy has been produced.</p> <p>b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p> <p>Destroy/delete when dissemination, revision, or updating is completed.</p> <p>NOTE: 8-29(2a) and (2d) are covered by existing DSS and GRS authorities and are not included on this SF115.</p> <p><i>Record Keeping Copy - Media Neutral</i></p>		

*agency concurrence  
1/3/03 tes*

# Request for Records Disposition Authority

(See Instructions on reverse)

Leave Blank (NARA Use Only)

Job Number

N1-446-06-1

Date Received

9-25-2006

## 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.

Date

6/2/07

Archivist of the United States

John W. ...

To: National Archives and Records Administration (NIR)  
Washington, DC 20408

1. From: (Agency or establishment)

DEFENSE SECURITY SERVICE

2. Major Subdivision

3. Minor Subdivision

4. Name of Person with whom to confer

ROBERT CREPEAU

5. Telephone (include area code)

703-325-5344

## 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 2 page(s) are not now needed 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 of the GAO Manual for Guidance of Federal Agencies:

☒

is not required

☐

is attached

☐

has been requested

Signature of Agency Representative

Title

Records Manager

Date (mm/dd/yyyy)

09/22/2006

7. Item Number

8. Description of Item and Proposed Disposition

9. GRS or Superseded Job Citation

10. Action taken (NARA Use Only)

SEE ATTACHED

2/16/20/07 Copies sent to Agency, NWMED, NWMF, NWMW, NR  
NWCTM

The following schedule relates to the Security Education, Training and Awareness Directorate of the Defense Security Service (DSS) which oversees the missions of the DSS Academy and the Education and Awareness (E&A) organization. The SETA E&A is tasked with developing security awareness products and providing professional development services for the Department of Defense in addition to conducting outreach and performing marketing efforts on behalf of SETA and the DSS Academy.

The DSS Academy provides security education and training to Department of Defense (DoD) security program professionals, DoD contractors, employees of other Federal agencies and selected foreign governments. Its professional staff of instructors, technology professionals, and education support personnel combine expertise to create, collaborate and facilitate delivery of quality education and training across the security disciplines.

The schedule applies to records created/received/maintained by DSS staff and contractor instructors, technology professionals, and education support personnel accomplishing the mission of the SETA Directorate. This schedule adds new items as it also supersedes training records previously scheduled according to NC1-446-81-2 and documented in the DSS 00-4-M Manual, Schedule 9.

Included are 1 permanent item and 5 temporary items. The schedule is a big-bucket flexible schedule. Excluded from this schedule are routine, general correspondence and administrative records, including tracking files, that are covered by the GRS.

[\*Inactive files are defined as files that are no longer needed for agency business unless more specific instructions are given in this schedule.]

#### **1. Program Management Records.**

Official record is the electronic file. Documentation relates to the management of the training program. Included are correspondence, memoranda agreements, authorization reports, requirements reviews, progress/quota reports, plans, and evaluation reports that relate to the establishment, management, and operation of the training program and its courses. Included are financial transaction records, contracts, course announcements, notices, facility reservations, course evaluation comments, evaluation reports, and related management/scheduling records. Also included are speaker/instructor credential files and financial files related to course fees, facility use, and/or payment for services.

*Item 1*     *Disposition:* Temporary. Cut off inactive files annually. Destroy 7 years after cutoff.  
*Item 2*     Destroy paper copies immediately upon verification of data input.

#### **2. Registration Records.**

Electronic record is the official record. Included are records that are required for accreditation. Documentation relates to registration, enrollment, course completion, competency levels, training histories, and other related activities. Individual data elements may relate to a participant's profile (i.e., name, agency and contractor of

employment, attendance), completion of pre-requisite coursework, course history, completion of certifications, special access documentation, and related information.

Item 3

*Disposition:* Temporary. Cut off inactive files annually. Destroy 10 years after cutoff.

Item 4

Destroy paper copies and/or input records immediately upon verification of data input.

### 3. Curriculum Development and Delivery Records.

Documentation relates to the development and delivery of course content or educational materials/publications. Subjects may relate to security guidance, awareness, recruitment, vulnerabilities, travel, intelligence, espionage, and related activities. Records are those created by DSS staff and contractor instructors, technology professionals, and education support personnel in their accomplishment of the SETA mission.. Included are curriculum courses, descriptions, and requirements; lesson plans; printed materials, briefing materials, handouts, and other presentation documentation; examinations; interactive training opportunities; and related records. Official records include master files of the materials, including complete sets of all versions delivered to the public, and documentation/directories related to electronic records and their format, information, and use. Official records must be in compliance with current NARA transfer guidance.

#### a. Master copy.

Item 5

*Disposition:* PERMANENT. Cut off inactive files annually. For paper records, transfer to NARA 20 years after cutoff. For audio visual, transfer to NARA when 5 years old in accordance with 36 CFR 1228.266 and current NARA media and format guidance. For electronic records, pre-accession annually to NARA in accordance with 36 CFR 1234.32, 36 CFR 1228.270, and current NARA guidance and including electronic record documentation. Transfer legal custody 20 years after the date of the pre-accession.

#### b. Other copies and/or working drafts.

Item 6

*Disposition:* Temporary. Destroy when no longer needed for reference.

**Julie Hunsaker - Re: FW: National Communications System (NCS)**

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**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>; Schultz, Kathy  
**Date:** 9/5/2007 4:47 PM  
**Subject:** Re: FW: National Communications System (NCS)

---

Certainly. I've attached a copy of N1-59-95-4 Item 53.

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 9/5/2007 12:30 PM >>>  
Julie,

I cannot find that schedule after all. Can you send to Tammy?

Thanks.

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Hudson, Tammy <CTR> [mailto:Tammy.Hudson@associates.dhs.gov]  
**Sent:** Wednesday, September 05, 2007 11:03 AM  
**To:** Julie Hunsaker  
**Cc:** Schultz, Kathy  
**Subject:** RE: National Communications System (NCS)

Sorry, should have given you the schedule number that I had: N1-59-95-4, item 53

Tammy Hudson  
Contractor - DHS Records Management  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Wednesday, September 05, 2007 10:58 AM  
**To:** 'Julie Hunsaker'  
**Cc:** 'Schultz, Kathy'  
**Subject:** National Communications System (NCS)

Julie,

This is not a rush request. we are going to start scheduling the Nat'l Protection and Programs Directorate (NPPD); when I was going through the org chart, I found National Communications System (NCS). This program has been around for a while - it looks like it started at Dept of Defense and then went to State for a bit before being transferred to DHS in 2003.

Is there any way to see if there are any legacy schedules for this program? I found a reference on-line to a State Dept schedule for one item, but that's it. We've actually already scheduled a couple of their systems.



## Julie Hunsaker - RE: OGC - Ethics Reference Information

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 8/17/2007 9:07 AM  
**Subject:** RE: OGC - Ethics Reference Information

---

Hi, Tammy.

I couldn't get the fax to go through, so I scanned the two schedules (and associated appraisal memos). I've attached them.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 8/17/2007 6:56 AM >>>

Good morning,

Can you try and fax that information to that same number again? I'll be at that office this morning for a meeting.

I'll call you when I get back about the numbering - should be around 11:00.

Tammy Hudson

Contractor - DHS Records Management

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, August 16, 2007 9:22 AM  
**To:** Tammy <CTR> Hudson  
**Subject:** RE: OGC - Ethics Reference Information

Hi, Tammy.

I've tried sending the fax a couple times this morning, but it seems to be hung up. Do you have another number I could try? (I'm not convinced the problem isn't on our end, but I guess it's worth a try!)

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 8/16/2007 6:39 AM >>>

Yes, please fax it to 202-447-5780. Can you let me know when you send it?

Thanks!

Tammy Hudson

Contractor - DHS Records Management

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Julie Hunsaker [mailto:[Julie.Hunsaker@nara.gov](mailto:Julie.Hunsaker@nara.gov)]

**Sent:** Wednesday, August 15, 2007 2:55 PM

**To:** Tammy <CTR> Hudson

**Subject:** RE: OGC - Ethics Reference Information

Hi, Tammy.

I have copies of the 115s (as well as the associated appraisal reports). Would you like me to fax them to you?

Julie

>>> "Hudson, Tammy <CTR>" <[Tammy.Hudson@associates.dhs.gov](mailto:Tammy.Hudson@associates.dhs.gov)> 8/14/2007 1:10 PM >>>  
Thanks. I'll be out tomorrow, but will be back on Thursday.

Hope you feel better!

Tammy Hudson  
Contractor - DHS Records Management  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Julie Hunsaker [mailto:[Julie.Hunsaker@nara.gov](mailto:Julie.Hunsaker@nara.gov)]

Sent: Tuesday, August 14, 2007 12:20 PM

To: Hudson, Tammy

Subject: RE: OGC - Ethics Reference Information

Hi, Tammy.

I consulted with the archivists who work with the DOJ and this is the info they sent me:

The Office of Professional Responsibility, which reports directly to the Attorney General, is responsible for investigating allegations of misconduct involving Department attorneys that relate to the exercise of their authority to investigate, litigate or provide legal advice, as well as allegations of misconduct by law enforcement personnel when they are related to allegations of attorney misconduct within the jurisdiction of OPR. You may want to review the following schedules:

NC1-60-77-6 Office of Professional Responsibility. Allegation Case Files (7a)

N1-60-99-6 Office of Professional Responsibility. Investigative Files (Casetrak), and matters handled by attorneys and non-attorney personnel. (7d)

I'm home sick today but expect to be back in the office tomorrow. I'll take a look at these schedules and send you copies tomorrow.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 08/14/07 9:02 AM >>>  
Good morning,

Were you able to find anything on this?

Thanks!

tth

Tammy Hudson

Contractor - DHS Records Management

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

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From: Julie Hunsaker [<mailto:Julie.Hunsaker@nara.gov>]  
Sent: Monday, July 30, 2007 2:30 PM  
To: Tammy <CTR> Hudson  
Subject: Re: OGC - Ethics Reference Information

Hi, Tammy.

I'll look into this and let you know what I find out.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 7/26/2007 7:58 AM >>>

Julie,

In speaking to the OGC / Ethics personnel, they stated that one of their programs included Professional Accountability Litigation (complaints against attorneys). They stated that DOJ had a similar program.

Is there any way that we can find out what they are using for retention?

Thanks for all your help yesterday - good luck with the move!

REQUEST FOR RECORDS DISPOSITION AUTHORITY  
(See instructions on reverse)

LEAVE BLANK

NC1 60 77 6

31 MAY 1977

6-14-77 James B. Rhoads

1. GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE WASHINGTON, DC 20408

2. Department of Justice

3. Office of Professional Responsibility

4. Michael E. Shaheen, Jr., Counsel

739-5211

I hereby certify that the records requested for this agency in matters pertaining to the conduct of the agency are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

☒ B Request for disposal after a specified period of time or request for permanent retention

C DATE: 5-13-77  
D SIGNATURE OF AGENCY REPRESENTATIVE: Robert M. Yahn  
E TITLE: Chief, Records and Mail Services Unit  
Support Services Section, Administrative Programs Staff, Office of Management & Finance

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	The Office of Professional Responsibility (OPR) oversees investigations of allegations of misconduct by Department of Justice employees. The staff receives and reviews information or allegations concerning conduct by an employee that may violate the law, Department orders or regulations, or applicable standards of conduct. The office is authorized to make preliminary inquiries into such allegations, for possible referral to investigative agencies, heads of other Department organizational units or directly to the Attorney General. In the majority of cases, allegations are found to be meritless or unsubstantiated during the course of the OPR investigation.		
1.	Description of content and arrangement of records. The OPR creates and maintains a file for each alleged incident of misconduct on the part of a Department of Justice employee. Case files include the original complaint or report and any reports developed or collected during the course of the OPR's investigation. A record is also made as to the disposition of the matter (i.e. referred to another investigative component, or determined to be unsubstantiated or meritless).  These files are arranged in chronological order according to the date the investigation was initiated.		3 items

sent to agency, NEW NINB - 6/16/77

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 DATE OF JOB NO.	10 AUTHORITY
	<p>a. Files of meritless or unsubstantiated allegations.</p> <p>Disposition: DESTROY six (6) months after close of investigation (determination that allegation is meritless).</p> <p>b. Files of allegations referred to another office for broader investigation. NO ARCHIVAL VALUE.</p> <p>Disposition: Transfer to WNRC one (1) year after close of case. DESTROY ten (10) years after close of case or investigation.</p> <p>c. Files of allegations referred to another office for broader investigation, which are deemed to have a permanent or enduring archival value. The Counsel, OPR, will be responsible for designating these significant cases for permanent retention based on one, or both, of the following criteria.</p> <ol style="list-style-type: none"> <li>1. A case can be regarded as significant in terms of its legal impact on statutes, rules or regulations or law enforcement policies.</li> <li>2. An investigation or case can be regarded as significant in terms of intensity of public interest, expressed by (a) a demonstrated interest of a congressional committee or the Executive Office of the President, or (b) a high degree of national media attention.</li> </ol> <p>Disposition: PERMANENT. Transfer to WNRC one (1) year after investigation or case is closed. Offer to NARS ten (10) years after close of case or investigation.</p> <p>A permanent retention of permanent records (11-10):</p>		

Page 1, 1

Subject: Memorandum 101-6 - 1 - 6

Director, FBI  
Director, FBI

The Director of the FBI requests authority to establish a permanent retention schedule for the Office of Professional Responsibility (OPR) files. The OPR files are currently held in the OPR on the basis of the OPR's policy of retention for its files. The OPR's policy of retention is based on the OPR's function of ensuring that the OPR's files are maintained in accordance with the OPR's policy of retention. The OPR's policy of retention is based on the OPR's function of ensuring that the OPR's files are maintained in accordance with the OPR's policy of retention.

It is proposed for permanent retention. The criteria that OPR will use to determine which investigative case files for permanent retention are based on the criteria (1) established for "Designated" U.S. Attorney's Office files for permanent retention, and (2) proposed for the OPR's files. The OPR will have both informational and evidential value for the OPR's handling of cases deemed significant in terms of their local or national interest and/or intensity of public interest. The OPR will have the necessary arrangement statement, and the annual rate of accumulation of the permanent item has been added to the second page.

I request approval of this job.

*Henry J. Calkins*  
Director, FBI

Recorded and indexed

**REQUEST FOR RECORDS DISPOSITION AUTHORITY***(See Instructions on reverse)*TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 204081. FROM (Agency or establishment)  
Department of Justice

2. MAJOR SUBDIVISION

Office of Professional Responsibility

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER 5. TELEPHONE

R. Keith Thomas 3/12/99  
R. Keith Thomas

202-514-3365

LEAVE BLANK (NARA use only)

JOB NUMBER

N1-60-99-6

DATE RECEIVED

3-24-99

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.

DATE

10-22-99

ARCHIVIST OF THE UNITED STATES

John W. Carl

## 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 2 page(s) are not now needed 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 of the GAO Manual for Guidance of Federal Agencies,



is not required;



is attached; or



has been requested.

DATE

3-18-99

SIGNATURE OF AGENCY REPRESENTATIVE

Bernard W. Berglund

TITLE

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.	<p>The Office of Professional Responsibility (OPR) was created by Attorney General Edward H. Levi in 1975 in response to revelations of ethical abuses and misconduct by Department of Justice (DOJ) officials in the Watergate scandal. Pursuant to 28 C.F.R. §0.39a, OPR reports directly to the Attorney General and Deputy Attorney General. Under Attorney General Order No. 1931-94, OPR has jurisdiction to investigate allegations of misconduct by DOJ attorneys that relate to the exercise of their authority to investigation, litigate or provide legal advice. In addition, OPR has jurisdiction to investigate allegations of misconduct by law enforcement personnel when they are related to allegations of misconduct by attorneys within the jurisdiction of OPR. OPR also investigates other matters when requested by the Attorney General or Deputy Attorney General.</p> <p><b>Investigative Files (Casetrak).</b> OPR creates and maintains a file for each allegation of misconduct which is investigated by OPR attorneys. Casetrak files include the original complaint, the investigating attorney's notes and evaluation, and any reports developed or documents collected during the course of the investigation. These files frequently contain material which is subject to the grand jury secrecy requirements of Rule 6(e) of</p>	NC1-60-77-6	

**REQUEST FOR RECORDS DISPOSITION AUTHORITY — CONTINUATION**

JOB NUMBER

PAGE

2 OF 3

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>the Federal Rules of Criminal Procedure; information obtained from confidential informants; and other material obtained under pledge of confidentiality. Some files contain classified information. A record is also made as to the disposition of the matter. The records are identified by number within each fiscal year. Depending on the nature of the investigation and the action taken by the DOJ based on OPR's conclusions, an investigation may remain open for more than one year, and the file may remain active for several years thereafter. The file may also contain, when applicable, printed copies of email and word processing documents described in Item 4.</p> <p>A. Investigative files that meet any of the following criteria:</p> <ul style="list-style-type: none"> <li>- The case is regarded as significant in terms of its legal impact on statutes, rules or regulations, or law enforcement policies.</li> <li>- The case is regarded as significant in terms of public interest, expressed by (a) demonstrated interest of a congressional committee or the Executive Office of the President, or (b) a high degree of national media attention.</li> </ul> <p><u>Disposition. Permanent.</u> Transfer to the Washington National Records Center (WNRC) five (5) years after the investigation is closed and all activity on the matter has ceased. Transfer to NARA thirty (30) years after investigation is closed and all activity on the matter has ceased.</p> <p>B. Investigative files that do not meet the permanent criteria in Item 1A.</p> <p><u>Disposition. Temporary.</u> Transfer to the WNRC five (5) years after the investigation is closed and all activity on the matter has ceased. Destroy thirty (30) years after investigation is closed and all activity on the matter has ceased.</p>		



REQUEST FOR RECORDS DISPOSITION AUTHORITY — CONTINUATION		JOB NUMBER	PAGE 3 OF 3
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
2.	<p><b><u>Selected Matters Handled by Attorneys.</u></b> OPR creates and maintains a file for each alleged incident of misconduct on the part of a DOJ employee which is reviewed and handled by an OPR attorney. Selected matter files include the original or a copy of the complaint and any reports developed or documents collected during the course of the review. A record is usually made as to the disposition of the matter. The records are arranged in continuing numerical order. The file may also contain, when applicable, printed copies of email and word processing documents described in Item 4.</p> <p><u>Disposition.</u> <b>Temporary.</b> Transfer to the WNRC five (5) years after the matter is closed and all activity on the matter has ceased. Destroy thirty (30) years after the matter is closed and all activity on the matter has ceased.</p>		
3.	<p><b><u>Selected Matters Handled by Other Than Attorneys.</u></b> These are selected matters regarding allegations of misconduct assigned to analysts or paralegals for resolution. OPR creates and maintains a file for each allegation received which is reviewed and handled by other than an OPR attorney. Selected matters files include a copy of the complaint and any documents initiated or collected during the review of the matter. A record is also made as to the disposition of the matter. The records are arranged in continuing numerical order. The file may also contain, when applicable, printed copies of email and word processing documents described in Item 4.</p> <p><u>Disposition.</u> <b>Temporary.</b> Destroy five (5) years after the matter is closed and all activity on the matter has ceased.</p>		
4.	<p><b><u>Electronic Version of Email Messages and Word Processing Documents.</u></b> Records created and received via electronic systems that support individual OPR case matters will be copied to paper and filed in the appropriate case file. Email messages shall include message text, attachments, drafts, and transmission and receipt data. The process of filing described in Items 1, 2 and 3 above is the recordkeeping system.</p> <p><u>Disposition.</u> Delete after copying to paper and placement in the recordkeeping system.</p>		

## Julie Hunsaker - IWW 24 Hour Log Schedule

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**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>; Kathy.Schultz@DHS.GOV  
**Date:** 7/12/2007 5:07 PM  
**Subject:** IWW 24 Hour Log Schedule

---

Kathy and Tammy,

I received the two new schedules for IIW 24 Hour Log and PTS records. Thank you. I'm going to handle the IIW schedule. Would it be possible to set up a site visit on either Wednesday afternoon, July 18, or Friday, July 20? I wouldn't need to "see" the system, but instead would like to talk to some program staff to help answer the appraisal questions I have:

- 1) How does DHS define a "National Security Event"?
- 2) Does the system identify which information is related to National Security Events?
- 3) Where does DHS consider the permanent records of National Security Events to reside? If someone wanted to reconstruct everything DHS knew about one of these events, which records would they refer to? My sense is some important historical documentation of these events may reside in this system. It would help me make this determination if I better understood the data flow of the information in these records.

Julie

**Julie Hunsaker - RE: 24 Hour Log**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/28/2007 6:27 AM  
**Subject:** RE: 24 Hour Log  
**CC:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>

---

Julie,

I can answer the US Persons question: US Persons only applies to lawful perm residents and entities. US intelligence agencies are not allowed to investigate "US Persons" unless they fit a specific criteria, which they need to identify. If they fit one of the criteria, then they are "categorized" and the record may be maintained. If they do not fit, then they are considered "uncategorized" and cannot be investigated, thus the information must be deleted.

I'll get the specifics to your other questions and get back to you hopefully by COB tomorrow.

Tammy

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, June 27, 2007 2:35 PM  
**To:** Tammy <CTR> Hudson  
**Cc:** Schultz, Kathy  
**Subject:** Re: 24 Hour Log

Tammy,

Thank you, this information will be helpful. As I'm looking at the 115, I realize I forgot to ask one question: what does it mean when it says US Persons Data may be "categorized" or "uncategorized"?

Yes, it would be great if I could review a complete list of the data fields for this system. If any field names aren't obvious, it would also be helpful if these field names were accompanied by a brief description/explanation.

The biggest appraisal questions I have are:

- 1) How does DHS define a "National Security Event"?
- 2) Does the system identify which information is related to National Security Events?
- 3) Where does DHS consider the permanent records of National Security Events to reside? If someone wanted to reconstruct everything DHS knew about one of these events, which records would they refer to? My sense is some important historical documentation of these events may reside in this system.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/26/2007 12:55 PM >>>  
 Julie,

Attached is the PIA for the 24 Hour Log and also (below) are the answers to the questions from this morning:

- What is the start date of information in the system?

This will be the date we launch the system, currently estimated mid-July. There is no early data that will be imported.

- Is there a one to one relationship between the information gather by the Watch Officer and the information input to the system?

I'm not sure I totally understand this question. All information in the system will be entered by a Watch Officer. There is no automatic feed. Multiple Watch Officers may enter information.

- What happens if information gathered turns into a National Security event? Does it get forwarded to someplace else?

Part of the purpose of this system is to monitor events for the potential development of such things as National Security events. If this becomes the case, the procedures will be governed by the SOPs of the operating organization. However, the use of the 24 Hour Log system does not change. It will continue to be used as a log to record the event as it progresses. The information in the log may be used to generate other reports developed by analysts for leadership.

- Can you give a general description of the data entry fields?

If they want a complete list of the data fields currently in the system, that can be provided. However, in a general sense, these are a combination of free text fields and pick lists that are designed to mirror the general sections of intelligence reports, to include a subject line, summary, source, classification, reference number, and analyst notes on actions initiated.

Let me know if you need anything else.

Tammy Hudson  
Contractor - DHS Records Management  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - FW: 24 Hour Log update and questions**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/29/2007 10:33 AM  
**Subject:** FW: 24 Hour Log update and questions

---

Julie,

Attached is part of the information you asked in regards to the 24 Hour Log:

Screen shots and a definition for the listed fields. There are two databases in the 24 Hour Log. I've included 4 screen shots, 2 for each, since I needed to scroll down to get the whole list.

Regarding the question on National Security Events, currently there is no field or flag in the database that relates specifically to National Security Events.

As to the other 2 questions; we were developing a retention schedule for "Incidence of National Significance", but it's not completed.

The definition from that is:

an incident of national significance is declared whenever a disaster (either natural or manmade) occurs and harms or threatens a community or the natural environment requiring a concentrated multi-faceted coordination of federal, state, local and private emergency resources

I'll double check with Kathy on that and also where those records are maintained.

Tammy

---

## 24 Hour Log data fields

### Watch Log

Watch Log  
Create Database Entry

Specific instructions when entering a log go here: [Click here for instructions](#)

Reference Number: [Field]  
NOC Number(s): [Field]  
Report DTG: [Field]  
US Person Data: [Field]  
Category: [Field]  
Subject: [Field]  
Source Context Statement: [Field]  
Originating Agency: [Field]  
Summary: [Field]  
Classification: [Field]  
Caveat: [Field]  
REL TO: [Field]  
FGI: [Field]  
City(ies): [Field]  
State(s): [Field]  
Countries: [Field]  
Linked Records: [Field]  
Actions Taken: [Field]

**Reference Number:** refers to the identifying number of the report being logged

**NOC Number:** assigned in the NOC, per SOPs

**Report DTG:** date/time of report, not when record created

**US Per Data:** Yes/No pick list for flagging record if it contains US Per data

**Category:** pick list of intelligence oversight categories for use in conjunction with US Per records

**Subject:** report subject line

**Source Context Statement:** related to source of report (standard intelligence report field)

**Originating Agency:** pick list of agencies, to indicate which agency produced the report

**Summary:** summary of report

**Classification:** pick list of classifications

**Caveat:** pick list of caveats associated with classification

**REL TO:** continued classification marking

**FGI:** continued classification marking

**City**

**State**

**Country**

**Linked Records:** hyperlinks to other related records in the database

## Watch Log cont.

The screenshot shows a web-based form titled "Watch Log cont." with a toolbar at the top containing icons for search, save, and other functions. The form is divided into several sections, each with a label on the left and a corresponding input area on the right. The sections are: "Subject", "Source Content Statement", "Originating Agency", "Summary", "Classification", "Cheat", "REL TO", "FGI", "City(ies)", "State(s)", "Countries", "Linked Records", "Actions Taken", "Name Trace Requested", "Name Trace Completed", and "Name Trace Data". Each input area has a dropdown menu with "Tribuchet MS" selected, followed by a "10" dropdown and a series of icons. The "Classification" field is set to "TOP SECRET". The "Name Trace Requested" field is set to "No". The "Name Trace Completed" field is set to "No". The "Name Trace Data" field is empty. At the bottom left, there is a small icon and the text "For more information, see To add a database entry."

Subject

Source Content Statement

Originating Agency

Summary

Classification

Cheat

REL TO

FGI

City(ies)

State(s)

Countries

Linked Records

Actions Taken

Name Trace Requested

Name Trace Completed

Name Trace Data

For more information, see [To add a database entry](#).

**Actions Taken:** notes field of analysts to indicate actions initiated or completed in processing the report

**Name Trace Requested:** Yes/No field to indicate if a name trace was generated for the report

**Name Trace Completed Field:** Yes/No

**Name Trace Data:** any data relevant to name trace process

# Name Trace Log

Name Trace  
Create Database Entry

DETAILED INSTRUCTIONS

Record Number(s):

NOC Number(s):

Date Requested:

Date Completed:

Status:

US Person Data?

Category:

Classification:

Caveat:

First Name:

Last Name:

Alias:

COB:

COC:

DOB:

SSN:

Passport No.:

US Visa No.:

Other:

Data Sources:

NCTC:

TIDE:

TIDE #:

CIA:

DIA:

DDI:

FBI:

NSA:

USSS:

ATS SUPERQUERY:

**Record Numbers:** list of Watch Log records related to this name trace record

**NOC Number:** assigned in the NOC, per SOPs

**Date Requested:** data name trace opened

**Date Completed:** date name trace closed

**Status:** current status of name trace process (pick list)

**US Per Data:** Yes/No pick list for flagging record if it contains US Per data

**Classification:** pick list of classifications

**Caveat:** pick list of caveats associated with classification

**First Name:** first name of subject

**Last Name:** last name of subject

**Alias:** other potential names of subject

**COB:** country of birth

**COC:** country of citizenship

**DOB:** date of birth

**SSN**

**Passport No.**

**US Visa No.**

**Other:** field for miscellaneous information related to record



## Name Trace Log cont.

Category: TOP SECRET

Classification: TOP SECRET

Cemal: [Field]

First Name: [Field]

Last Name: [Field]

Alias: [Field]

COB: [Field]

COC: [Field]

DOB: DD-MM-YYYY

SSH: DD-MM-YYYY

Passport No.: [Field]

US Visa No.: [Field]

Other: Tribuchet MS

Data Sources: [Field]

NCTC: [Field]

TIDE: [Field]

TIDE #: [Field]

CIA: [Field]

DIA: [Field]

DOS: [Field]

FBI: [Field]

NSA: [Field]

USSS: [Field]

AT'S SUPERQUERY: [Field]

MOC: [Field]

TICS: [Field]

MOFLY: [Field]

SELECTEE: [Field]

ACCURANT: [Field]

AUTOTRAN: [Field]

LEXIS NEXIS: [Field]

Linked Records: Tribuchet MS

For more information, see [To add a database entry.](#)

**Data Sources:** pick list of lists and data sources to be checked (such as Selectee, No-Fly, etc.)

**NCTC, etc. (data sources):** pick list of Positive/Negative/NA of results from data sources checked

**Linked Records:** hyperlinks to other related records in the database

**U.S. Department of Homeland Security  
Headquarter Offices  
Incidents of National Significance**

As determined by the Secretary of Homeland Security in coordination with the National Response Plan, an incident of national significance is declared whenever a disaster (either natural or manmade) occurs and harms or threatens a community or the natural environment requiring a concentrated multi-faceted coordination of federal, state, local and private emergency resources. Federal response during such an emergency or disaster (For example, Hurricane Katrina or 9/11) requires exceptional documentation. "Records" includes, but is not limited to, all records required to be preserved pursuant to the Federal Records Act of 1950, as amended, 44 U.S.C. 3101 et seq.

This schedule covers records that document DHS' response to Presidential declared disasters or emergencies.

Documentation of the Department of Homeland Security's (DHS) involvement in the response should be a concerted effort carried out by units providing support, special documentation teams, liability investigators, contractors, DHS representatives, historians and public affairs personnel. The purpose of such documentation is to collect, preserve and make accessible all records including: all documents, reports, writings, letters, memoranda, notes, communications (including e-mails, faxes and telephone records, and all communications with other Federal Departments and Agencies, State and local governments, and private sector entities), contracts, agreements, schedules, spreadsheet, travel records, data, electronically stored information, audio and video recordings, computer disks and hard drives, drawing, graphs, charts, photographs and all other records of any kind of events surrounding the disaster in order to preserve the historical and legal data that details events and activities from onset, through continuity to future operations.

**1. Collected / received records in any media format**

- a. Records that preserve the historical and legal data detailing events and activities from onset, through continuity of future operations

**Disposition: PERMANENT.** Transfer to National Archives upon completion of documentation project.

- b. Records created in the response to the incident, but not considered to be of historical value or aiding in the continuity of future operations: travel records; personal schedules, e-mails or telephone/communications records.

**Disposition: TEMPORARY.** Destroy / delete when no longer needed for business or legal purposes.

**Julie Hunsaker - Re: FW: COOP database**

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 6/26/2007 9:39 AM  
**Subject:** Re: FW: COOP database

---

Tammy,

I've reviewed the GRS and I can't find an item that relates to these personnel rosters either. I don't believe the GRS covers them. I checked FEMA's manual and see that the agency scheduled their Personnel Roster Files via an SF 115. (FEMA defines these files as, "Records relating to identification of personnel and other resource requirements for FEMA's civil emergency response activities and a listing of key agency emergency personnel." They fall under FEMA file code EOM-8.)

(b)(6) [REDACTED]

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/22/2007 8:48 AM >>>  
Julie,

We had talked to Debbie about this back in October and she told us at the time that the Master File for this database was GRS, but we can't find which item this would fit under?

Can you give me your opinion? Also, if it's GRS, what is the number??

Thanks as usual.

Tammy

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Wednesday, May 02, 2007 12:46 PM  
**To:** Page, Michael  
**Subject:** RE: COOP database

I'm trying to find a GRS that this fits under. NARA said it wasn't necessary to schedule, but I can't find anything that exactly fits.

---

**From:** Page, Michael  
**Sent:** Tuesday, May 01, 2007 8:54 AM  
**To:** Hudson, Tammy <CTR>  
**Subject:** COOP database

(b)(6) [REDACTED]

Tammy,

Thanks,

Michael Page  
Operations Directorate Records

## Julie Hunsaker - Re: DHS - records management - RMTO

---

**From:** Julie Hunsaker  
**To:** DiNunno, Donn  
**Date:** 6/14/2007 10:30 AM  
**Subject:** Re: DHS - records management - RMTO  
**CC:** Kathy.Schultz@DHS.GOV

---

Hi, Donn.

Thank you for contacting me. It's a pleasure to make your acquaintance. I think the first step to take from here would be for you to contact the DHS Records Officer, Kathy Schultz. (I've cc'd her on this email message.) She will be able to help you get up to speed with what's happening on the Records Management front. After that, please let me know how I can be of assistance.

All the best,

Julie

>>> "Donn DiNunno" <donn.dinunno@em-i.com> 6/13/2007 10:36 AM >>>

Hi Julie,

I just wanted to make contact with you. I was beginning to work with Jill Glenwinkel for the DoD Business Transformation Agency, but I've moved just this week to DHS.

I attended the RACO last month. I would have introduced myself then - if I'd known about the change.

I'm working on the DHS 300 Exhibits and our unit should get involved with system transformation plans and implementation. I work for the OCFO under the Chief of Staff for the Resource Management Transformation Office (RMTO).

I wasn't sure whether you'd be our POC (for our association with the suite of systems under the Oracle Shared Baseline suite of applications - e.g. with DNDO and Business Intelligence users) or whether we're under the Management Directorate with Woodall.

Obviously, my beginning questions are probably more appropriately directed to government staff here at DHS (at the GSA Building) than ones I need your immediate help with. I don't know where DHS is with its Records Management Program or who our internal contacts are - yet.

However, I see all of our BY08 responses for the OMB 300 Exhibit on Security and Privacy have 'N/A' for responses, and I know that the plan is to have the BY10 OMB 300 Exhibit to be a consolidated report for those systems under the RMTO - and that definitely means that we need to get up to speed with DHS and to get DHS up to speed with Records Management.

So, I hope in the future that we can have the RMTO management meet with you to prepare us for the system transitions and planning that we will need.

Thanks in Advance,

(I don't even have a proper DHS account yet, but I will soon.)

Donn J. Di Nunno, PhD.  
 Quality Mgr., **EM&I**  
[donn.dinunno@em-i.com](mailto:donn.dinunno@em-i.com)  
 Tel: 703-742-0585

## Julie Hunsaker - Travel Card Agreements

---

**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 5/9/2007 4:27 PM  
**Subject:** Travel Card Agreements  
**CC:** King, Ivan; Logan, Wilda

---

Kathy,

Per our conversation this afternoon, Travel Card Agreements (which are agreements between a Federal employee and a credit card company by which employees state they are responsible for their account and will, for example, make payments on time) are Federal records. They must be disposed of according to an approved schedule. These records may be covered by the GRS, but I will have to do some research to determine which item they fall under (if any).

Julie Hunsaker  
Life Cycle Management Division  
National Archives and Records Administration

## Julie Hunsaker - Re: Information gathering on the process of creating a new Record Group

---

**From:** Julie Hunsaker  
**To:** Kaufman, Avi <CTR>  
**Date:** 3/20/2007 5:06 PM  
**Subject:** Re: Information gathering on the process of creating a new Record Group  
**CC:** Kathy.Schultz@DHS.GOV

---

Hi, Avi.

You can send your request to add a Record Group to me via email. Please include in your email:

- \* the name and RG # of the agency making the request (in this case DHS, RG 563);
- \* the unit name for which you're proposing the new RG; and
- \* a justification for the new RG number.

I will forward your request to the NARA office that processes these requests. I spoke with staff in that office today and it sounds like they have quite a backlog of these requests. I asked whether their processing time would be a matter of days, weeks, or months, and was told "months." I think they do a fair amount of research for each of these requests.

I have never handled one of these requests, but I believe NARA generally only creates new RG #s at the department and bureau level - and not at the program level. (For example, for the FBI within DOJ.) I am personally not aware of an IG office that has its own RG #, but that doesn't mean it hasn't happened. It might help you make a case if you can find another department that has its own RG # for the Office of the Inspector General.

Please feel free to call if you have any questions.

Julie  
 301-837-0661

>>> "Kaufman, Avi <CTR>" <Avi.Kaufman@associates.dhs.gov> 3/15/2007 12:20 PM >>>  
 Hello, Ms. Hunsaker -

My name is Avi Kaufman and I work with Kathy Schultz over at Homeland Security. Kathy asked me to contact you regarding the process of creating a new record group.

We have an office of the Inspector General within RG 563 that has a field office structure. In trying to figure out the best way for them to transfer their records, one of the scenarios that came up was to give them their own record group. We figured that they would then be responsible for transfer and retrieval and all applicable fees would be billed to their office. DHS Record Management would retain oversight, policy, and audit responsibilities for the program.

My questions to you are:

Is this possible and if so, what is the process?

Would NARA have any objection to us doing this?

Would there be any disadvantages to creating a new record group for this office?

I would appreciate any information you can give me on this subject. If it is more convenient for you, perhaps we could talk on the phone instead.

Thank you and I look forward to your reply.

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Ivan King" <Ivan.King@nara.gov>  
**Date:** 7/14/2008 10:22:46 AM  
**Subject:** RE: Interoperability Case Studies

Try this:

<http://www.safecomprogram.gov/SAFE/COM/>

then click on Library (on left)  
Library > Interoperability Case Studies

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Ivan King [mailto:[Ivan.King@nara.gov](mailto:Ivan.King@nara.gov)]  
Sent: Monday, July 14, 2008 10:17 AM  
To: Tammy <CTR> Hudson  
Subject: Re: Interoperability Case Studies

Hi, Tammy.

Thanks, for sending this. However, the link opens, but says (see attached) that the page couldn't not be found. Is this the right link?

Ivan

Ivan King  
Archives Specialist, NWML  
National Archives and Records Administration  
Life Cycle Management Division  
8601 Adelphi Road  
College Park, MD 20740  
Office - (301) 837-3030  
Fax - (301) 837-3697  
[Ivan.King@nara.gov](mailto:Ivan.King@nara.gov)

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 7/14/2008  
9:14 AM >>>  
<http://www.safecomprogram.gov/SAFE/COM/library/interoperabilitycasestudies/>

s/

**From:** Julie Hunsaker  
**To:** King, Ivan  
**Date:** 2/27/2008 4:45:05 PM  
**Subject:** Re: Fwd: FW: Technology Clearinghouse and Product Idea/ Technology GapRequest Solutions System

Thank you, Ivan. I'll use this info to draft the withdrawal email.

Julie

>>> Ivan King 2/27/2008 3:15 PM >>>  
Julie,

I'm forwarding you this message from Tammy, because it contains the link to the system that may be scheduled (if it's not already) in place of the 'Technology Clearinghouse System'. Also, the information provided by Ms. Rodriguez may also support our position to 'withdraw' the Tech. Clearinghouse schedule.

Thanks,

Ivan

>>> "Hudson, Tammy <CTR>" <[Tammy.Hudson@associates.dhs.gov](mailto:Tammy.Hudson@associates.dhs.gov)> 1/30/2008 8:59 AM >>>  
I'm not sure what all this means. I'll be out of the office today, but will look at it tomorrow.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Rodriguez, Sonja  
Sent: Wednesday, January 30, 2008 8:56 AM  
To: Hudson, Tammy <CTR>  
Subject: Re: Technology Clearinghouse and Product Idea/ Technology GapRequest Solutions System

This system has not been C&A and has not received ATO. Technolgy gaps are addressed through TechSolutions and not the Clearinhouse. We have developed an alternative to the Clearinghouse that has been C&A and operational. It's [www.firstresponder.gov](http://www.firstresponder.gov)

Sonja Rodriguez

(Sent from my BlackBerry device)

Director, Technology Clearinghouse

Department of Homeland Security

Science and Technology Directorate

202-254-5867 - Office



202-380-7773 - Mobile

202-254-6176 - Fax

-----Original Message-----

From: Hudson, Tammy <CTR>

To: Rodriguez, Sonja

Sent: Wed Jan 30 08:47:31 2008

Subject: RE: Technology Clearinghouse and Product Idea/ Technology GapRequest Solutions System

Sonja,

We already have the information on Tech Solutions and have spoken to Greg. What we need is Tech Clearinghouse. Is there any documentation for the system or is there a site where the NARA rep can view information on it?

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Rodriguez, Sonja

Sent: Wednesday, January 30, 2008 8:45 AM

To: Hudson, Tammy <CTR>

Subject: Re: Technology Clearinghouse and Product Idea/ Technology GapRequest Solutions System

I believe this refers to TechSolutions so I have forwarded to Greg Price

Sonja Rodriguez

(Sent from my BlackBerry device)

Director, Technology Clearinghouse

Department of Homeland Security

Science and Technology Directorate

202-254-5867 - Office

202-380-7773 - Mobile

202-254-6176 - Fax

-----Original Message-----

From: Hudson, Tammy <CTR>

To: Rodriguez, Sonja  
CC: Ivan King <[Ivan.King@nara.gov](mailto:Ivan.King@nara.gov)>  
Sent: Wed Jan 30 06:38:54 2008  
Subject: FW: Technology Clearinghouse and Product Idea/ Technology GapRequest Solutions System

Sonja,

Can you help NARA with the requested information below for Tech Clearinghouse?

Thanks!

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Ivan King [<mailto:Ivan.King@nara.gov>]  
Sent: Monday, December 17, 2007 2:53 PM  
To: Hudson, Tammy  
Subject: Technology Clearinghouse and Product Idea/ Technology GapRequest Solutions System

Hi, Tammy.

Can you please send me some program level information (e.g., user reference guide, system content, data fields, etc.), about the Technology Clearinghouse (N1-563-07-22) and Product Idea/Technology Gap Request System (N1-563-07-21) programs. I have searched tirelessly through DHS's website, trying to find some substantives information about these programs. And, I didn't find much. Is there a website for the 'Technology Clearinghouse' program? If so, can you forward me the link.

Please give me a call, if you have any questions.

Thank you,

Ivan

Ivan King  
Archives Specialist, NWML  
National Archives and Records Administration  
Life Cycle Management Division  
8601 Adelphi Road  
College Park, MD 20740  
Office - (301) 837-3030  
Fax - (301) 837-3697  
[Ivan.King@nara.gov](mailto:Ivan.King@nara.gov)

## NARA Inquiry reply

### Definitions of terms:

Occupancy- Any time a commodity is being measured by a radiation monitoring device.

Detector- The detector is one of the varieties of radiation monitoring devices deployed in a preventive mode that detects ionizing radiation.

Alarm- Any time a detector measures ionizing radiation above established thresholds an alerts the operator.

Meta data- Meta data is operational data and reports (Examples are shipping manifests, pictures of the source, ambient temperature, elevation etc) that assist and relate to the understanding, adjudication, and resolution of an alarm.

### Nuclear Alarm Records

Nuclear Alarm Records are those that relate to nuclear alarms, detections, assessments, adjudications and responses. These records provide an understanding of alarm conditions, assist in the understanding and adjudication of the alarm, relate to the response and mitigation decisions, and document the performance by the responders. These records may include, but are not limited to Notification reports, Technical data from detector equipment (location and spectra), meta data in reference to the commodity and alarm site, Alarm Analysis Reports, Response Performance Evaluations, and Material Tracking. These stored records would be used for maintaining situational awareness, trend analysis and to maintain an empirical archive.

Occupancy Data- Keep for 15 years, users obtain supervisory approval to access archived data in the last eight years of the retention period.

Alarm Data- Keep for 15 years, users obtain supervisory approval to access archived data in the last eight years of the retention period.

Meta Data- Keep for 15 years, users obtain supervisory approval to access archived data in the last eight years of the retention period.

## Julie Hunsaker - RE: Federal Records Center for NCSD Records

---

**From:** "Ingalls, Sarah" <ingalls\_sarah@bah.com>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 7/9/2007 4:16 PM  
**Subject:** RE: Federal Records Center for NCSD Records  
**CC:** "Dunn, Maura" <dunn\_maura@bah.com>, "Pierantozzi, Jeff" <pierantozzi\_jeff@bah.com>, "Pritchard, Kimberly" <pritchard\_kimberly@bah.com>

---

Thanks so much, Julie. We'll reach out to Kathy as soon as she is back from vacation and will let you know what we find out. Thanks again!

Regards,  
 Sarah Ingalls Sartori  
 Booz Allen Hamilton

Mobile Number: (816) 678-5256  
 Fax Number: (703) 902-3567  
[ingalls\\_sarah@bah.com](mailto:ingalls_sarah@bah.com)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, July 09, 2007 11:55 AM  
**To:** Ingalls, Sarah  
**Cc:** Dunn, Maura; Pierantozzi, Jeff; Pritchard, Kimberly  
**Subject:** Re: Federal Records Center for NCSD Records

Hi, Sarah.

Thank you for the update. Concerning FRCs, I would start by talking to Kathy about sending NCSD records to Federal storage. The one thing to keep in mind is that generally agencies send scheduled records to FRCs. However, agencies can send unscheduled records to an FRC as long as they follow the requirements of 36 CFR 1228.154. This regulation describes a letter agencies send to NWML for each transfer of unscheduled records. We will then respond and request that the records be scheduled within six months.

Julie

>>> "Ingalls, Sarah" <ingalls\_sarah@bah.com> 7/2/2007 12:34 PM >>>  
 Hello Julie -

Things are coming along with the NCSD records schedules. Kim has been putting together records schedule submission packages based on functional affinity and on the primary record categories in the schedules (e.g., Mission vs. Administrative).

What should our next steps be to secure a Federal Records Center for long-term storage of NCSD records? Should I ask Kathy what FRC we should use? Do we already have one? Any assistance you can provide would be greatly appreciated.

Thanks and enjoy your week!

Regards,  
 Sarah Ingalls Sartori  
 Booz Allen Hamilton

## Julie Hunsaker - OIG Records Schedule

---

**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 5/7/2008 9:14 AM  
**Subject:** OIG Records Schedule  
**CC:** Adler, Michelle; Hudson, Tammy <CTR>

---

Good morning, Kathy.

I just wanted to give you a status update on the OIG records schedule and let you know the ball is in NARA's court to help resolve one outstanding issue. We're working on our end to develop criteria DHS can use to identify which OIG audit reports have permanent value. We expect to be able to provide our advice to DHS by the end of this month or early June.

Please let me know if you have any questions.

Julie

## Julie Hunsaker - RE: OIG Records Schedule

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 5/7/2008 9:27 AM  
**Subject:** RE: OIG Records Schedule  
**CC:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>

---

Julie,

I am offsite today, but checking messages. This sounds good. Thanks.

Kathy

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, May 07, 2008 9:14 AM  
**To:** Schultz, Kathy  
**Cc:** Tammy <CTR> Hudson; Adler, Michelle  
**Subject:** OIG Records Schedule

Good morning, Kathy.

I just wanted to give you a status update on the OIG records schedule and let you know the ball is in NARA's court to help resolve one outstanding issue. We're working on our end to develop criteria DHS can use to identify which OIG audit reports have permanent value. We expect to be able to provide our advice to DHS by the end of this month or early June.

Please let me know if you have any questions.

Julie

**Julie Hunsaker - OIG Records Schedule**

---

**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** <Julie.Hunsaker@nara.gov>  
**Date:** 5/7/2008 9:32 AM  
**Subject:** OIG Records Schedule  
**CC:** "Hurley, Kim" <kim.hurley@dhs.gov>

---

Julie, thanks so much for advising the DHS Records Office on where we stand. Your email below conveys exactly what I had hoped for.

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, May 07, 2008 9:14 AM  
**To:** Schultz, Kathy  
**Cc:** Hudson, Tammy <CTR>; Michelle Adler  
**Subject:** OIG Records Schedule

Good morning, Kathy.

I just wanted to give you a status update on the OIG records schedule and let you know the ball is in NARA's court to help resolve one outstanding issue. We're working on our end to develop criteria DHS can use to identify which OIG audit reports have permanent value. We expect to be able to provide our advice to DHS by the end of this month or early June.

Please let me know if you have any questions.

Julie

## Julie Hunsaker - Re: OIG Records Schedule

---

**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 5/7/2008 9:38 AM  
**Subject:** Re: OIG Records Schedule  
**CC:** Hurley, Kim

---

Hi, Michelle.

I'm glad to do whatever I can to keep all parties informed. I'll be in touch with you again soon!

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 5/7/2008 9:32 AM >>>

Julie, thanks so much for advising the DHS Records Office on where we stand. Your email below conveys exactly what I had hoped for.

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, May 07, 2008 9:14 AM  
**To:** Schultz, Kathy  
**Cc:** Hudson, Tammy <CTR>; Michelle Adler  
**Subject:** OIG Records Schedule

Good morning, Kathy.

I just wanted to give you a status update on the OIG records schedule and let you know the ball is in NARA's court to help resolve one outstanding issue. We're working on our end to develop criteria DHS can use to identify which OIG audit reports have permanent value. We expect to be able to provide our advice to DHS by the end of this month or early June.

Please let me know if you have any questions.

Julie



**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** Wed, May 30, 2007 9:06 AM  
**Subject:** OIG schedule modification

Brian,

Attached is the OIG schedule with the modification that you suggested in your voicemail from 5/29/07. We have removed the following line from item 1b: The disposition of significant investigative files will be determined by the National Archives and Records Administration (NARA).

Tammy

Tammy Hudson

Contractor - DHS Records Management

NAC 2, Room 2207 E (202) 282-8562

VTA, Room 10-254 (202) 254-6363

tammy.hudson@associates.dhs.gov

**CC:** "Adler, Michelle" <michelle.adler@dhs.gov>, "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>

## **Julie Hunsaker - Your Questions Re: OIG Reports**

---

**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/11/2008 2:31:34 PM  
**Subject:** Your Questions Re: OIG Reports  
**CC:** "Hurley, Kim" <kim.hurley@dhs.gov>

---

Julie, I spoke with the head of our Office of Audits. Here are the responses to the questions you raised in our conversation this morning:

**Q1: Would Financial Audit reports fall under the category of Classified?**

Answer: Thus far, none of our Financial Audit reports have been marked Classified. But it is possible that future reports could be marked Classified.

**Q2: Are Management Reports posted on the DHS Internet solely related to Performance Audits?**

Answer: No, Management Reports represent both Performance and Financial Audits reports. FYI, the Internet's section for Financial Assistance (Grants) reports relates to reviews of money DHS grants to states for disaster assistance.

Hope this helps. Let me know if you need anything else.

Michelle Adler  
(202) 254-4068

## **Julie Hunsaker - Your Questions Re: OIG Reports**

---

**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 6/11/2008 4:37:39 PM  
**Subject:** Your Questions Re: OIG Reports  
**CC:** Hurley, Kim

---

Thanks, Michelle. This answers my question.

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/11/2008 2:30 PM >>>

Julie, I spoke with the head of our Office of Audits. Here are the responses to the questions you raised in our conversation this morning:

**Q1: Would Financial Audit reports fall under the category of Classified?**

Answer: Thus far, none of our Financial Audit reports have been marked Classified. But it is possible that future reports could be marked Classified.

**Q2: Are Management Reports posted on the DHS Internet solely related to Performance Audits?**

Answer: No, Management Reports represent both Performance and Financial Audits reports. FYI, the Internet's section for Financial Assistance (Grants) reports relates to reviews of money DHS grants to states for disaster assistance.

Hope this helps. Let me know if you need anything else.

Michelle Adler  
(202) 254-4068

**Julie Hunsaker - SARs**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/15/2008 2:11 PM  
**Subject:** SARs

---

Are you all set with samples of SARs now? You have samples from Ops, Health Affairs and NPPD – that should be enough, right?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - Re: SARs

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 4/15/2008 2:34:09 PM  
**Subject:** Re: SARs

---

Thanks for sending the samples! After I've taken a look at them, I'll have a better idea of whether I need to see any others.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/15/2008 2:11 PM >>>  
Are you all set with samples of SARs now? You have samples from Ops, Health Affairs and NPPD - that should be enough, right?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - Re: SARs

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 5/23/2008 4:41 PM  
**Subject:** Re: SARs

---

I'll move ahead with these, talk to our interested Stakeholders and let you know. I appreciate all the samples you provided!

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/15/2008 2:11 PM >>>  
Are you all set with samples of SARs now? You have samples from Ops, Health Affairs and NPPD - that should be enough, right?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - FW: NARA Request - Situation Awareness Reports

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/15/2008 7:53 AM  
**Subject:** FW: NARA Request - Situation Awareness Reports

---

Operations Center (NOC) SARs

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Page, Michael  
**Sent:** Monday, April 14, 2008 2:55 PM  
**To:** Hudson, Tammy <CTR>  
**Subject:** RE: NARA Request - Situation Awareness Reports

Here are some reports. I'm checking with the briefing staff to see what criteria they use to put things in his daily report.

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Monday, April 14, 2008 1:42 PM  
**To:** Page, Michael  
**Subject:** NARA Request - Situation Awareness Reports

When we met to discuss your program records, it was determined that your program produced Situation Awareness Reports. (See the item description below)

### ***Situation Awareness Reports***

*Provide information on significant incidents/events regarding emerging or potential incidents with possible operational consequences. (Report on Incidents of National Significance will be included in the Secretary's daily briefing book.)*

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

NARA has requested additional information for their appraisal report:

- Please provide samples of various types of these reports.
- It would also be helpful to know the exact criteria DHS uses when it decides to send these to the Secretary.
- What other events (other than Incidents of National Significance) might the Secretary know about through SARs?
- Could we look into what SARs have ended up in the briefing books over, say, the last month or so?

Can you assist in this request? Could you supply at least one copy of a report from your program area and information on what type of information would be forwarded to the Secretary?

I need your response by COB Thursday, 4/17. Let me know if you have any questions.

Thanks!

## Julie Hunsaker - FW: NARA Request - Situation Awareness Reports

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/15/2008 7:57 AM  
**Subject:** FW: NARA Request - Situation Awareness Reports

---

NPPD/Infrastructure Protection/CI/KR Contingency Planning & Incident Management Division

- Incident Management Branch
- National Infrastructure Coordinating Center (NICC)

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Kenyon, Kathleen [mailto:Kathleen.Kenyon@dhs.gov]  
**Sent:** Monday, April 14, 2008 2:12 PM  
**To:** Hudson, Tammy <CTR>  
**Cc:** Morgan, D'Arcy; Anderson, James; Lazisky, Richard  
**Subject:** RE: NARA Request - Situation Awareness Reports

Hello Tammy,

Typically our reports end up in the Secretary's hands when the NOC has instituted National Level Reporting and stood up the CAT.

We produce a daily update briefing for IP everyday. Additionally, the NICC produces a NICC Sector Pulse daily. I have attached an example of both for you.

The NICC will also produce Spot Reports, Suspicious Activities Reports, and EXSUM/SITRep during an incident. The Spot Reports are incident-specific and are developed as precursor to a developing event. The EXSUM folds into the National Situation Report. I have included Chris Anderson on this email as well. Chris will be involved in many aspects of the IMC and also is the Director of the NICC. Chris may want to send you some examples of those as well.

I have also attached IP's contribution to the Senior Leadership Operations Briefing. This is produced when the CAT is operational/national level reporting is activated. The Senior Leadership Operations Briefing will most likely end up as part of the Secretary's Briefing Book.

Regards,  
 Kathleen

---

Kathleen Kenyon  
 (703) 235-4003 (Ballston)  
 (202) 360-3012 (Cell)

---

**From:** Hudson, Tammy <CTR> [mailto:Tammy.Hudson@associates.dhs.gov]  
**Sent:** Monday, April 14, 2008 1:38 PM  
**To:** Kenyon, Kathleen; Morgan, D'Arcy; Johnson, JPaul  
**Subject:** NARA Request - Situation Awareness Reports

When we met to discuss your program records, it was determined that your program produced Situation Awareness Reports. (See the item description below)



***Situation Awareness Reports***

*Provide information on significant incidents/events regarding emerging or potential incidents with possible operational consequences. (Report on Incidents of National Significance will be included in the Secretary's daily briefing book.)*

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

NARA has requested additional information for their appraisal report:

- Please provide samples of various types of these reports.
- It would also be helpful to know the exact criteria DHS uses when it decides to send these to the Secretary.
- What other events (other than Incidents of National Significance) might the Secretary know about through SARs?
- Could we look into what SARs have ended up in the briefing books over, say, the last month or so?

Can you assist in this request? Could you supply at least one copy of a report from your program area and information on what type of information would be forwarded to the Secretary?

I need your response by COB Thursday, 4/17. Let me know if you have any questions.

Thanks!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - FW: NARA Request - Situation Awareness Reports

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/15/2008 1:46 PM  
**Subject:** FW: NARA Request - Situation Awareness Reports

---

These are from Health Affairs

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Gusto, John  
**Sent:** Tuesday, April 15, 2008 1:25 PM  
**To:** Hudson, Tammy <CTR>  
**Subject:** RE: NARA Request - Situation Awareness Reports

Hi Tammy,

After discussion with other co-workers the following is the information we have provided to you that will hopefully answer your questions. See my comments below.

NARA has requested additional information for their appraisal report:

- Please provide samples of various types of these reports. **SEE ATTACHMENTS**
- It would also be helpful to know the exact criteria DHS uses when it decides to send these to the Secretary. **SEE CIR ATTACHMENT**
- What other events (other than Incidents of National Significance) might the Secretary know about through SARs? **Events of media interest.**
- Could we look into what SARs have ended up in the briefing books over, say, the last month or so? **It would be best to speak with the Secretary's Briefing Staff.**

Can you assist in this request? Could you supply at least one copy of a report from your program area and information on what type of information would be forwarded to the Secretary? **The attachments provided above could be forwarded to the Secretary. Every 90 days our Director provides an NBIC program update brief slide presentation to the Secretary.**

Hope this helps.

V/r,

John Gusto  
Deputy Program Manager  
Ph#: 202-447-3183  
Email: [john.gusto@hq.dhs.gov](mailto:john.gusto@hq.dhs.gov)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Monday, April 14, 2008 1:36 PM  
**To:** Gusto, John; Myers, Eric  
**Subject:** NARA Request - Situation Awareness Reports

When we met to discuss your program records, it was determined that your program produced Situation Awareness Reports. (See the item description below)

***Situation Awareness Reports***

*Provide information on significant incidents/events regarding emerging or potential incidents with possible operational consequences. (Report on Incidents of National Significance will be included in the Secretary's daily briefing book.)*

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

NARA has requested additional information for their appraisal report:

- Please provide samples of various types of these reports.
- It would also be helpful to know the exact criteria DHS uses when it decides to send these to the Secretary.
- What other events (other than Incidents of National Significance) might the Secretary know about through SARs?
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Can you assist in this request? Could you supply at least one copy of a report from your program area and information on what type of information would be forwarded to the Secretary?

I need your response by COB Thursday, 4/17. Let me know if you have any questions.

Thanks!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - FW: NARA Request - Situation Awareness Reports

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** <julie.hunsaker@nara.gov>  
**Date:** 4/28/2008 6:24 AM  
**Subject:** FW: NARA Request - Situation Awareness Reports

---

Here's another report.

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Hazzard, Larry  
**Sent:** Friday, April 25, 2008 5:27 PM  
**To:** Hudson, Tammy <CTR>  
**Cc:** Hazzard, Larry; jpeterson@shareshf.com  
**Subject:** RE: NARA Request - Situation Awareness Reports

**Tammy – Backed up on e-mail responses here . . . I'll attach "sample" of possible SHARES SpotRep (vice Situation Awareness Report terminology) that we might request and receive from radio operators in the field. It is highly highly highly unlikely any of these ground-level SpotReps would ever go to the Secretary of DHS. They are for ground-truth to augment situational awareness for our NCS – NCC operational staff. It is fairly recent that we developed this SpotRep format so do not have any historical files of these documents as previous inputs were typically free-form e-mails.**

Hope this helps, Larry

Larry M. Hazzard (703) 235-5279  
 DHS - National Coordinating Center

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Monday, April 14, 2008 1:41 PM  
**To:** Hazzard, Larry; Carney, Brian; O'Connor, John  
**Subject:** NARA Request - Situation Awareness Reports

When we met to discuss your program records, it was determined that your program produced Situation Awareness Reports. (See the item description below)

***Situation Awareness Reports***

*Provide information on significant incidents/events regarding emerging or potential incidents with possible operational consequences. (Report on Incidents of National Significance will be included in the Secretary's daily briefing book.)*

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

NARA has requested additional information for their appraisal report:

- Please provide samples of various types of these reports.

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- What other events (other than Incidents of National Significance) might the Secretary know about through SARs?
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Can you assist in this request? Could you supply at least one copy of a report from your program area and information on what type of information would be forwarded to the Secretary?

I need your response by COB Thursday, 4/17. Let me know if you have any questions.

Thanks!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - DHS OIG's Meeting with National Archives**

**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>, "Hurley, Kim" <kim.hurley@dhs.gov>  
**Date:** 4/4/2008 4:36 PM  
**Subject:** DHS OIG's Meeting with National Archives  
**CC:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>, "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>

When: Friday, April 11, 2008 1:00 PM-2:00 PM (GMT-05:00) Eastern Time (US & Canada).

Where: 1120 Vermont Avenue, 12th Floor

\*~\*~\*~\*~\*~\*~\*~\*~\*

Meeting Agenda

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

## Julie Hunsaker - Re: DHS OIG's Meeting with National Archives

**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 4/7/2008 9:00:19 AM  
**Subject:** Re: DHS OIG's Meeting with National Archives

Michelle,

Thanks for the agenda. This time works well for me. I'll see you then!

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 4/4/2008 4:36 PM >>>

When: Friday, April 11, 2008 1:00 PM-2:00 PM (GMT-05:00) Eastern Time (US & Canada).  
Where: 1120 Vermont Avenue, 12th Floor

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### { Meeting Agenda

[REDACTED]

(b)(5) [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

**Julie Hunsaker - RE: DHS OIG's Meeting with National Archives**

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**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/7/2008 9:11 AM  
**Subject:** RE: DHS OIG's Meeting with National Archives

---

Great Julie. Re: the Treasury IG for Tax Administration's proposed schedule, if you manage to get this before the meeting, I would appreciate if you could email me a copy. I know you were going to bring it to the meeting (which I would still like), but I would be very interested to see it beforehand. Of course, this is only if you can. Thanks.

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, April 07, 2008 9:00 AM  
**To:** Michelle Adler  
**Subject:** Re: DHS OIG's Meeting with National Archives

Michelle,

Thanks for the agenda. This time works well for me. I'll see you then!

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 4/4/2008 4:36 PM >>>

When: Friday, April 11, 2008 1:00 PM-2:00 PM (GMT-05:00) Eastern Time (US & Canada).  
Where: 1120 Vermont Avenue, 12th Floor

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{ Meeting Agenda

[REDACTED]

(b)(5) [REDACTED]

[REDACTED]

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(S)

[REDACTED]

**Julie Hunsaker - RE: DHS OIG's Meeting with National Archives**

**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 4/7/2008 9:35 AM  
**Subject:** RE: DHS OIG's Meeting with National Archives

Michelle,

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 4/7/2008 9:11 AM >>>

Great Julie. Re: the Treasury IG for Tax Administration's proposed schedule, if you manage to get this before the meeting, I would appreciate if you could email me a copy. I know you were going to bring it to the meeting (which I would still like), but I would be very interested to see it beforehand. Of course, this is only if you can. Thanks.

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, April 07, 2008 9:00 AM  
**To:** Michelle Adler  
**Subject:** Re: DHS OIG's Meeting with National Archives

Michelle,

Thanks for the agenda. This time works well for me. I'll see you then!

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 4/4/2008 4:36 PM >>>

When: Friday, April 11, 2008 1:00 PM-2:00 PM (GMT-05:00) Eastern Time (US & Canada).  
Where: 1120 Vermont Avenue, 12th Floor

\*~\*~\*~\*~\*~\*~\*~\*~\*

Meeting Agenda

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

(S)(S)

## Julie Hunsaker - Re: System documents

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**From:** Julie Hunsaker  
**To:** Schultz, Kathy  
**Date:** 2/20/2007 4:16 PM  
**Subject:** Re: System documents

---

Kathy,

I reviewed the draft PIA for the Chemical Security Assessment Tool (CSAT). Often, I've found a PIA is just about the only documentation we need to complete an appraisal. However, in this case, the PIA for the CSAT only describes what appears to be a small subset of the data in the system; it only includes information about fields that would be considered contact information fields. (Section 1.1 only includes, for example, fields like name, mailing address, phone number, and email address.) In order to appraise this system, we would need access to a document that explains what all of the fields are. Please let me know if you have any questions.

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 1/23/2007 7:49 AM >>>  
Julie,

We have our test case to see if we can speed along the scheduling of electronic systems.

This is the Chemical Security Asset Tool (CSAT) in the Preparedness Directorate. It is not one of the pieces going to FEMA so we can move forward without any problems in that area.

Please advise on next steps, etc.

Thank you,

Kathy

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

**Julie Hunsaker - RE: question**

---

**From:** Julie Hunsaker  
**To:** Schultz, Kathy  
**Date:** 2/9/2007 8:22 AM  
**Subject:** RE: question

---

Hi, Kathy.

Just wanted to follow-up with you about this. Did my voicemail suffice or do you think OGC wants a more substantive response from NARA?

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 1/31/2007 4:16 PM >>>  
Julie,

As I mentioned in the voice message, I will be out the next couple of days. In the meantime, if you need additional information before Monday, our appraisal archivist at NARA is Julie Hunsaker. She can be reached at (301) 837-0661.

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

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**From:** Dunne, Julie [mailto:Julie.Dunne@dhs.gov]  
**Sent:** Monday, January 29, 2007 9:46 AM  
**To:** Schultz, Kathy  
**Subject:** RE: question

Thanks! We'd like to get this distributed asap.

---

**From:** Dunne, Julie  
**Sent:** Wednesday, January 24, 2007 1:39 PM  
**To:** 'Schultz, Kathy'  
**Subject:** question

Kathy,

I'm sorry I wasn't able to meet with you the Thursday before last - a medical emergency came up but all is well now. You may recall the attached document that you and I worked on for investigations. Gus has given me the go to distribute, but he had a question as to whether NARA has to approve to make this effective. Do you know?

Julie A. Dunne  
Associate General Counsel for General Law  
Department of Homeland Security

**From:** Andrea Loiselle  
**To:** Tammy.Hudson@associates.dhs.gov  
**Date:** 4/10/2008 11:00:18 AM  
**Subject:** DNDO Program Schedule

Tammy,

Another question: Security Staff File--I just want to make sure this is supposed to be here. Does the DNDO have a Security Office? What exactly is their function?

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Mon, Apr 14, 2008 8:02 AM  
**Subject:** RE: DNDO Program Schedule

They do have their own Security Staff. Here's their function:

The Domestic Nuclear Detection Office (DNDO) Security Office safeguards information and assets vital to the security and integrity of the homeland.

The Security Office administers programs aimed at providing security for DNDO information and facilities. They also serve as liaison between facility guard staff and the Department of Homeland Security (DHS), DNDO personnel.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Thursday, April 10, 2008 11:00 AM  
To: Hudson, Tammy  
Subject: DNDO Program Schedule

Tammy,

Another question: Security Staff File--I just want to make sure this is supposed to be here. Does the DNDO have a Security Office? What exactly is their function?

Thanks,  
Andrea

**From:** Andrea Loiselle  
**To:** Tammy.Hudson@associates.dhs.gov  
**Date:** 4/10/2008 10:06:50 AM  
**Subject:** DNDO Program Records

Tammy,

I just wanted to clarify the outstanding issues on this schedule:

1. Management Reports and Program Management Files/Strategic Plans: Were we going to remove these from the schedule because they are covered elsewhere (records common to all programs)?
2. Nuclear Incident Reports: I need some terms defined in order to understand the description I was given: "occupancy," "detector" and what it detects, and "incident".

And one new question:

3. Letters of Encouragement/Discouragement: I'm not clear on what these are. The description states the are letters sent to vendors that encourage/discourage response/participation to "proposals based on feasibility". What exactly are these "proposals based on feasibility"? Feasibility of what?

Thanks,  
Andrea



**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Mon, Apr 14, 2008 8:04 AM  
**Subject:** RE: DNDO Program Records

1. yes, those are being removed
2. forwarded the request to the Chief of Staff - apparently our initial contact is no longer with DHS
3. I'll check on it...

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Thursday, April 10, 2008 10:07 AM  
To: Hudson, Tammy  
Subject: DNDO Program Records

Tammy,

I just wanted to clarify the outstanding issues on this schedule:

1. Management Reports and Program Management Files/Strategic Plans:  
Were we going to remove these from the schedule because they are covered elsewhere (records common to all programs)?
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Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Mon, Apr 14, 2008 8:10 AM  
**Subject:** RE: DNDO Program Records

Here's a description of the program for #3 - does this help? It would be the feasibility of the technology:

The Transformational Research and Development program identifies technology opportunities through Exploratory Research, Small Business Innovative Research, and the Academic Research Initiative and executes research and development programs through Advanced Technology Demonstrations designed to dramatically improve radiological and nuclear detection capability and overall systems performance.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Thursday, April 10, 2008 10:07 AM  
To: Hudson, Tammy  
Subject: DNDO Program Records

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Thanks,  
Andrea

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 4/14/2008 8:26:43 AM  
**Subject:** RE: DNDO Program Records

Thanks!

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 8:15 AM >>>  
Updated DNDO 115

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loiselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Thursday, April 10, 2008 10:07 AM  
To: Hudson, Tammy  
Subject: DNDO Program Records

Tammy,

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Thanks,  
Andrea

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 4/14/2008 3:38:33 PM  
**Subject:** RE: DNDO Program Records

Tammy,

Can you add "TEMPORARY" to the dispositions for items 2, 6 and 8 and resend this please?

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 8:15 AM >>>  
Updated DNDO 115

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loiselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Thursday, April 10, 2008 10:07 AM  
To: Hudson, Tammy  
Subject: DNDO Program Records

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Thanks,  
Andrea

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 4/15/2008 8:19:27 AM  
**Subject:** RE: DNDO Program Records

Thanks for trying to track this information down.

Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/15/2008 7:33 AM >>>

Done. I also spoke to the Chief of Staff for DNDO and the person I needed to get those definitions from has retired. She forwarded the request on to the replacement, so hopefully we'll get them back this week.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loiselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Monday, April 14, 2008 3:39 PM  
To: Tammy <CTR> Hudson  
Subject: RE: DNDO Program Records

Tammy,

Can you add "TEMPORARY" to the dispositions for items 2, 6 and 8 and resend this please?

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <[Tammy.Hudson@associates.dhs.gov](mailto:Tammy.Hudson@associates.dhs.gov)> 4/14/2008 8:15 AM >>>  
Updated DNDO 115

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

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Sent: Thursday, April 10, 2008 10:07 AM  
To: Hudson, Tammy  
Subject: DNDO Program Records

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are. The description states they are letters sent to vendors that encourage/discourage response/participation to "proposals based on feasibility". What exactly are these "proposals based on feasibility"?

Feasibility of what?

Thanks,  
Andrea

**From:** Andrea Loiselle  
**To:** Tammy.Hudson@associates.dhs.gov  
**Date:** 5/7/2008 1:53:23 PM  
**Subject:** DNDO

One other question: Can I get a description of what the Occupancy Data and Alarm Data actually are. I've got a good description of the Meta Data, but I could also use an explanation of how Meta Data is different from Occupancy Data and Alarm Data.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Thu, May 8, 2008 8:09 AM  
**Subject:** RE: DNDO

Good morning,

Responses to your questions...

Question 1 - Yes - The Office of Assessments is responsible for the testing and evaluation of equipment and systems used to detect nuclear material at selected locations and for doing periodic assessments of the equipment installations, including assessing procedures, physical installation and recommending improvements.

Additional info from notes:

The assessment documentation consists of functionally similar documents for equipment installed and in use. Additionally, a Concept of Operation document is prepared describing the assessment method that is a part of the assessment documentation file. The assessment documentation except the final report should be retained for 5 years after completion of the assessment. The final report and the lessons learned reports should be retained as long as required for business purposes, but evaluated for retention at 5 year intervals, with an option to retain for another 5 years or destroy immediately. The classification of these reports can range from Official Use Only to Top Secret. The Lessons Learned Report is disseminated to other governmental organizations, as redacted to meet security and access restrictions.

Question 2 - These records are created and maintained by a different program: the Joint Analysis Center (JAC). These are maintained as part of their record, shouldn't we leave that in the description?

If I need to re-word the first item to differentiate between the two items, let me know.

I forwarded your other request to the program.

Thanks

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, May 07, 2008 1:24 PM  
To: Hudson, Tammy  
Subject: DNDO

Tammy,



I'm trying to finish up my appraisal on the DNDO Program Records schedule and need some clarification. I came across a reference to the Nuclear Assessment Program and wanted to determine if they are the ones who would be creating the assessments in item 1.

There is also a reference to assessments in item 4, Nuclear Alarm Records. From my research, I know that assessments are sometimes conducted by the Nuclear Assessment Program after a nuclear alarm adjudication, but if item 1 covers those records, they shouldn't be part of item 4. What I'm trying to clarify is if the assessments in item 4 are the same as the assessments in item 1, and if so, should they be removed from the description in item 4?

I realize you may not be able to get this information until next week, so just let me know as soon as you can.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Wed, Mar 26, 2008 7:20 AM  
**Subject:** OPA Update

Andrea,

Bobbie is out of the office until Monday and just heard from Barry and he is out with FEMA in the Midwest.

Looks like it will be next week before we get the info on these items.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 3/26/2008 8:39:58 AM  
**Subject:** Re: OPA Update

No problem. Thanks for checking on these.

Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/26/2008 7:19 AM >>>  
Andrea,

Bobbie is out of the office until Monday and just heard from Barry and he is out with FEMA in the Midwest.

Looks like it will be next week before we get the info on these items.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 4/15/2008 8:20:00 AM  
**Subject:** Re: OPA Update

Great!

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/15/2008 8:01 AM >>>  
Apparently Barry printed the form and completed it and gave it to Tammy  
Howard (she's in OPA). I'll get it from her today and scan it to send.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** Thu, Mar 29, 2007 12:36 PM  
**Subject:** RE: FW: FW: NARA Review of IDMS

Brian,

We are located at 1120 VERMONT AVE NW

The closest Metro is McPherson Square. Otherwise, there are several public parking garages in the area. Price range at that time is probably \$13 or more. There's actually public parking under our building, but I'm not sure how quickly that fills up.

When you arrive, you'll need to show id to the guard station in the lobby and then just take the elevator to the 10th floor. Have the receptionist call me (4-6363) and we can head up to OIG from there.

See you Tuesday.

Tammy

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Thursday, March 29, 2007 11:41 AM  
To: Tammy <CTR> Hudson  
Cc: Julie Hunsaker  
Subject: Re: FW: FW: NARA Review of IDMS

Good morning Tammy, Tuesday April 3, 2007, at 10:00 a.m. is great for me. Please provide address, room number, parking situation, etc...

have a great day!!

brian

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/28/2007 10:39 AM >>>  
Brian,

Which of these dates would work best for you?

Tammy

-----Original Message-----

From: Adler, Michelle [mailto:michelle.adler@dhs.gov]  
Sent: Wednesday, March 28, 2007 10:38 AM  
To: Hudson, Tammy <CTR>  
Subject: RE: FW: NARA Review of IDMS

I've rounded up three people for Brian Woodall to interview. We are available on Tuesday 4/3/07 at 10:00 AM. If this date/time is not good, we can do Wednesday 4/4/07 at 10:00 am.

Also, most likely, Mr. Woodall will not be allowed to actually see the electronic database (see the last sentence of his 3/26/07 email below).

I alerted you to this when I emailed you last week, but I never heard from you. So let's just proceed with the meeting and let's see how things evolve. Thanks.

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]

Sent: Monday, March 26, 2007 1:13 PM

To: Tammy <CTR> Hudson

Subject: Re: FW: NARA Review of IDMS

My available dates are March 28-30, and the first week of April, please let me know. and.....

yes, I'm happy to explain more about the purpose of a records scheduling site visit.

When NARA processes a Request for Records Disposition Authority (SF 115), appraisal archivists routinely carry out site visits. The purpose of the site visit is to confirm that the records listed on the SF 115 do indeed exist, the proposed disposition instructions are appropriate, and it allows the archivist to examine first-hand whether the records may have historical ("permanent") value.

During the visit, I will simply need someone (or multiple people) to literally show me where the records listed on the SF 115 are filed, perhaps show me a sample record or two, and then potentially answer some questions about the records regarding their characteristics (e.g., for more descriptive information than what is provided on the SF 115), purpose, arrangement, and potentially permanent value. I may also ask for the rationale behind a retention period being proposed in a disposition instruction.

I want to stress that a scheduling site visit is NOT an audit in any sense of the word. The purpose is not to grade anyone on recordkeeping practices. It is a fact-finding exercise. I will use the information I gather to write an appraisal report. This report may describe the records on the SF 115 in more detail and include rationales behind the proposed disposition instructions.

I noticed that this schedule provides disposition instructions for both paper and electronic versions of records. One of the specific questions I will have for all of the items is: which already exist in electronic format as a database and which currently exist only as paper/scanned

image. If any permanent or potentially permanent paper records exist as inputs to a database, i.e. SIGNIFICANT CASES, I will be interested in seeing the database.

BRIAN T. WOODALL, Archives Specialist  
Life Cycle Management Division  
National Archives and Records Administration  
8601 Adelphi Road  
College Park, MD 20740-6001  
V: 301.837.1574. F: 301.837.3698  
E-mail: brian.woodall@nara.gov

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/23/2007  
10:53 AM >>>  
Brian,

Have you determined which date will work for you? We're currently unavailable for Tuesday the 27th - we booked our reviews with Ivan for that date.

Tammy

---

From: Hudson, Tammy <CTR>  
Sent: Tuesday, March 20, 2007 9:47 AM  
To: brian.woodall@nara.gov  
Subject: FW: NARA Review of IDMS

Brian,

See Michelle's question below...who would you need to meet with to review the schedule?

Thanks

Tammy

---

From: Adler, Michelle [mailto:michelle.adler@dhs.gov]  
Sent: Tuesday, March 20, 2007 9:45 AM  
To: Hudson, Tammy <CTR>  
Subject: RE: NARA Review of IDMS

Hi. This is a follow-up to the voice mail I just left you. I'm guessing that NARA really needs to meet with staff from our Office of Investigations. Can you give me a better sense for the types of questions the NARA person will be asking or what they will want to review. For example, are they expecting to look at case files (actually, I'm not even sure this is allowed). If you can answer this, I can then determine which persons to involve and their schedules. Thanks.

Michelle

(202) 254-4068

-----Original Message-----

From: Hudson, Tammy <CTR>  
[mailto:Tammy.Hudson@associates.dhs.gov]  
Sent: Tuesday, March 20, 2007 7:31 AM  
To: Adler, Michelle  
Cc: Schultz, Kathy  
Subject: NARA Review of IDMS

Michelle,

The NARA rep would like to make an appointment to meet with you regarding the IDMS records schedule.

Is there a day and time next week that would work best for you?  
It will take approximately one hour.

Let me know what works best for you and we'll set it up.



## Julie Hunsaker - Work Group List

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 3/26/2008 9:23 AM  
**Subject:** Work Group List .

---

Julie,

Could you send me an updated list of Work Group 1? The one I have is from December 2006.

Thanks.

Kathy

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

## Julie Hunsaker - Re: Work Group List

---

**From:** Julie Hunsaker  
**To:** Schultz, Kathy  
**Date:** 3/26/2008 10:28 AM  
**Subject:** Re: Work Group List

---

Kathy,

Certainly - I've attached it.

By the way, do you have a sense of how many people will attend tomorrow's meeting? I'm going to bring some copies and I want to make sure I bring enough.

Thanks,

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 3/26/2008 9:22 AM >>>  
Julie,

Could you send me an updated list of Work Group 1? The one I have is from December 2006.

Thanks.

Kathy

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

# NATIONAL RECORDS MANAGEMENT PROGRAM AGENCY ASSIGNMENTS

DHS

March 26, 2008

Agency	Common Acronym	Dept	RG #	Work Group* or Region	Name
Citizenship and Immigration Services	USCIS	DHS	566	4	Tom Cotter
Customs and Border Protection	CBP	DHS	568	1	Ivan King
Federal Emergency Management Agency	FEMA	DHS	311	1	Julie Hunsaker
Federal Law Enforcement Training Center	FLETC	DHS		NRC	Marilla Guptil
Homeland Security, Department of Departmental Offices: Office of the Secretary Domestic Nuclear Detection Office Office of Intelligence and Analysis Office of Operations Coordination Office of Health Affairs Office of Policy Management Directorate National Protection and Programs Directive Science and Technology Directorate	DHS	DHS	563	1	Julie Hunsaker
Immigration and Customs Enforcement	ICE	DHS	567	1	Ivan King
Secret Service	USSS	DHS	87	4	Tom Cotter
Transportation Security Administration	TSA	DHS	560	1	Ivan King
U.S. Coast Guard	USCG	DHS	26	1	Andrea Loiselle

Tom Cotter: 301-837-1623  
Marilla Guptil: 404-736-2833  
Julie Hunsaker: 301-837-0661  
Ivan King: 301-837-3030  
Andrea Loiselle: 301-837-1684

**Julie Hunsaker - RE: Work Group List**

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 3/26/2008 10:47 AM  
**Subject:** RE: Work Group List

---

Julie,

Thanks for the list. About 12 have responded, but there could be more.

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, March 26, 2008 10:29 AM  
**To:** Kathy Schultz  
**Subject:** Re: Work Group List

Kathy,

Certainly - I've attached it.

By the way, do you have a sense of how many people will attend tomorrow's meeting? I'm going to bring some copies and I want to make sure I bring enough.

Thanks,

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 3/26/2008 9:22 AM >>>  
Julie,

Could you send me an updated list of Work Group 1? The one I have is from December 2006.

Thanks.

Kathy

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

**Julie Hunsaker - Good bye!**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>, "Andrea Loiselle" <Andrea.Pugsley@nara.gov>, "Ivan King" <Ivan.King@nara.gov>, "Brian Woodall" <Brian.Woodall@nara.gov>, "Laura McHale" <Laura.McHale@nara.gov>, "Stacie Byas" <Stacie.Byas@nara.gov>  
**Date:** 7/22/2008 3:55:50 PM  
**Subject:** Good bye!

---

Hello my NARA friends,

Well today is my last day. For now Kathy is taking over all the scheduling duties. I've left her with detailed information on what need to still be completed. Sorry I wasn't able to get everything you needed before I left.

It's been a pleasure working with you and you've helped me learn a whole new side of records. Who knows; maybe we'll meet up again in another Federal agency.

Thanks again!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - Re: Good bye!

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 7/22/2008 4:06:53 PM  
**Subject:** Re: Good bye!

---

We'll definitely miss you! I hope we'll meet up again.

All the best!

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 7/22/2008 3:53 PM >>>  
Hello my NARA friends,

Well today is my last day. For now Kathy is taking over all the scheduling duties. I've left her with detailed information on what need to still be completed. Sorry I wasn't able to get everything you needed before I left.

It's been a pleasure working with you and you've helped me learn a whole new side of records. Who knows, maybe we'll meet up again in another Federal agency.

Thanks again!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - Security at NCSD

---

**From:** "Pritchard, Kimberly [USA]" <pritchard\_kimberly@bah.com>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/16/2008 3:21 PM  
**Subject:** Security at NCSD

---

Hi Julie:

Just following up on my voicemail today. I suspect that you do not have NCSD access and will need a visitor's pass tomorrow. If so, we need to forward your name and last four digits of your SSN to the security team ahead of time. Please call me at 478.747.8356. Thanks!

Kim

Kimberly A. Pritchard, Esq.

Associate

Booz Allen Hamilton

478.747.8356 (c)

**Julie Hunsaker - RE: Handouts from 3/27/08 Meeting**

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/15/2008 3:05 PM  
**Subject:** RE: Handouts from 3/27/08 Meeting

---

Thank you.

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, April 15, 2008 3:03 PM  
**To:** Schultz, Kathy  
**Subject:** Handouts from 3/27/08 Meeting

Kathy,

I've attached the handouts I distributed at the March meeting.

Julie



## Julie Hunsaker - news

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/15/2008 2:16 PM  
**Subject:** news

---

FYI

[http://www.govexec.com/story\\_page.cfm?articleid=39768&dcn=todaysnews](http://www.govexec.com/story_page.cfm?articleid=39768&dcn=todaysnews)

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

## Julie Hunsaker - Re: news

---

**From:** Julie Hunsaker  
**To:** Schultz, Kathy  
**Date:** 4/15/2008 2:24:13 PM  
**Subject:** Re: news

---

Thanks, Kathy!

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 4/15/2008 2:15 PM >>>  
FYI

[http://www.govexec.com/story\\_page.cfm?articleid=39768&dcn=todaysnews](http://www.govexec.com/story_page.cfm?articleid=39768&dcn=todaysnews)

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

## Julie Hunsaker - NPPD Schedule Submission

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/17/2008 6:17:23 AM  
**Subject:** NPPD Schedule Submission

---

Julie,

I'll be sending the following schedules for registration today...

National Protection and Programs (NPPD)

- National Communications System (NCS) program records
  - NCS – Committee of Principals
- Risk Management and Analysis program records

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - Re: NPPD Schedule Submission

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 6/17/2008 8:14:10 AM  
**Subject:** Re: NPPD Schedule Submission

---

Okay - thanks for the heads-up, Tammy!

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/17/2008 6:16 AM >>>  
Julie,

I'll be sending the following schedules for registration today.

National Protection and Programs (NPPD)

- National Communications System (NCS) program records
  - NCS - Committee of Principals
- Risk Management and Analysis program records

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - Floods

---

**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 6/16/2008 10:24:42 AM  
**Subject:** Floods  
**CC:** King, Ivan

---

Good morning, Kathy.

The National Archives is looking into whether Federal agencies have sustained any records damage due to the floods in Iowa, Indiana and Wisconsin (in particular Des Moines and Cedar Rapids). Does DHS have any field offices in these areas? If so, are you aware whether any of those offices have had any records damaged from the flooding?

Thanks,

Julie

## Julie Hunsaker - Request for data

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/12/2008 11:57:37 AM  
**Subject:** Request for data

---

Julie,

Since Tom Cotter is on leave/out of the office, could you send the May report for CIS? I need to measure their scorecard report against your monthly report. Thanks.

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

## Julie Hunsaker - Re: Request for data

---

**From:** Julie Hunsaker  
**To:** Schultz, Kathy  
**Date:** 6/12/2008 4:43:29 PM  
**Subject:** Re: Request for data

---

Kathy,

Yes, we'll work on putting this information together for you. Tom had to take leave unexpectedly but we'll do what we can to create this report in his absence.

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 6/12/2008 11:56 AM >>>  
Julie,

Since Tom Cotter is on leave/out of the office, could you send the May report for CIS? I need to measure their scorecard report against your monthly report. Thanks.

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

## Julie Hunsaker - Fwd: Re: Request for data

---

**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 6/20/2008 4:45:52 PM  
**Subject:** Fwd: Re: Request for data  
**CC:** Cassedy, James; Cotter, Thomas

---

Kathy,

I apologize that we weren't able to provide this information to you this week. I believe you're now out of the office until the end of the month - Tom will send you the June report soon after you return.

Julie

>>> Julie Hunsaker 6/12/2008 4:43 PM >>>  
Kathy,

Yes, we'll work on putting this information together for you. Tom had to take leave unexpectedly but we'll do what we can to create this report in his absence.

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 6/12/2008 11:56 AM >>>  
Julie,

Since Tom Cotter is on leave/out of the office, could you send the May report for CIS? I need to measure their scorecard report against your monthly report. Thanks.

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*



\*\*\*\*\* -COMM. JOURNAL- \*\*\*\*\* DATE MAR-28-1996 \*\*\*\*\* TIME 05:04 \*\*\* P.01

MODE = MEMORY TRANSMISSION

START=MAR-28 05:03

END=MAR-28 05:04

FILE NO.= 150

STN NO.	COMM.	ABBR NO.	STATION NAME/TEL NO.	PAGES	DURATION
001	OK	8	92024475780	004/004	00:01'25"

\*\*\*\*\* - \*\*\*\*\*

Page 1 of 1

### Julie Hunsaker - DHS schedule

**From:** "Schultz, Kathy" <Kathy.Schultz@DIIS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/4/2007 2:49 PM  
**Subject:** DIIS schedule

Julie,

I am missing the only copy of a DHS schedule from 2003 for Protection Critical Infrastructure Information. Could you fax me that schedule? (202) 447-5780.

Thanks.

Kathy

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

## Julie Hunsaker - DHS Schedules

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/5/2007 11:05 AM  
**Subject:** DHS Schedules

---

Julie,

Thanks again for the schedule you faxed yesterday.

As I recall, I sent in a couple of others before this big project started, but my files are not complete. With several contractors handling these activities, we may have lost track of what has been approved. Can you send me any others that are signed? Do you have one for non disclosure agreements? That should have been approved some time ago.

Thanks.

Kathy

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

## Julie Hunsaker - Records Schedule

---

**From:** "Mason, Quinton" <Quinton.Mason@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 5/1/2008 6:56 AM  
**Subject:** Records Schedule

---

Julie – Good morning,

Please provide an update in reference to I&A records schedule (i.e., the estimated time for approval).

Thanks

**Quinton S. Mason**

Records and Acting Disclosure Officer  
Department of Homeland Security  
Intelligence and Analysis (I&A)  
(202) 282-9385  
[quinton.mason@dhs.gov](mailto:quinton.mason@dhs.gov)

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**Julie Hunsaker - Re: Records Schedule**

---

**From:** Julie Hunsaker  
**To:** Mason, Quinton  
**Date:** 5/1/2008 8:45 AM  
**Subject:** Re: Records Schedule

---

Hi, Quinton!

Notice of the I&A schedule was published in the Federal Register on 3/3/08. A member of the public requested a copy of it. We mailed that copy to them on 4/14/08; their comments (if they submit any) are due 5/14/08. If we receive comments, NARA must respond and work to resolve their concerns; it is difficult to project how much time this would add to the review process. (We will let you know if this happens.) If we do not receive comments, we will send the schedule forward for the Archivist's review and signature at the beginning of the week of 5/19/08. We would then expect the schedule to be approved by the end of May or beginning of June.

Julie

>>> "Mason, Quinton" <Quinton.Mason@dhs.gov> 5/1/2008 6:55 AM >>>  
Julie - Good morning,

Please provide an update in reference to I&A records schedule (i.e., the estimated time for approval).

Thanks

**Quinton S. Mason**  
Records and Acting Disclosure Officer  
Department of Homeland Security  
Intelligence and Analysis (I&A)  
(202) 282-9385  
[quinton.mason@dhs.gov](mailto:quinton.mason@dhs.gov)

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**Julie Hunsaker - RE: Records Schedule**

---

**From:** "Mason, Quinton" <Quinton.Mason@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 5/1/2008 9:17 AM  
**Subject:** RE: Records Schedule

---

Thanks

**Quinton S. Mason**

Records and Acting Disclosure Officer  
Department of Homeland Security  
Intelligence and Analysis (I&A)  
(202) 282-9385  
[quinton.mason@dhs.gov](mailto:quinton.mason@dhs.gov)

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---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, May 01, 2008 8:45 AM  
**To:** Quinton Mason  
**Subject:** Re: Records Schedule

Hi, Quinton!

Notice of the I&A schedule was published in the Federal Register on 3/3/08. A member of the public requested a copy of it. We mailed that copy to them on 4/14/08; their comments (if they submit any) are due 5/14/08. If we receive comments, NARA must respond and work to resolve their concerns; it is difficult to project how much time this would add to the review process. (We will let you know if this happens.) If we do not receive comments, we will send the schedule forward for the Archivist's review and signature at the beginning of the week of 5/19/08. We would then expect the schedule to be approved by the end of May or beginning of June.

Julie

>>> "Mason, Quinton" <Quinton.Mason@dhs.gov> 5/1/2008 6:55 AM >>>  
Julie - Good morning,

Please provide an update in reference to I&A records schedule (i.e., the estimated time for approval).

Thanks

**Quinton S. Mason**

Records and Acting Disclosure Officer  
Department of Homeland Security  
Intelligence and Analysis (I&A)  
(202) 282-9385  
[quinton.mason@dhs.gov](mailto:quinton.mason@dhs.gov)

This email and any files transmitted with it are confidential and intended solely for the use of the individual or

## Julie Hunsaker - Re: FW: Scheduling question

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 1/24/2007 8:53 AM  
**Subject:** Re: FW: Scheduling question  
**CC:** Schultz, Kathy

---

Good morning, Tammy.

While a schedule does include information about when permanent records will be transferred to NARA, it generally doesn't include information about when those records will become available or open to the public. NARA has an entire office dedicated to determining when classified information in NARA's custody may be declassified. They definitely do NOT automatically become public once we receive them. We follow the same declassification standards used by all Federal agencies and it's my understanding that sometimes we make this determination in conjunction with the Federal agency that had original custody of the records.

Just a note regarding pre-accessioning: when we receive records via pre-accessioning this means we take physical custody but not legal custody - and we provide no public access to the records during this time. We view pre-accessioning as though we are the off-site storage facility for the agency, we're providing a safe place to store the records (and migrate them, if need be). We generally pre-accession electronic records due to the associated issues of technology obsolescence.

Does this answer your question?

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 1/24/2007 8:04 AM >>>  
 Julie,

Can you help with this question? "The details of how long to wait before it is public can be answered by NARA - they can refer to other agencies that have intel records."

Thanks

Tammy

---

**From:** Schultz, Kathy [mailto:Kathy.Schultz@DHS.GOV]  
**Sent:** Tuesday, January 23, 2007 2:46 PM  
**To:** Hudson, Tammy <CTR>  
**Subject:** RE: Scheduling question

Tammy,

The answer is yes generally. Is any of the I&A information classified? Schedules are written for permanent records to be transferred to NARA after so many years so the information is not current. However, with electronic records, the records may be pre-accessioned by NARA. The e-records are transferred to NARA into ERA, but not accessible to the public until allowed in the schedule. The details of how long to wait before it is public can be answered by NARA - they can refer to other agencies that have intel records.

Kathy

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Hudson, Tammy <CTR> [mailto:Tammy.Hudson@associates.dhs.gov]  
**Sent:** Tuesday, January 23, 2007 2:32 PM  
**To:** Schultz, Kathy  
**Subject:** Scheduling question

Kathy,

I know I've asked you this before (or maybe it was Carolyn), but for the life of me, I can't remember the answer.

If an item is scheduled as "Permanent", does it automatically become a public record once it goes to NARA?

I&A PM is suggesting that their Finished Intelligence reports be scheduled as permanent records. If the previous statement is true, do you think it matters that intel becomes public after 30 years?

Tammy

**From:** Margaret Hawkins  
**To:** Larry, Gray,  
**Date:** 11/10/04 9:48AM  
**Subject:** RE: Records Scheduling

Larry,

Sounds great. I can also attend the meeting with Tom when you set it up regarding scheduling.

Maggie

>>> "Gray, Larry" <Larry.Gray@dhs.gov> 11/10/04 09:29AM >>>  
Maggie,

Thank you for your help in getting the unique IAIP Records Group. I am not going to be in the office this Friday, but if you need anything from me to help support the justification, just send an e-mail and I will get back to you as soon as I can. We are all hooked up with a Blackberry.

I would still like to get with you all to discuss the best way to schedule all this good stuff that I am finding. I will work out the time with Tom.

Again, Thanks for your help

Larry  
(202) 282-8338

-----Original Message-----

From: Margaret Hawkins [<mailto:margaret.hawkins@nara.gov>]  
Sent: Wednesday, November 10, 2004 9:09 AM  
To: Gray, Larry R  
Cc: Schultz, Kathy; Thomas Cotter  
Subject: Re: Records Scheduling

Larry,

A couple of items to report:

1) I will be writing up a justification for providing IAIP with its own record group. I will be writing this on Friday and passing it up the chain of command on Monday. Essentially, your request is being granted due to the substantial amount of classified records that will likely be produced by your function. It is not intended that ALL directorates within DHS will receive their own record group number. An exception is being made for your particular function.

2) As of Monday, November 15th, Thomas Cotter will be the appraiser for IAIP. Tom has substantial experience as an appraiser. In particular, he has a long track record of successfully assisting agencies with scheduling their electronic records. Given the nature of your function, we believed this would be a good fit for your directorate. Tom can be reached at [thomas.cotter@nara.gov](mailto:thomas.cotter@nara.gov) or at 301-837-1623. Tom is in my work group, so I will still be assisting as well, but please direct daily questions, etc., to Tom.



3) Portal scheduling: I will pass on to Tom the information I have been collecting about that issue. Tom will read through it and get back to you on it.

We are so glad that you have been hired to be the IAIP records officer and we hope to assist you as much as we can.

Maggie Hawkins

>>> "Gray, Larry" <[Larry.Gray@dhs.gov](mailto:Larry.Gray@dhs.gov)> 11/03/04 01:48PM >>>  
Maggie,

Thanks for your help with the unique records group. If you need additional justification/information let me know.

I was looking at the proposed records schedule for our National Cyber Security Division and was thinking about a slightly different approach. (I have not run this by Kathy yet as I wanted your opinion first). I know that the Electronic Records Working Group was trying to figure out what to do or how to treat a web-site. Do you know the status? We are looking at a portal (web-site) in this proposed schedule and if not one else has taken it on, I was thinking that this might be something that would benefit everyone and if it has been done we could just copy it. This is something that I would like to talk about when we meet after the holiday.

Larry

(202) 282-8338

**CC:** Sandy, Ford,

## Julie Hunsaker - FW: S&T National Labs Schedule

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 5/8/2008 10:18 AM  
**Subject:** FW: S&T National Labs Schedule

---

Julie,

Do you have Stacie Byas' email address?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Schultz, Kathy  
**Sent:** Thursday, May 08, 2008 9:24 AM  
**To:** Hudson, Tammy <CTR>  
**Subject:** RE: S&T National Labs Schedule

I do not know. Please check with Stacie.

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Thursday, May 08, 2008 9:12 AM  
**To:** Schultz, Kathy  
**Subject:** S&T National Labs Schedule

Do you know who Stacie Byas (NY-NARA) is working with from the Labs on this schedule? Plum Island is asking what the status is.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - Re: FW: S&T National Labs Schedule

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 5/8/2008 10:19 AM  
**Subject:** Re: FW: S&T National Labs Schedule

---

Yes, here it is:

[stacie.byas@nara.gov](mailto:stacie.byas@nara.gov)

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/8/2008 10:18 AM >>>  
Julie,

Do you have Stacie Byas' email address?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Schultz, Kathy  
**Sent:** Thursday, May 08, 2008 9:24 AM  
**To:** Hudson, Tammy <CTR>  
**Subject:** RE: S&T National Labs Schedule

I do not know. Please check with Stacie.

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Thursday, May 08, 2008 9:12 AM  
**To:** Schultz, Kathy  
**Subject:** S&T National Labs Schedule

Do you know who Stacie Byas (NY-NARA) is working with from the Labs on this schedule? Plum Island is asking what the status is.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - 115 Draft for DHS OIG Audit Reports

---

**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 6/5/2008 4:35 PM  
**Subject:** 115 Draft for DHS OIG Audit Reports

---

Michelle,

I've updated the draft 115 per our discussion this afternoon. Please let me know if this makes things more clear.

Julie

## Julie Hunsaker - DHS Audit Reports

---

**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 3/21/2008 3:35 PM  
**Subject:** DHS Audit Reports

---

Hi, Michelle.

I apologize so much time has gone by! I just wanted to touch base with you about the disposition of DHS audit reports.

I've reviewed many of the audit reports on DHS's website. While I do not think all of the reports have permanent value, I believe it would be appropriate to develop some criteria that would identify the significant reports as permanent.

I've put together a preliminary list of criteria and associated audit reports - just to generate discussion. Please review and let me know what you think. I'm going to also run it by and elicit comments from various stakeholders here at NARA.

As much as I was looking forward to meeting you, now that I've seen what's on the DHS website I think it will provide the information we need to resolve this matter.

Please let me know if you have any questions.

Julie

## Examples of Potentially Permanent DHS Audit Reports 3/21/08

### Civil Rights:

OIG-08-29 – The DHS Process for Nominating Individuals to the Consolidated Terrorist Watchlist

### Human Rights:

OIG-07-40 – A Review of CBP and ICE Responses to Recent Incidents of Chinese Human Smuggling in Maritime Cargo Containers [Online version redacted]

OIG-07-28 – ICE's Compliance With Detention Limits for Aliens With a Final Order of Removal From the United States

### Terrorism:

OIG-07-55 – Coordination Between FBI and ICE on Investigations of Terrorist Financing

### Aftermath of Catastrophic Disasters:

OIG-08-23 – Review of FEMA's Use of Proceeds From the Sales of Emergency Housing Unit

OIG-08-11 – Major Management Challenges Facing the Department of Homeland Security

OIG DA-07-13 – Review of Contract Costs – Emergency Disaster Services, Contract No. HSFE04-05-7233, FEMA Disaster No. 1604-DR-MS

OIG-07-63 – Review of FEMA Guidance for Monitoring Debris Removal Operations for Hurricane Katrina

OIG-07-62 – INTERIM REPORT, Hurricane Katrina: A Review of Wind Versus Flood Issues

OIG-07-60 – Improvements to Information Sharing are Needed to Facilitate Law Enforcement Efforts During Disasters

OIG-07-51 – Federal Emergency Management Agency’s Volunteers Service Program  
Following Hurricane Katrina

OIG-07-31 – Special Transient Accommodations Program For the Evacuees From  
Hurricanes Katrina and Rita

Reports Resulting in Major DHS Policy Changes:

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General Instructions

- “Unclassified Summary” versions should not be not perm. Too brief to say anything of substance. Send classified versions to NARA.
- Provide the unredacted versions to NARA.

## Julie Hunsaker - DHS Audit Reports

---

**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 3/21/2008 3:38 PM  
**Subject:** DHS Audit Reports

---

Michelle,

I forgot to ask one thing: could you confirm for me that what the DHS website identifies as "OIG Management Reports" are what DHS calls its "Audit Reports"? Or are audit reports a subset of management reports?

Julie



**Julie Hunsaker - RE: DHS Audit Reports**

---

**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 3/21/2008 4:32 PM  
**Subject:** RE: DHS Audit Reports  
**CC:** "Hurley, Kim" <kim.hurley@dhs.gov>

---

Julie, your question is hard to answer via email. We actually have two types of reports: OIG Management Reports and Financial Assistance (Grants) Reports. I will call you on Monday to explain more fully.

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Friday, March 21, 2008 3:39 PM  
**To:** Michelle Adler  
**Subject:** DHS Audit Reports

Michelle,

I forgot to ask one thing: could you confirm for me that what the DHS website identifies as "OIG Management Reports" are what DHS calls its "Audit Reports"? Or are audit reports a subset of management reports?

Julie

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Ivan King" <Ivan.King@nara.gov>  
**Date:** 3/21/2008 12:03:41 PM  
**Subject:** Committees and Working Groups

Ivan,

Pages 9-12 of the attached report has a description of the committees under the CAO Division.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Ivan King" <Ivan.King@nara.gov>  
**Date:** 5/19/2008 1:02:47 PM  
**Subject:** RE: Committees and Working Groups

Interagency Security Committee

The Interagency Security Committee's mandate is to develop standards, policies and best practices for enhancing the quality and effectiveness of physical security in, and the protection of, nonmilitary federal facilities in the United States. The Interagency Security Committee provides a permanent body to address continuing government-wide security for federal facilities.

SAFECOM Executive Committee (EC)

Through the Program's Executive Committee (EC) and Emergency Response Council (ERC), the emergency response community and local, tribal, state, and Federal policy makers provide strategic input to the SAFECOM Program.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Ivan King [mailto:Ivan.King@nara.gov]  
Sent: Monday, May 19, 2008 11:15 AM  
To: Tammy <CTR> Hudson  
Subject: Re: Committees and Working Groups

Tammy,

From the list of 'Committees and Working Groups' that you've identified, which of them are directly mission related? In addition, can you please explain and verify what it is that they do, in relationship to the mission of the agency.

Thanks,

Ivan

Ivan King  
Archives Specialist, NWML  
National Archives and Records Administration  
Life Cycle Management Division  
8601 Adelphi Road  
College Park, MD 20740  
Office - (301) 837-3030  
Fax - (301) 837-3697  
Ivan.King@nara.gov

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/21/2008 12:02 PM >>>  
Ivan,

Pages 9-12 of the attached report has a description of the committees under the CAO Division.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Ivan King" <Ivan.King@nara.gov>  
**Date:** 3/21/2008 12:40:51 PM  
**Subject:** RE: Functional Committees, Task Forces and Working Groups

No, it's the same. It's just formatted differently so you can make the changes. Once you make the changes, I'll incorporate them and return it to you in the original format.

Item 3 was removed according to your instruction in your 2/7/2008 email.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Ivan King [mailto:Ivan.King@nara.gov]  
Sent: Friday, March 21, 2008 12:03 PM  
To: Tammy <CTR> Hudson  
Subject: Re: Functional Committees, Task Forces and Working Groups

Hi, Tammy.

This schedule is completely different from the one DHS originally sent us. The one that I have is titled Functional Committees, Task Forces and Working Groups, which was dated and signed by Kathy on 12/18/07.

Can you forward that one?

Thanks,

Ivan

>>> "Hudson, Tammy <CTR>" <Tammy.Hudsonw@associates.dhs.gov> 3/21/2008 10:30 AM >>>

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Ivan King" <Ivan.King@nara.gov>  
**Date:** 4/14/2008 8:47:51 AM  
**Subject:** RE: Functional Committees, Task Forces and Working Groups

The reports questioned are listed under item 1a in sections 3 & 5.

Also, this schedule follows GRS 26 almost word for word

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Ivan King [mailto:Ivan.King@nara.gov]  
Sent: Friday, March 21, 2008 4:21 PM  
To: Tammy <CTR> Hudson  
Subject: RE: Functional Committees, Task Forces and Working Groups

Tammy,

Attached is a copy of the revised schedule for your review. I have noted the questions (in blue) for those items that need some further clarification.

Please let me know, if you have any questions.

Ivan

Ivan King  
Archives Specialist, NWML  
National Archives and Records Administration  
Life Cycle Management Division  
8601 Adelphi Road  
College Park, MD 20740  
Office - (301) 837-3030  
Fax - (301) 837-3697  
Ivan.King@nara.gov

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/21/2008 12:40 PM >>>

No, it's the same. It's just formatted differently so you can make the changes. Once you make the changes, I'll incorporate them and return it to you in the original format.

Item 3 was removed according to your instruction in your 2/7/2008 email.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Ivan King [mailto:Ivan.King@nara.gov]

Sent: Friday, March 21, 2008 12:03 PM

To: Tammy <CTR> Hudson

Subject: Re: Functional Committees, Task Forces and Working Groups

Hi, Tammy.

This schedule is completely different from the one DHS originally sent us. The one that I have is titled Functional Committees, Task Forces and Working Groups, which was dated and signed by Kathy on 12/18/07.

Can you forward that one?

Thanks,

Ivan

>>> "Hudson, Tammy <CTR>" <Tammy.Hudsonw@associates.dhs.gov> 3/21/2008  
10:30 AM >>>

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Ivan King" <Ivan.King@nara.gov>  
**Date:** 4/14/2008 8:49:50 AM  
**Subject:** RE: DHS-Training Records (N1-563-08-11)

Ivan,

I just talked to Kathy and we're going to take another look at this schedule in regards to the Permanent records. I'll get back to you this week.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Ivan King [mailto:Ivan.King@nara.gov]  
Sent: Monday, March 31, 2008 5:01 PM  
To: Hudson, Tammy  
Subject: DHS-Training Records (N1-563-08-11)

Hi, Tammy.

I would like to schedule a time to come and look at some examples of the 'Mission' related - Training files, which are being scheduled as permanent. Listed below are the dates and times that I'm available to come.

Apr 7  
Apr 11 in the morning  
Apr 14  
Apr 15 in the morning  
Apr 23-25  
Apr 28-29

Also, can you explain the rationale behind the wording of the disposition of Item 1 - Certification File. As it's currently written, some very 'routine' records could be kept much longer than necessary. How can a certification be superseded or obsolete? Please provide an example used by the agency.

Thank you in advance.

Ivan

Ivan King  
Archives Specialist, NWML  
National Archives and Records Administration  
Life Cycle Management Division  
8601 Adelphi Road



## Julie Hunsaker - FDNS-DS

---

**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 9/5/2007 4:45 PM  
**Subject:** FDNS-DS

---

Kathy,

I've attached a copy of the approved SF 115 for the FDNS-DS. I'm also sending along the associated appraisal report.

Julie

11-500-05-1

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** Wed, Sep 19, 2007 7:10 AM  
**Subject:** Enterprise Portfolio Management Initiative (EPMI)

Brian,

This is to confirm our conversation the other day regarding the schedule for Enterprise Portfolio Management Initiative (EPMI) that was submitted on 9/5/07.

We are pulling the schedule from registration due to the fact that the inputs and outputs are scheduled under the GRS and the master file information will be scheduled under the S&T Program Records SF 115 (N1-563-07-20, Item 10).

Thanks for your help. Let me know if you need anything else.

-tlh

Tammy Hudson

Contractor - DHS Records Management

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

**CC:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>, "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Tue, Feb 19, 2008 10:48 AM  
**Subject:** FW: NARA Follow up Question - Nuclear Incident Reports

Question 2 on DNDO answered below...

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Magrino, Christopher  
Sent: Tuesday, February 19, 2008 10:21 AM  
To: Hudson, Tammy <CTR>  
Cc: 'Listopad, Joseph'; Brescia, Robert  
Subject: RE: NARA Follow up Question - Nuclear Incident Reports

Tammy,

The answers to your questions are below.

How are these reports created? Does staff in your office create this report, is it compiled from information from outside sources, or is it something else entirely? These reports are created by my staff in the Joint Analysis Center and by spectroscopists at DOE and DHS laboratories. They are created with information provided by State, local or tribal authorities who need technical and/or operational assistance in resolving a radiation alarm. My staff gathers information from the S/L site via phone conversation and email. Data consists of incident information and spectral data. My onsite staff analyzes the incident information while the spectroscopists at the labs analyze the spectral data. The results of the two analyses are then included in the final report. Pertinent information is then communicated back to the S/L site so they may resolve the alarm. The actual report does not leave DNDO and is used for lessons learned purposes as well as trend analysis.

I hope this helps answer the question. If you need more info, please

feel free to contact me.

r/

CDR Chris Magrino

US Navy

JAC Chief of Operations

Department of Homeland Security

Domestic Nuclear Detection Office

202-254-7157 (Office)

202-746-0418 (Blackberry)

Mailing Address:

Christopher Magrino/ DNDO OOS

Mail Stop: 7100

Department of Homeland Security

245 Murray Lane, Bldg 410

Washington, D.C. 20528

---

From: Hudson, Tammy <CTR>  
Sent: Tuesday, February 19, 2008 9:55 AM  
To: Magrino, Christopher  
Subject: NARA Follow up Question - Nuclear Incident Reports

Good morning,

You were previously working with Dan Harris on the disposition schedule for your records. Dan is no longer with DHS, so I'm filling in...

Your schedule has been submitted to NARA, but they have a quick question on an item:

#### Nuclear Incident Reports

Records related to nuclear incidents. These records provide an understanding of incident conditions, assist in the

coordination of response and mitigation decisions, and document the response and performance of responders.

These materials may include but are not limited to, Event Notification Reports, Incident Analysis, Response Performance

Evaluations, and Material Tracking.

How are these reports created? Does staff in your office create this report, is it compiled from information from outside sources, or is it something else entirely?

Any information you can provide will be helpful.

Thanks!

Tammy

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Tue, Feb 19, 2008 10:13 AM  
**Subject:** RE: Domestic Nuclear Detection Office Program Records

I'm working on question 2, but here's the info for the others...

1. DNDO does not have front-line operational responsibilities. Those responsibilities, including the coordination of emergency response to a nuclear attack, will remain with the appropriate federal, state, and local authorities. The establishment of the DNDO helps to ensure timely transition from routine operations to emergency response protocols by providing consistent response protocols, effective technology and standards, training, and interagency situational awareness and coordination capability to help assure that relevant federal agencies are promptly notified of a suspected radiological or nuclear incident so that they may respond appropriately.

If there was an emergency, then those records would be included in the National Incident schedule we are drafting. Any executive level perm records for the Director are scheduled using the Executive Level records schedule (annual report included), so those would not show on the 115.

3. Program Management/Strategic Planning are internal program records. Any final strategic plans are funneled up to the Director and would be covered under the Exec Level schedule item for Plans.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Thursday, January 31, 2008 3:36 PM  
To: Hudson, Tammy; Schultz, Kathy  
Subject: Domestic Nuclear Detection Office Program Records

Kathy and Tammy,

The Domestic Nuclear Detection Office Program Records schedule has been registered. The job number is N1-563-08-13.

At this time we do not think a site visit is necessary, however, I do have some questions:

1. Since all the records from this office appear to be temporary, where will it be documented? Is there another office higher up that will document what this office is doing, say in an annual report, or something of that nature?

2. Can I get some more information on the Nuclear Incident Reports (item 7)? Specifically, I'm interested in how exactly these records are created: do staff from this office create the documents in these reports, do they compile the information from other sources, or is it something else entirely?

3. For item 8: What information is contained in the strategic plans?  
Is the information contained in these records funnelled up to higher  
offices?

If it would be easier to address these questions through a  
teleconference with the program staff, I'd be happy to do that as well.

Thanks,  
Andrea

Andrea Pugsley Loiselle  
Records Analyst  
Lifecycle Management Division (NWML)  
National Archives and Records Administration-College Park  
8601 Adelphi Road, Rm. 2100  
College Park, MD 20740  
(301) 837-1684

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 4/24/2008 8:18:36 AM  
**Subject:** Re: Friday

I believe so. Can you send me the address? I don't know yet if Julie is coming down on the shuttle with us or if she is meeting us there, and I've never been to the 7th & D building. We're coming down on the 8 a.m. archives shuttle, which should get us to the Archives about 8:45ish, depending on traffic. We may be there as early as 9, but maybe more like 9:15. If you have a number we can reach you at I'll give you a call when we're close.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/24/2008 8:07 AM >>>  
Are we still set for tomorrow? What time are you arriving?

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)



**From:** "Page, Michael" <Michael.A.Page@dhs.gov>  
**To:** <andrea.pugsley@nara.gov>  
**Date:** 9/17/2007 9:02:48 AM  
**Subject:** RE: Request for Additional Information

Here are the fields for the RCDR database:

Record\_ID/AutoNumber/ Primary Key, HSOC\_Number/Text/10, Status/Text/20, Name\_of\_Desk\_Officer/Text/25, Date\_of\_Call/Date/6, Time\_of\_Call/Text/4, Name\_of\_Call/Text/50, AKA/Text/50, TelephoneText/15, Location/Text/50, Address/Text/50, City/Text/25, State/Text/2, Zip\_Code/Text/5, Other\_Number/Text/50, Information\_Elicited/Memo, Description\_of\_Conversation/Memo, Efforts\_Taken/Memo, Who\_has\_been\_Contacted/Memo, Distribution\_List/Text/255, Home\_Telephone/Text/15, Home\_Address/Text/50, Home\_City/Text/25, Home\_State/Text/2, Home\_Zip\_Code/Text/5, Cell\_Phone/Text/15, LexisNexis/(Yes/No), AutoTrackXP/(Yes/No), ChoicePoint/(Yes/No).

We have desks manned 24/7 in the Network Operations Center (NOC). They use this database to keep track of people who call the NOC with false information and/or threats. When one of the desks takes a call they can look up the persons name if they suspect that it is not a legitimate report, they can then forward it to the Fusion desk which takes over for them. The NOC is the Secretary of DHS's emergency operation center and the main clearing house for information during events of National significance. (Hurricanes, terrorist events, etc.)

Here are the fields for the COOP/Personnel database.

COOP(Number), Position(Text), GETS(Yes/No), Grade(Text), Last Name(Text), First Name(Text), Start Date(Date), Home Phone(Text), Cell Phone(Text), Pager(Text), Stars(Number), FEMA(Number), Acss(Yes/No), FAM(Yes/No), ERG(Yes/No), Date Departed(Date), Comments(Text), Cont/Gov(Text), Work Phone(Text), HSOC(Yes/No), NEMT(Yes/No), Address(Text), City(Text), State(Text), Zip Code(Text), Detailee/Non-Detailee(Text), Purpose of Detail(Memo), Reimbursable(Text), Reporting Agency(Text), Chem Bio Mask Tng(Date), Apt Number(Text), Detailed to Non-DHS Agency(Text), DOB(Date), SEX(Text), Originating Agency(Text), Company(Text), EC1 Name(Text), EC1 Home Ph(Text), EC1 Work Ph(Text), EC1 Cell Ph(Text), EC1 Address(Text), EC1 City(Text), EC1 State(Text), EC1 Zip(Text), EC1 Relationship(Text), EC2 Name(Text), EC2 Home Ph(Text), EC2 Work Ph(Text), EC2 Cell Ph(Text), EC2 Address(Text), EC2 City(Text), EC2 State(Text), EC2 Zip(Text), EC2 Relationship(Text), DHS Component(Text), Middle Name(Text), Non-DHS Agency(Text), Desk Rotation Status(Text), Detail End Date(Text), Date Next Record Review(Date), 11000-5 Date Received(Text), 400-4 Date Completed(Date), 3130 Date Completed(Date), Name Plate Ordered(Date), Perm Cert Clearance Level(Text), IT Account Access Request Date(Date), A-LAN(Yes/No), B-LAN(Yes/No), C-LAN(Yes/No), Communicator(Yes/No), Division(Text), HSIN HSOC Portal Access(Yes/No), FAM Date(Date), AreaB Access Date(Date), GETS Card Name(Text), DateModified(Date), Time Modified(Time), 3130(Yes/No), 400-4(Yes/No), DHS Name Plate(Yes/No), IT Account(Yes/No), 11000-5(Yes/No), Updates(Memo), Authorized Position Number(Text).

It's used by our admin for personnel and emergency contact information,

and by the COOP people to generate a COOP personnel roster. (Tells them who should report to our COOP site at Mt Weather in case of a national emergency)

Hope this helps, if you have more questions feel free to ask!  
Mike Page

-----Original Message-----

From: Hudson, Tammy <CTR>  
Sent: Friday, September 14, 2007 10:39 AM  
To: Page, Michael  
Cc: 'andrea.pugsley@nara.gov'  
Subject: FW: Request for Additional Information

Michael,

Can you provide the information requested below to NARA?

(Please cc me on the response)...Thanks!

-tlh

Tammy Hudson  
Contractor - DHS Records Management  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Friday, September 14, 2007 10:38 AM  
To: Hudson, Tammy  
Subject: Request for Additional Information

Tammy,

I am working on the appraisals for the Operations Directorate COOP/Personnel Database (N1-563-07-014) and the Repeat and Disruptive Callers Database (RDCR) (N1-563-07-015). Could you please send me some additional information about the systems, such as the fields and any additional background information, especially for the RDCR database?

Thanks,  
Andrea

Andrea Pugsley Loiselle  
Records Analyst  
Lifecycle Management Division (NWML)  
National Archives and Records Administration-College Park  
8601 Adelphi Road, Rm. 2100  
College Park, MD 20740  
(301) 837-1684

**From:** "Page, Michael" <Michael.A.Page@dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** 9/24/2007 8:49:50 AM  
**Subject:** RE: Request for Additional Information

The Fusion desk officer sitting in the NOC.

---

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Fri 9/21/2007 8:44 AM  
To: Page, Michael A  
Cc: Hudson, Tammy  
Subject: RE: Request for Additional Information

One other hopefully quick question about the RCDR database: Who maintains the information? Specifically, who enters it into the system?

Thanks,  
Andrea

Andrea Pugsley Loiselle  
Records Analyst  
Lifecycle Management Division (NWML)  
National Archives and Records Administration-College Park  
8601 Adelphi Road, Rm. 2100  
College Park, MD 20740  
(301) 837-1684

>>> "Page, Michael" <Michael.A.Page@dhs.gov> 09/17/07 9:00 AM >>>  
Here are the fields for the RCDR database:

Record\_ID/AutoNumber/ Primary Key, HSOC\_Number/Text/10, Status/Text/20,  
Name\_of\_Desk\_Officer/Text/25, Date\_of\_Call/Date/6, Time\_of\_Call/Text/4,  
Name\_of\_Call/Text/50, AKA/Text/50, TelephoneText/15, Location/Text/50,  
Address/Text/50, City/Text/25, State/Text/2, Zip\_Code/Text/5,  
Other\_Number/Text/50, Information\_Elicited/Memo,  
Description\_of\_Conversation/Memo, Efforts\_Taken/Memo,  
Who\_has\_been\_Contacted/Memo, Distribution\_List/Text/255,  
Home\_Telephone/Text/15, Home\_Address/Text/50, Home\_City/Text/25,  
Home\_State/Text/2, Home\_Zip\_Code/Text/5, Cell\_Phone/Text/15,  
LexisNexis/(Yes/No), AutoTrackXP/(Yes/No), ChoicePoint/(Yes/No).

We have desks manned 24/7 in the Network Operations Center (NOC). They use this database to keep track of people who call the NOC with false information and/or threats. When one of the desks takes a call they can look up the persons name if they suspect that it is not a legitimate report, they can then forward it to the Fusion desk which takes over for them. The NOC is the Secretary of DHS's emergency operation center and the main clearing house for information during events of National significance. (Hurricanes, terrorist events, etc.)

Here are the fields for the COOP/Personnel database.

COOP(Number), Position(Text), GETS(Yes/No), Grade(Text), Last Name(Text), First Name(Text), Start Date(Date), Home Phone(Text), Cell Phone(Text), Pager(Text), Stars(Number), FEMA(Number), Acss(Yes/No), FAM(Yes/No), ERG(Yes/No), Date Departed(Date), Comments(Text), Cont/Gov(Text), Work Phone(Text), HSOC(Yes/No), NEMT(Yes/No), Address(Text), City(Text), State(Text), Zip Code(Text), Detailee/Non-Detailee(Text), Purpose of Detail(Memo), Reimbursable(Text), Reporting Agency(Text), Chem Bio Mask Tng(Date), Apt Number(Text), Detailed to Non-DHS Agency(Text), DOB(Date), SEX(Text), Originating Agency(Text), Company(Text), EC1 Name(Text), EC1 Home Ph(Text), EC1 Work Ph(Text), EC1 Cell Ph(Text), EC1 Address(Text), EC1 City(Text), EC1 State(Text), EC1 Zip(Text), EC1 Relationship(Text), EC2 Name(Text), EC2 Home Ph(Text), EC2 Work Ph(Text), EC2 Cell Ph(Text), EC2 Address(Text), EC2 City(Text), EC2 State(Text), EC2 Zip(Text), EC2 Relationship(Text), DHS Component(Text), Middle Name(Text), Non-DHS Agency(Text), Desk Rotation Status(Text), Detail End Date(Text), Date Next Record Review(Date), 11000-5 Date Received(Text), 400-4 Date Completed(Date), 3130 Date Completed(Date), Name Plate Ordered(Date), Perm Cert Clearance Level(Text), IT Account Access Request Date(Date), A-LAN(Yes/No), B-LAN(Yes/No), C-LAN(Yes/No), Communicator(Yes/No), Division(Text), HSIN HSOC Portal Access(Yes/No), FAM Date(Date), AreaB Access Date(Date), GETS Card Name(Text), DateModified(Date), Time Modified(Time), 3130(Yes/No), 400-4(Yes/No), DHS Name Plate(Yes/No), IT Account(Yes/No), 11000-5(Yes/No), Updates(Memo), Authorized Position Number(Text).

It's used by our admin for personnel and emergency contact information, and by the COOP people to generate a COOP personnel roster. (Tells them who should report to our COOP site at Mt Weather in case of a national emergency)

Hope this helps, if you have more questions feel free to ask!

Mike Page

-----Original Message-----

From: Hudson, Tammy <CTR>

Sent: Friday, September 14, 2007 10:39 AM

To: Page, Michael

Cc: 'andrea.pugsley@nara.gov'

Subject: FW: Request for Additional Information

Michael,

Can you provide the information requested below to NARA?

(Please cc me on the response)...Thanks!

-tlh

Tammy Hudson

Contractor - DHS Records Management

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]

Sent: Friday, September 14, 2007 10:38 AM

To: Hudson, Tammy

Subject: Request for Additional Information

Tammy,

I am working on the appraisals for the Operations Directorate COOP/Personnel Database (N1-563-07-014) and the Repeat and Disruptive Callers Database (RDCR) (N1-563-07-015). Could you please send me some additional information about the systems, such as the fields and any additional background information, especially for the RDCR database?

Thanks,  
Andrea

Andrea Pugsley Loiselle  
Records Analyst  
Lifecycle Management Division (NWML)  
National Archives and Records Administration-College Park  
8601 Adelphi Road, Rm. 2100  
College Park, MD 20740  
(301) 837-1684

**Julie Hunsaker - Committee Records**

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**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/14/2008 11:57 AM  
**Subject:** Committee Records

---

I'm not sure if I asked this already, so if I did, I apologize for repeating myself ☺

We have a committee that we are scheduling. The committee is going to have a unique schedule because it's not FACA, but it's not a simple working committee either. Needless to say, this committee has been around for many years. The NCS program was originally at DISA, but transferred to DHS in 2003. The committee (Committee of Principles) is chaired by NCS (there are 24 agencies involved). The original committee records were left behind when the program transferred. Are those DISA's responsibility to schedule or should the program try to get the info back from DISA?

Any advice would be greatly appreciated!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2; Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - RE: Committee Records

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/29/2008 9:40 AM  
**Subject:** RE: Committee Records

---

Julie,

Did we get an answer on this?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Monday, April 14, 2008 11:57 AM  
**To:** 'Julie Hunsaker'  
**Subject:** Committee Records

I'm not sure if I asked this already, so if I did, I apologize for repeating myself ☺

We have a committee that we are scheduling. The committee is going to have a unique schedule because it's not FACA, but it's not a simple working committee either. Needless to say, this committee has been around for many years. The NCS program was originally at DISA, but transferred to DHS in 2003. The committee (Committee of Principles) is chaired by NCS (there are 24 agencies involved). The original committee records were left behind when the program transferred. Are those DISA's responsibility to schedule or should the program try to get the info back from DISA?

Any advice would be greatly appreciated!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - RE: Committee Records**

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**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 4/29/2008 12:05 PM  
**Subject:** RE: Committee Records

---

Hi, Tammy.

No - I'm sorry about that. Thanks for reminding me. I talked to my management about this one to make sure I've got this right. There is a reg that deals with the transfer of records between departments (36 CFR 1228.50c3 and c4). It states departments that acquire records from another department must schedule them anew, however it doesn't mandate the transfer of the records from the previous department. So, it really comes down to whether DHS needs the old records. If DHS needs them, they should be transferred and will fall under the authority DHS receives. However, if DHS doesn't need them, they may remain with the previous department and that department is responsible for their maintenance and disposal.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/29/2008 9:28 AM >>>  
Julie,

Did we get an answer on this?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Monday, April 14, 2008 11:57 AM  
**To:** 'Julie Hunsaker'  
**Subject:** Committee Records

I'm not sure if I asked this already, so if I did, I apologize for repeating myself ☺

We have a committee that we are scheduling. The committee is going to have a unique schedule because it's not FACA, but it's not a simple working committee either. Needless to say, this committee has been around for many years. The NCS program was originally at DISA, but transferred to DHS in 2003. The committee (Committee of Principles) is chaired by NCS (there are 24 agencies involved). The original committee records were left behind when the program transferred. Are those DISA's responsibility to schedule or should the program try to get the info back from DISA?

Any advice would be greatly appreciated!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)



## Julie Hunsaker - FW: NARA - S&T Record Appraisal Question

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/15/2008 7:25 AM  
**Subject:** FW: NARA - S&T Record Appraisal Question

---

I asked for a few examples of each and will forward as soon as I get them. In the meantime, here's the other info you wanted.

By the way, this is the only program that has these.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Hawkins, Natasha <CTR>  
**Sent:** Monday, April 14, 2008 2:40 PM  
**To:** Hudson, Tammy <CTR>  
**Cc:** Points, Michelle <CTR>  
**Subject:** RE: NARA - S&T Record Appraisal Question

Tammy – Per your request, our Biodefense Knowledge Center (BKC) produces Awareness Bulletins that can be either classified or unclassified. Per our discussion earlier, you already have an example of an UNLCASS/FOUO Awareness Bulletin.

After discussion with the BKC PM, regarding the volume of Awareness Bulletins produced, he provided the numbers below on an annual basis.

---

**7** Awareness Bulletins, approx half FOUO and half classified (not all topics known at this time)

We also produce Short Term Assessments for OIA. These are similar to Awareness Bulletins except that where Awareness Bulletins are on dual-use technologies (potentially peaceful and/or nefarious uses), Assessments are on topics decided by OIA and BKC together.

**7** Short Term Assessments for OIA - approx half FOUO and half classified (not all topics known at this time)

If you have any additional questions, please let me know.

Thanks!

Natasha Hawkins  
Support Contractor  
Chem Bio Division  
Science & Technology Directorate  
Department of Homeland Security  
202-254-6021 work  
202-557-6039 cell  
202-254-6164 fax  
EMAIL: [natasha.hawkins@associates.dhs.gov](mailto:natasha.hawkins@associates.dhs.gov)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Monday, April 14, 2008 9:46 AM  
**To:** Points, Michelle <CTR>  
**Cc:** Winslow, Janett  
**Subject:** NARA - S&T Record Appraisal Question

Good morning,

In the process of completing the appraisal for S&T records, NARA has requested additional information on Bulletins (see below)

Having reviewed one of these now, I think these records may have permanent value. The bulletin you sent me contains substantive information about how DHS carries out its core function. It also likely significantly impacted DHS policies and priorities. However, to be more certain I'd like to review a few more bulletins. Is this possible?

Do you have a sense of the current volume of these bulletins and what the annual accumulation might be?

Can you please supply additional samples of bulletins for NARA's review? Let me know if you have any questions.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## **Julie Hunsaker - FW: NARA Request - Performance Measurements and Benchmarks**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/21/2008 10:07 AM  
**Subject:** FW: NARA Request - Performance Measurements and Benchmarks

---

Record Common to All schedule item 7 example – this is the ST Elizabeth's move group. They also have a survey, if you'd like to view this info we can do it Friday 4/25 – they are located at 7<sup>th</sup> & D and we could stop in there if you're coming along for the Investigative Records review.

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Mills, Chris  
**Sent:** Monday, April 14, 2008 2:24 PM  
**To:** Hudson, Tammy <CTR>; McGruder, Richard K; White, Steven  
**Subject:** RE: NARA Request - Performance Measurements and Benchmarks

Tammy,

Let me give you an example. The Department has the following strategic goals:

### **: Strategic Goals**

- **Awareness** -- Identify and understand threats, assess vulnerabilities, determine potential impacts and disseminate timely information to our homeland security partners and the American public.
- **Prevention** — Detect, deter and mitigate threats to our homeland.
- **Protection** — Safeguard our people and their freedoms, critical infrastructure, property and the economy of our Nation from acts of terrorism, natural disasters, or other emergencies.
- **Response** — Lead, manage and coordinate the national response to acts of terrorism, natural disasters, or other emergencies.
- **Recovery** — Lead national, state, local and private sector efforts to restore services and rebuild communities after acts of terrorism, natural disasters, or other emergencies.
- **Service** — Serve the public effectively by facilitating lawful trade, travel and immigration.
- **Organizational Excellence** — Value our most important resource, our people. Create a culture that promotes a common identity, innovation, mutual respect, accountability and teamwork to achieve efficiencies, effectiveness, and operational synergies.

The Consolidated headquarters Initiative falls under the Organizational Excellence Strategic Goal.

In addition, the Secretary has 5 near term goals for the Department as listed below:



**Homeland  
Security**

# THE SECRETARY'S 5 GOALS

"Over the next year and beyond, we will remain focused on strengthening the foundations for successful. We will continue to listen, learn, and grow as a Department. And we will continue to work in a spirit of co-Federal, State, and local partners, and with the American people – all of whom are equal partners in her country, as well as equal stakeholders in our progress to achieve our five major goals."

– Sec

## **1. Protect our Nation from Dangerous People**

In 2008, we will protect our Nation from dangerous people by strengthening our border security efforts and gai borders. We will continue to enforce "catch and return" and work to expand Operation Streamline along the So continue deploying SBInet and achieve a total of 670 miles of pedestrian and vehicle fencing. We will increase agents to 18,000. We will continue to take aggressive steps to enforce existing immigration rules and improve as laid out in the President's Immigration Reform and Transformation Initiatives.

We will augment secure identification processes on three fronts: preparing for the implementation of the West (WHTI), including developing and issuing Enhanced Driver's Licenses, and the REAL ID rule calling for greater s documents. We will secure and strengthen watch list screening by vetting domestic, commercial flights through behavioral pattern recognition on 50 percent of air travelers. We will create interoperable architecture for the T Identification Credential (TWIC) program, WHTI, and REAL ID requirements. And, we will capture 10 prints from achieve database interoperability among DHS, the FBI, and the Department of State.

## **2. Protect our Nation from Dangerous Goods**

In 2008, we will protect our Nation from dangerous goods by scanning nearly 100 percent of arriving container will expand our overseas container scanning network in foreign ports through the Secure Freight Initiative. We v Securing the Cities Initiative by developing and deploying systems that prevent attacks involving the use of radi destruction. We will screen air cargo on 96 percent of passenger flights this year and 50 percent of the cargo o February 2009. We will adopt rules for a standard security program and the mandatory use of advance passen Aviation Sector. We will implement a National Small Vessel Security Strategy to decrease the risk of weapons of small vessels. We will enhance our Nation's response to biological attacks to gain time in identifying and respo

## **3. Protect Critical Infrastructure**

In 2008, we will protect our critical infrastructure by strengthening mutually beneficial partnerships with indust approximately 85 percent of critical infrastructure in private hands. We will continue to use grant funding to en governments' efforts to protect our critical infrastructure. We will improve the security of cyberspace and Amer intrusion detection system across Federal networks and the National Cyber Exercise. We will continue to work i 17 sector-specific plans as required by the National Infrastructure Protection Plan. We will issue TWIC cards to facilities and vessels. We will implement the Chemical Facilities Anti-Terrorism Standards regulatory program to Nation's high risk chemical facilities. And, we will launch a large-scale initiative to develop technologies and tar and mitigate the effects of improvised explosive devices.

## **4. Strengthen our Nation's Preparedness and Emergency Response Capa**

In 2008, we will build a culture of preparedness and a nimble, effective emergency response system through a

The Consolidated headquarters Initiative falls under Goal 5 "...we will strive to consolidate our headquarters facilities...".

The Secretary also tracks the progress of each of these 5 broad goals and specific priorities within each goal using the Secretary's Priority Tracker. Under Goal 5, Priority 12.1 is:

## 12.1 - Implement the DHS National Capital Region (NCR) Housing Master Plan

Progress on this priority is monitored through the monthly update of a detailed Microsoft Project Schedule and a pdf Executive Summary Schedule that are received from GSA and posted in the Secretary's Priorities Tracker Software. These monthly schedules represent progress towards completion of the goal and are retained as records.

Does this answer your question?

Regards  
Chris

Chris Mills, P. E.  
Captain U. S. Coast Guard  
Detailee, DHS Headquarters  
Management Directorate  
Office of Administrative Services  
St. Elizabeths Program Manager  
(202) 447-5032 (office)  
(202) 329-8782 (cell)  
(202) 447-5026 (fax)  
Email: [Chris.Mills@dhs.gov](mailto:Chris.Mills@dhs.gov)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Monday, April 14, 2008 1:52 PM  
**To:** Mills, Chris; McGruder, Richard K; White, Steven  
**Subject:** NARA Request - Performance Measurements and Benchmarks

When we met to discuss your program records, it was determined that your program produced/maintained Performance Measurements and Benchmarks. (See the item description below)

***Performance Measurements and Benchmarks***

*Records used for managing operations relating to compliance with policies, directives, and plans. Records may include reports documenting follow-up activities, progress toward specific defined organizational objectives, and the completion and timeliness of deliverables.*

*TEMPORARY. Cut off when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer. Destroy or delete at cutoff.*

NARA has requested additional information for their appraisal report:

- I'd like to get a better sense of how much these records show how DHS is carrying out its mandate.

Can you assist in this request? Do you have information that we could forward to NARA on this?

I need your response by COB Thursday, 4/17. Let me know if you have any questions.

Thanks!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>, "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Fri, Jan 25, 2008 6:18 AM  
**Subject:** FW: Records contacts

See the attachment...

-tlh

---

From: Page, Michael  
Sent: Thursday, January 24, 2008 2:41 PM  
To: Hudson, Tammy <CTR>  
Subject: RE: Records contacts

Would this answer their questions?

---

From: Hudson, Tammy <CTR>  
Sent: Thursday, January 24, 2008 2:39 PM  
To: Page, Michael  
Subject: RE: Records contacts

They don't need to go into Bldg 19 and see the process; they mainly want to talk about the process.

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Page, Michael  
Sent: Thursday, January 24, 2008 1:04 PM  
To: Hudson, Tammy <CTR>

Subject: RE: Records contacts

Do you have any idea what they want to see?

---

From: Hudson, Tammy <CTR>  
Sent: Thursday, January 24, 2008 10:27 AM  
To: Page, Michael  
Subject: RE: Records contacts

I don't and Kathy's out - but I'll check with NARA and see if they have any names.

Are you in Monday Feb 4th in the am? NARA wants to do a site review on the Communications Monitoring Records: N1-563-08-5.

Let me know and I'll see if I can set it up.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Page, Michael  
Sent: Wednesday, January 23, 2008 2:39 PM  
To: Hudson, Tammy <CTR>  
Subject: Records contacts

Tammy,



Do we have any contacts at DOJ and FBI? We've just about made our decision on how to proceed with HSIN. Before we do, we would like to get some input on how/why the FBI considers everything in LEO a federal record but why the DOJ only considers the files they use in a case as records, not all of the files they receive.

Thank you,

Michael Page

Operations Directorate Records

3801 Nebraska Ave.NW

Washington, DC 20016

202-282-8743

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 3/5/2008 9:30:15 AM  
**Subject:** RE: CD/DVD

Sounds good!

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/5/2008 9:24 AM >>>  
I was thinking the same thing. I actually haven't been able to watch the whole thing yet – I'll check it out at home and let you know. I'm still in the process of scheduling TRIPwire, so when the draft is completed, I'll send you a copy for review. Thanks for the opinion. Tammy HudsonDHS Records Management - ContractorNAC 2, Room 2207 E (202) 282-8562tammy.hudson@associates.dhs.gov

From: Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
Sent: Wednesday, March 05, 2008 9:22 AM  
To: Tammy <CTR> Hudson  
Subject: Re: CD/DVD  
Tammy,

Without seeing it, but taking into account the importance of this office's function, my initial thought would be that it could be permanent. To really make an informed recommendation though, I'd have to understand more about the office's mandate, the content of the TRIPwire system and how DHS uses the information, and the content of the CD (e.g., how indepth does it go? is the information unique?).

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/5/2008 7:53 AM >>>  
Julie, I currently am working with the Office for Bombing Prevention. They have a system "TRIPwire" that I am drafting a schedule for. The system provides information regarding the processes by which terrorist groups design, develop, manufacture, deploy, train with, and employ improvised explosive devices (IEDs). Part of their informational package is a CD/DVD explaining the program and system. What is your thought on retention for the cd portion of the program? -tlh Tammy HudsonDHS Records Management - ContractorNAC 2, Room 2207 E (202) 282-8562tammy.hudson@associates.dhs.gov

## **Julie Hunsaker - Re: FW: NWM 11 2008 Announcing the issuance of General RecordsSchedule (GRS) Transmittal No.19**

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**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 3/4/2008 2:33 PM  
**Subject:** Re: FW: NWM 11 2008 Announcing the issuance of General RecordsSchedule (GRS) Transmittal No.19

---

Hi, Tammy.

Yes, records of Presidential committees are covered by the Presidential Records Act (PRA). Because they are not covered by the Federal Records Act, they are not covered by the GRS; they also cannot be scheduled by an SF 115.

Here is a link to more information about the PRA:

<http://www.archives.gov/presidential-libraries/research/types.html#pra>

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/4/2008 1:32 PM >>>  
Julie,

Can you help with this?

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Fresenko, Victoria  
Sent: Tuesday, March 04, 2008 1:18 PM  
To: Hudson, Tammy <CTR>  
Cc: Abraham, Georgia  
Subject: RE: NWM 11 2008 Announcing the issuance of General RecordsSchedule (GRS) Transmittal No.19

The new GRS states on page one that "This schedule does not apply to the records of Presidential commissions, boards, councils and committees covered by the Presidential Records Act."

My question is, are our Presidential committees covered by the Presidential Records Act, and if so, who would I contact to obtain a copy of the Act?

Thanks for your help,  
Vicki

Victoria Fresenko  
Committee Management Specialist  
Department of Homeland Security  
(202) 282-8872 (office)  
(202) 557-6025 (cell)  
Victoria.Fresenko@dhs.gov

-----Original Message-----

From: Hudson, Tammy <CTR>  
Sent: Tuesday, March 04, 2008 11:54 AM  
To: Fresenko, Victoria  
Cc: Abraham, Georgia  
Subject: RE: NWM 11 2008 Announcing the issuance of General  
RecordsSchedule (GRS) Transmittal No.19

We had initially drafted a schedule for Presidential Committees and submitted it to NARA. They came back and said that they were covered by the GRS item.

I can get more of an explanation if you want.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Fresenko, Victoria  
Sent: Tuesday, March 04, 2008 11:22 AM  
To: Hudson, Tammy <CTR>  
Cc: Abraham, Georgia  
Subject: RE: NWM 11 2008 Announcing the issuance of General  
RecordsSchedule (GRS) Transmittal No.19

Hi Tammy,

I apologize for not getting back to you sooner. I just read over the new GRS 26 and see that it, like the previous transmittal for GRS 26, does not cover the records of our Presidential committees.

I remember that Georgia and I sat down with you several months ago to discuss a records disposition schedule for our Presidential committees. Did anything ever come out of that? Is there someone else we should contact?

Thanks for your help. Hope you are well!

Vicki

Victoria Fresenko  
Committee Management Specialist  
Department of Homeland Security  
(202) 282-8872 (office)  
(202) 557-6025 (cell)

Victoria.Fresenko@dhs.gov

-----Original Message-----

From: Hudson, Tammy <CTR>  
Sent: Wednesday, February 27, 2008 9:33 AM  
To: Fresenko, Victoria; Abraham, Georgia  
Subject: FW: NWM 11 2008 Announcing the issuance of General RecordsSchedule (GRS) Transmittal No.19

fyi

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: RM Communications [<mailto:RM.Communications@nara.gov>]  
Sent: Wednesday, February 27, 2008 8:57 AM  
To: cortesJ@aafes.com; jcoleman@abilityone.gov; dominguezr@abmc.gov;  
Subject: NWM 11 2008 Announcing the issuance of General RecordsSchedule (GRS) Transmittal No.19

February 27, 2008

NWM 11.2008

MEMORANDUM TO FEDERAL AGENCY CONTACTS: Announcing the issuance of General Records Schedule (GRS) Transmittal No.19.

GRS Transmittal 19 transmits a revised General Records Schedule (GRS) 26, which provides disposition authorities for records of Temporary Commissions, Boards, Councils, and Committees. This and other General Records Schedules are available on our web site at:  
<http://www.archives.gov/records-mgmt/ardor/records-schedules.html> .

Please review this transmittal for instructions on distribution requirements and guidance for actions necessary if you have a NARA-approved schedule for the same series or system of records.

If you have any questions, please contact the Lifecycle Management Division appraiser or Regional Records Management Contact with whom your agency normally works. A list of the appraisal and scheduling work groups is posted on the NARA web site at:  
<http://www.archives.gov/records-mgmt/appraisal/>. A complete list of NARA regional facilities may be found at:  
<http://www.archives.gov/locations/index.html>.

PAUL M. WESTER, JR.  
Director  
Modern Records Programs

**From:** Andrea Loiselle  
**To:** Tammy.Hudson@associates.dhs.gov  
**Date:** 3/26/2008 8:34:26 AM  
**Subject:** Fwd: NARA Digital Images Technical Questionnaire

Tammy,

Here is the e-mail I sent to Barry Bahler with the attached questionnaire for digital photos.

Thanks,  
Andrea

>>> Andrea Loiselle 2/14/2008 2:38 PM >>>

Barry,

I'm sorry it's taken me so long to get this to you. Attached is the technical information questionnaire NARA requires answered for permanent digital photographs. Please let me know if you have any questions.

Thanks,  
Andrea

Andrea Pugsley Loiselle  
Records Analyst  
Lifecycle Management Division (NWML)  
National Archives and Records Administration-College Park  
8601 Adelphi Road, Rm. 2100  
College Park, MD 20740  
(301) 837-1684

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Thu, Apr 24, 2008 8:04 AM  
**Subject:** FW: NARA Digital Image Technical Questionnaire

AARRGGHH!!!!

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Bahler, Barry [mailto:barry.bahler@dhs.gov]  
Sent: Thursday, April 24, 2008 8:02 AM  
To: Hudson, Tammy  
Cc: Howard, Tammy L  
Subject: Re: NARA Digital Image Technical Questionnaire

I do not have the form----i printed it off, filled it out and gave it to Ms Howard.

This is sad.

Please send the form to me again and I will fill it out and hand carry it to you.

Tomorrow is my last day here for a long period---- "I have been detailed to FEMA, starting Monday.

Barry

----- Original Message -----

From: Hudson, Tammy <CTR> <Tammy.Hudson@associates.dhs.gov>  
To: Bahler, Barry <barry.bahler@dhs.gov>  
Sent: Thu Apr 24 07:43:10 2008  
Subject: FW: NARA Digital Image Technical Questionnaire

Barry,

I need to get this form. Let me know if you're in today and I'll come by and pick it up.

If you have it electronically, you can e-mail it.

Thanks

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Howard, Tammy  
Sent: Thursday, April 24, 2008 6:53 AM  
To: Hudson, Tammy <CTR>  
Subject: Re: NARA Digital Image Technical Questionnaire

Tammy

Barry has the form.

----- Original Message -----

From: Hudson, Tammy <CTR>  
To: Howard, Tammy  
Sent: Thu Apr 24 06:44:24 2008  
Subject: RE: NARA Digital Image Technical Questionnaire

Tammy,

If you're in today, I'll come by and pick this up.

Thanks

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Howard, Tammy  
Sent: Monday, April 14, 2008 8:37 AM  
To: Hudson, Tammy <CTR>  
Cc: Bahler, Barry  
Subject: RE: NARA Digital Image Technical Questionnaire

Tammy,

I am sorry for the delay. I did not realize Barry was providing me with the information to pass on to you. I will located the paper on the desk and get it to you today.

Sorry about that.

Thanks

Tammy L. Howard  
Director of Finance and Administration  
Office of Public Affairs  
Department of Homeland Security  
202-282-9264 (phone)  
202-282-8408 (fax)



-----Original Message-----

From: Hudson, Tammy <CTR>  
Sent: Monday, April 14, 2008 8:00 AM  
To: Howard, Tammy  
Subject: FW: NARA Digital Image Technical Questionnaire

Tammy,

Do you have the completed form?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Bahler, Barry [mailto:barry.bahler@dhs.gov]  
Sent: Monday, April 14, 2008 7:57 AM  
To: Hudson, Tammy  
Subject: Re: NARA Digital Image Technical Questionnaire

I gave the completed form to Tammy Howard--March 28th !!

I came in for half a day--and got my paper work caught up!!!!!! Sorry she did not get it to you.

She has it.

Barry

----- Original Message -----

From: Hudson, Tammy <CTR> <Tammy.Hudson@associates.dhs.gov>  
To: Bahler, Barry <barry.bahler@dhs.gov>  
Cc: Andrea Loiselle <Andrea.Pugsley@nara.gov>  
Sent: Mon Apr 14 07:50:50 2008  
Subject: RE: NARA Digital Image Technical Questionnaire

Barry,

Have you had a chance to complete this yet?

Tammy Hudson

DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

---

From: Hudson, Tammy <CTR>  
Sent: Wednesday, March 26, 2008 7:00 AM  
To: 'Bahler, Barry'  
Cc: 'Andrea Loiselle'  
Subject: NARA Digital Image Technical Questionnaire

Barry,

Have you had a chance to complete the digital images technical questionnaire for NARA? The need to have the completed form back before we can finalize the OPA records schedule.

I've attached a copy in case you need it. Let me know if you have any questions.

Thanks!

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 4/29/2008 9:52:56 AM  
**Subject:** RE: NARA Digital Images Technical Questionnaire

Thanks!

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/29/2008 9:46 AM >>>  
Completed - let me know if you need anything else.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loiselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Wednesday, March 26, 2008 8:34 AM  
To: Hudson, Tammy  
Subject: Fwd: NARA Digital Images Technical Questionnaire

Tammy,

Here is the e-mail I sent to Barry Bahler with the attached  
questionnaire for digital photos.

Thanks,  
Andrea

>>> Andrea Loiselle 2/14/2008 2:38 PM >>>  
Barry,

I'm sorry it's taken me so long to get this to you. Attached is the  
technical information questionnaire NARA requires answered for permanent  
digital photographs. Please let me know if you have any questions.

Thanks,  
Andrea

Andrea Pugsley Loiselle  
Records Analyst  
Lifecycle Management Division (NWML)  
National Archives and Records Administration-College Park  
8601 Adelphi Road, Rm. 2100  
College Park, MD 20740  
(301) 837-1684

**From:** Brian Woodall  
**To:** Adler, Michelle  
**Date:** 9/18/2007 9:54:43 AM  
**Subject:** Re: DHS OIG's Electronic Systems Survey

Good morning Michelle, you are correct that any comments were due by close of business September 16, 2007. As of today, Tuesday September 18, 2007, I have not received any questions or requests for your proposed records schedule.

Julie, and a good portion of our leadership, are attending a records Management conference (RACO West), in Kansas City, Kansas and will return to NARA early next week. I am putting together the completed package to send forward for the signature of the Archivist of the United States.

Julie will review next week and I expect it to go forward.

thanks for your attention in this matter.

brian

BRIAN T. WOODALL, Archives Specialist  
Life Cycle Management Division  
National Archives and Records Administration  
8601 Adelphi Road  
College Park, MD 20740-6001  
V: 301.837.1574. F: 301.837.3698  
E-mail: brian.woodall@nara.gov

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 9/17/2007 10:08 AM >>>

Per your request, attached is the DHS Office of Inspector General (OIG)'s Electronic Systems Survey for the Investigations Data Management System. Also, on a separate note, you recently told me that a law professor for the University of Texas may be submitting questions about our proposed records schedule (per the public comment process). I believe this private sector attorney had until September 16 to submit any questions. Please let me know if he submitted any questions and how this will impact the time frame for getting our proposed records schedule signed by the U.S. Archivist.

If you need to reach me, my phone number is (202) 254-4068. Thanks.

Michelle Adler  
Department of Homeland Security  
Office of Inspector General  
Office of Administration  
(202) 254-4068

## Julie Hunsaker - Updates

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>, "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** 4/15/2008 8:12 AM  
**Subject:** Updates

---

Am I caught up with you now? Let me know if there are any other outstanding issues...

Thanks for all your patience!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>; Hunsaker, Julie  
**Date:** 4/15/2008 8:21:12 AM  
**Subject:** Re: Updates

I think everything I have is under control.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/15/2008 8:08 AM >>>  
Am I caught up with you now? Let me know if there are any other  
outstanding issues...

Thanks for all your patience!

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** Andrea Loiselle  
**To:** Tammy.Hudson@associates.dhs.gov  
**Date:** 5/19/2008 11:42:59 AM  
**Subject:** Update

Tammy,

I just wanted to get an update on the schedules I'm working on:

1. DNDO Program Records: I sent a question about the Occupancy and Alarm data (restated below)--

Can I get a description of what the Occupancy Data and Alarm Data actually are. I've got a good description of the Meta Data, but I could also use an explanation of how Meta Data is different from Occupancy Data and Alarm Data.

2. Investigative Fies: Where are we with getting the site visit rescheduled?

Thanks,  
Andrea

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 3/20/2008 8:02:06 AM  
**Subject:** RE: Status Update

No problem. I know how it goes. I'm out of the office tomorrow, so feel free to wait until Monday.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/20/2008 6:44 AM >>>  
Not ignoring you - just a crazy week. Will try to have these answers tomorrow, if not then, then Monday.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loiselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Wednesday, March 19, 2008 9:56 AM  
To: Hudson, Tammy  
Subject: Status Update

Tammy,

I just wanted to check in and get the status outstanding issues on some of the schedules I'm working on:

1. OPA (N1-563-07-17): I'm still waiting on the digital images questionnaire from Barry Bahler. I also e-mailed Bobbie Ferguson on March 11 about the multimedia project files, but I have not heard from her. Any assistance in getting responses from them would be appreciated.

I set you a list of proposed revisions for this schedule, and I have one more from Julie: Barry Bahler agreed to changing the disposition instructions for the Photographs to "Cut off at end of calendar year in which created. Transfer to NARA immediately after cutoff."

2. Investigative Case Files (N1-563-08-4): Earlier this week I sent our availability in April for the site visits. Please let me know how this is coming.

3. DNDO Program Records (N1-563-08-13): I sent proposed revisions and some questions on March 11. Please let me know what their status is.

Thanks,  
Andrea



**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 3/26/2008 8:36:35 AM  
**Subject:** Re: FW: Status Update

Oops! And I sent them before I got this far into my e-mail.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/26/2008 7:03 AM >>>  
Never mind, found them...

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Hudson, Tammy <CTR>  
Sent: Wednesday, March 26, 2008 6:56 AM  
To: 'Andrea Loiselle'  
Subject: RE: Status Update

Can you send me a copy of the e-mails you sent Barry and Bobbie so I can forward that with my request?

Thanks

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loiselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Wednesday, March 19, 2008 9:56 AM  
To: Hudson, Tammy  
Subject: Status Update

Tammy,

I just wanted to check in and get the status outstanding issues on some of the schedules I'm working on:

1. OPA (N1-563-07-17): I'm still waiting on the digital images questionnaire from Barry Bahler. I also e-mailed Bobbie Ferguson on March 11 about the multimedia project files, but I have not heard from her. Any assistance in getting responses from them would be appreciated.

I set you a list of proposed revisions for this schedule, and I have one more from Julie: Barry Bahler agreed to changing the disposition instructions for the Photographs to "Cut off at end of calendar year in which created. Transfer to NARA immediately after cutoff."

2. Investigative Case Files (N1-563-08-4): Earlier this week I sent our availability in April for the site visits. Please let me know how this is coming.

3. DNDO Program Records (N1-563-08-13): I sent proposed revisions and some questions on March 11. Please let me know what their status is.

Thanks,  
Andrea

**From:** Andrea Loiselle  
**To:** Tammy.Hudson@associates.dhs.gov  
**Date:** 4/9/2008 1:45:50 PM  
**Subject:** Status update

Tammy,

I just wanted to check on the status of some outstanding issues: I'm still waiting for Barry Bahler to provide the digital images technical questionnaire for the Public Affairs schedule. I need revised schedules for the Office of Public Affairs and the DNDO Program records, and you were trying to get some answers to questions I had about the DNDO recors.

Thanks,  
Andrea

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 7/8/2008 9:36:31 AM  
**Subject:** RE: Status Update

Okay. Thanks!

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 7/8/2008 9:28 AM >>>  
I'm working on these today. 7/22 is my last day

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loiselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Tuesday, July 08, 2008 9:09 AM  
To: Hudson, Tammy  
Subject: Status Update

Tammy,

Could you let me know where we stand on the following:

1. N1-563-07-17 (Office of Public Affairs): Last week I requested some changes to the cutoff instructions.
2. N1-563-08-4 (Investigative Files): Last week I sent a list of action items from our site visit.

Also, when is your last day? I really appreciate all the help you've given us and your prompt response to my questions. You've made my job easier, and it's been a pleasure working with you.

Thanks,  
Andrea

**From:** Andrea Loisel  
**To:** Hudson, Tammy <CTR>  
**Date:** 4/28/2008 10:38:44 AM  
**Subject:** Re: Security Delegation

Thanks, Tammy.

To summarize the changes we've requested so far and some action items we need from you:

1. Item 1, Background Investigation Files: There are actually two types of files here--investigations done by OPM and investigations done by DHS through the delegated authority. If the OPM investigation files are copies of what OPM has, then they are non-record and do not need to be scheduled. Otherwise, they fall under GRS 18, item 22. The delegated authority files also fall under GRS 18, item 22, unless DHS can provide justification for the 15 year retention. Please determine if the records require that retention and if so, why.
2. Please confirm that the records on the schedule are actually created. Specifically, for Item 3--Criminal Investigation Case Files, please determine if these records are created by an office other than the OIG. Julie thought that item 5, Intelligence Investigative Files, might overlap with the I&A schedule as well. This needs to be done before our return visit.
3. Significant Case Files: Remove item 9. Break items 2, 3 (if it remains in schedule), and 5 into two items--Significant (Permanent) and Not Significant (Temporary). We also have some concern that the description of what is a significant record may not be inclusive enough. An example is that there may be a significant case that never reaches media or Congressional attention because it is classified, but neither would it meet either of the other two criteria. We can work with you on developing the criteria, but need to find out more about the records first.
4. Item 2: Counterintelligence Case Files--The first sentence of the description states "Documentation of activities designed to identify and prevent potential threats within all DHS components." Does this mean the files only relate to internal threats to DHS, or that the records are created in all DHS components? If the latter, can we change this so that it is clear?
5. Item 8: Non-Referral--Can we change the title to "Non-Referral Files", or something similar?
6. We will need to see the permanent records--so case files under items 2, 3, and 5 that are deemed "significant." Please let us know if there will be access issues because it will affect who actually comes on the next visit. Once we know this, I can request dates from those who will be making the next visit so we can get it rescheduled.

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/28/2008 8:42 AM >>>  
Attached is the Security Delegation we spoke about the other day. There isn't anything stating retention - it was worth checking...

-tlh

Tammy Hudson

DHS Records Management - Contractor

**Julie Hunsaker - Re: FW: NARA Update for Records**

---

**From:** Julie Hunsaker  
**To:** Schultz, Kathy  
**Date:** 5/1/2008 5:00 PM  
**Subject:** Re: FW: NARA Update for Records  
**CC:** Gerhart, Joseph M

---

Kathy and Joseph,

I've spoken with our staff who administer our Record Group descriptions. They are aware that the descriptions for many of the DHS record groups need updating and are currently working on revising them. They will let me know when the RG descriptions for ICE and TSA are updated and I will pass this information on to you. Thank you for contacting me about this!

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 4/24/2008 3:42 PM >>>

Julie,

How should we handle the issue that Joe mentions below?

Thanks.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Gerhart, Joseph M [<mailto:joseph.m.gerhart@dhs.gov>]  
**Sent:** Thursday, April 24, 2008 3:18 PM  
**To:** Schultz, Kathy  
**Subject:** NARA Update for Records

Kathy:

Do we need to update this NARA Record Group Description that was originally issued since it has FAMS records under ICE which now belong to TSA.

Pages released under appeal follow



# *National Archives and Records Administration*

8601 Adelphi Road  
College Park, Maryland 20740-6001

APR 24 2009

## Re: Freedom of Information Act Appeal NGC09-006A

This is in response to your Freedom of Information Act (FOIA) appeal of October 23, 2008 in which you appeal the National Archives and Records Administration's (NARA) decision to withhold in full four hundred and sixteen pages pursuant to 5 U.S.C. 552(b)(5), the deliberative process privilege. Your appeal was received in this office on October 27, 2008, and assigned tracking number NGC09-006A. I apologize for the delay in responding to you.

In your initial request of June 20, 2009, you requested copies of correspondence between NARA and the Department of Homeland Security (DHS) from January 1, 2001 to the present. In our letter of October 10, 2008, we informed you that we located a total of one thousand one hundred and seventy-four pages responsive to your request. We released to you six hundred and eighty-two pages in full, withheld in full four hundred and sixteen pages pursuant to 5 U.S.C. 552(b)(5), the deliberative process privilege, and released in part and withheld in part nine pages pursuant to 5 U.S.C. 552(b)(6).

In your appeal, you ask that I reverse the initial determination on the four hundred and sixteen pages withheld in full and either release them in full or release segregable portions of the pages that contain factual material.

After reviewing the pages withheld in full, I have made the following determinations. I am reversing our original decision to withhold in full three hundred and ninety-three pages. They are being released to you in full and are enclosed. For the remaining twenty-three pages, I am upholding our initial determination that they be withheld in full pursuant to 5 U.S.C. 552(b)(5). One of the key purposes of the deliberative process privilege is, as you know, to protect the free flow of advice to agency decision-makers, including expressions of candid opinions within an agency. See *Federal Open Market Comm. v. Merrill*, 443 U.S. 340 (1979). These pages consist of e-mails from DHS to NARA of internal DHS discussions concerning their records management program. They were sent to NARA for informational purposes and therefore they fully meet the thresholds the courts have established for withholding documents under (b)(5).

In our original disclosure to you, you paid fees for the six hundred and ninety-one pages we released to you. The fees for the three hundred and ninety-three pages we are releasing to you amount to \$78.60. Prior to our initial release, the Deputy FOIA Officer, Mr. Jay Olin, spoke with you about pages that contained no substantive information like e-mail signatures. Please contact Mr. Olin if



you wish to have similar pages removed, thus reducing the fees for this FOIA. Once you have contacted Mr. Olin, he will duplicate the pages and send them to you. He can be reached at (301) 837-2025 or [jay.olin@nara.gov](mailto:jay.olin@nara.gov).

Your administrative remedies are now exhausted. You may seek judicial review in the United States District Court for the judicial district in which you reside, the District of Columbia, or in the District of Maryland which is where the records are located.

Sincerely,

A handwritten signature in black ink, reading "Adrienne C. Thomas". The script is cursive and fluid, with the first letters of each word being capitalized and prominent.

ADRIENNE C. THOMAS  
Deputy Archivist



# *National Archives and Records Administration*

---

8601 Adelphi Road  
College Park, Maryland 20740-6001

April 29, 2009

Re: Freedom of Information Act Appeal NGC09-006A

Here are the three hundred and ninety-three pages that have been released to you in accordance with your appeal, NGC09-006A. Your payment has been received by this office. No further action is required on your part.

Sincerely,

JAY OLIN  
Deputy FOIA Officer  
Office of General Counsel

Enclosures

## Julie Hunsaker - Re: HSLRB Case Files and Non-Disclosure Agreements

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 10/30/2007 4:48 PM  
**Subject:** Re: HSLRB Case Files and Non-Disclosure Agreements  
**CC:** Schultz, Kathy

---

Hi, Tammy.

No, we have no record of formally receiving or registering these proposed schedules.

Before you send these to us, could you please make sure the format follows our guidelines? For example, each item should have a title, description, and disposition instruction. Also, disposition instructions should use the word "transfer" instead of "offer" and "destroy" instead of "dispose."

Regarding the HSLRB schedule, Item 3 is covered by the GRS. Please remove.

Regarding the Non-Disclosure Agreement schedule, please change the disposition statement to "Dispose immediately upon approval of schedule."

Also, it would speed the process if DHS could provide the rationales for the proposed retention periods with the submission of the schedules. Please let us specifically know how any legal requirements are met.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 10/30/2007 11:04 AM >>>  
Julie,

Can you see if the attached SF115s were ever registered? These are dated 9/26/2006 and we have the e-mail and fax information between Carolyn Roberts and Debbie Armentrout, but no further information.

If we need to re-submit these, let us know.

Thanks!

Tammy

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Roberts, Carolyn <CTR>**

---

**From:** Roberts, Carolyn <CTR>  
**Sent:** Wednesday, October 04, 2006 9:59 AM  
**To:** 'Deborah Armentrout'  
**Cc:** Schultz, Kathy; Tammy <CTR> Hudson  
**Subject:** Need Fax Number - transmit 2 SF-115 attachments

Debbie,

We have two schedules that are being routed for internal approval and I do not have electronic copies at this point. These were prepared by Kathy prior to my arrival and she is not here today. Since you indicated that you needed the drafts asap, I can fax them to you.

These schedules are for: Homeland Security Labor Relations Board Case Files and Office of Security, Approval of Records Schedule for Non-disclosure Agreements.

Let me know your number and I will get them on the way!!

Thanks,

Carolyn

Carolyn B. Roberts, CRM/NS  
Contractor - DHS Records Management  
7th & D Streets SW, Room 3636-17  
Washington, DC 20528  
202.447-5073

10/4/2006

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		LEAVE BLANK (NARA use only)	
		JOB NUMBER	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		Date Received	
1. FROM (Agency or establishment) <b>Department of Homeland Security</b>		<b>NOTIFICATION TO AGENCY</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.	
2. MAJOR SUB DIVISION <b>Homeland Security Labor Relations Board</b>			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER <b>Kathy Schultz</b>	5. TELEPHONE <b>(202) 447-5075</b>	DATE	ARCHIVIST OF THE UNITED STATES
6. <b>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>  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 <b>9/26/06</b>	SIGNATURE OF AGENCY REPRESENTATIVE		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)
1	<b>Homeland Security Labor Relations Board Case Files.</b>  <b>See attached sheets</b>		

Department of Homeland Security  
Homeland Security Labor Relations Board

1. HSLRB Official Case files

These cases contain documentation relating to the processing of Homeland Security Labor Relations Board (HSLRB) cases including Unfair Labor Practices, Negotiability Disputes, Requests for Impasse Resolution, Requests for Assistance on Conferring, Binding Department-wide Opinions, Exceptions to Arbitration Awards, and matters pending before the Federal Labor Relations Authority (FLRA) over which the HSLRB asserted jurisdiction. Labor organizations which represent employees at the Department of Homeland Security (DHS), DHS components and, infrequently, DHS employees themselves may file requests with the HSLRB seeking resolution of the above-mentioned labor disputes. A request for HSLRB action is a self contained document which sets forth a statement of the grounds on which review is requested and is accompanied by detailed supporting documentation such as arbitration awards, citations of authority, memoranda of agreements, contract clauses, witnesses statements, copies of rules and regulations, and a variety of similar items justifying or opposing the request. Statements of position, motions, pre-hearing submissions, post-hearing briefs, transcripts, exhibits and HSLRB decisions and orders are examples of other types of documents included in these files.

Criteria for Permanent Retention.

HSLRB case files that illustrate significant developments in the administration of the DHS Human Resources regulations (5 CFR 9701) or otherwise represent the most important cases considered by the HSLRB in a given year and are selected according to the following factors:

- (a) The nature of the substantive or procedural issues involved which constitute a landmark or lead case;
- (b) The intensity of public interest and comment;
- (c) The impact upon the local or national economy of the actions giving rise to the case;
- (d) The unique character of the issues or procedures involved such as demonstrating the Agency's resourcefulness;
- (e) The case's influence on the development of principles, precedents, policies, or standards of judgment in such matters as the meaning of unfair labor practices; the implications of bargaining in good faith and the scope of bargaining; affects on homeland security; or
- (f) The numbers of workers affected or the site of the establishment shall not be regarded alone as a criterion of importance, but attention should be given to the preservation of the history of the efforts to organize a given industry.

Selected criteria for HSLRB case files are to be applied by the Case Manager or designated HSLRB official before the transfer of such files to a Federal Records Center.

Permanent case files are to be retired to the Federal Records Center separately from case files of temporary value.

#### Disposition

Permanent (Selected for Permanent Retention)  
Cut off closed cases at the end of the fiscal year.  
Transfer to FRC 1 fiscal year after case is closed.  
Offer to NARA when 7 years after cut off.  
Rate of Accumulation = 6" per year.  
Volume on Hand = 0

Temporary (Not Selected for Permanent Retention) Cut off closed cases at end of the fiscal year. Transfer to FRC 1 fiscal year after case is closed. Dispose of when 3 years old.

## 2. HSLRB Working Case Files

Working case files are created by the Case Manager for HSLRB cases that are assigned for merits review by the HSLRB Members. When a case is assigned for merits review, one working case file is provided to each Member and the Senior Counsel. Once provided, the Members and the Senior Counsel maintain working case files along with their staffs.

The working case files essentially contain copies of pleadings filed by the parties in a case and any orders or other documents issued by the HSLRB to the parties. The working case files may also contain documents created by the Federal Labor Relations Authority, internal informational memoranda and internal information generated by HSLRB staff processing the case. In addition, the working case files may contain internal HSLRB generated documents related to the decisional process such as document checklists and research. Also included are internal staff memos and drafts of decisions. Closed working case files are maintained by the Members, the Senior Counsel and their staffs.

Cut off closed cases at the end of each fiscal year. Destroy when no longer needed for research or 1 year after cut off, whichever is sooner. Not authorized to transfer to an FRC.

## 3. Electronic copies of documents prepared for HSLRB case files (both official and working) that are created by word processing, e-mail and case management applications.

Maintain by case number or case name in computer system for research. Review annually and delete when case is closed or when no longer needed, whichever is sooner.

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		LEAVE BLANK (NARA use only)	
		JOB NUMBER	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		Date Received	
1. FROM (Agency or establishment) <b>Department of Homeland Security</b>		NOTIFICATION TO AGENCY	
2. MAJOR SUB DIVISION <b>Office of Security</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	ARCHIVIST OF THE UNITED STATES
6. <b>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>  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 <b>9/26/06</b>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Kathy 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)
1	Non-disclosure Agreements. See attached sheets		



## Department of Homeland Security Office of Security

### 1. Nondisclosure Agreements for PCII, SSI, SBU

DHS Management Directive 11042 required Nondisclosure Agreements (NdA) signed by DHS personnel and contractors with access to sensitive information that has not been classified under standards put forth by Executive orders governing security classification. However, that policy was changed to rescind the NdAs signed by DHS employees, since employees are required to obtain a security clearance prior to working at DHS.

The subcategories of information covered by the NdA are list below:

- **Protected Critical Infrastructure Information (PCII)**  
Critical Infrastructure Information (CII) is defined in 6 U.S.C. 131(3) Section 212(3) of the Homeland Security Act of 2002, PL 107-296. CII means information not customarily in the public domain and related to the security of critical infrastructure of protected systems. PCII is a subset of CII that is voluntarily submitted to the Federal Government and for which protection is requested under the PCII program by the requestor.
- **Sensitive Security Information (SSI)**  
SSI as defined in 49 C.F.R. Part 1520, is a specific category of information that requires protection against disclosure. As noted in 49 USC 40119, there are limits to the disclosure of information obtained or developed in carrying out certain security or research and development activities to the extent that it has been determined that disclosure of the information would be unwarranted invasion of personal privacy; reveal a trade secret or privileged or confidential commercial
- **Sensitive But Unclassified (SBU)**  
SBU information is an overarching term that covers any information, not otherwise indicated above, which the loss of, misuse of, or unauthorized access to or modification of could adversely affect the national interest or the conduct of Federal programs, or the privacy to which individuals are entitled under Section 552a of Title 5, as amended, but which has not been specifically authorized under criteria established by an Executive Order or an Act of Congress to be kept secret in the interest of national defense or foreign policy. This includes information categorized by DHS or other government agencies as: For Official Use Only (FOUO); Official Use Only (OUO); Sensitive Homeland Security Information (SHSI); Limited Official Use (LOU); Law Enforcement Sensitive (LES); Safeguarding Information (SGI); Unclassified Nuclear Information (UCNI); and any other identifier used by other government agencies to categorize information as sensitive but unclassified.
  - a. Nondisclosure Agreements signed by DHS employees.  
Disposition: Destroy immediately.
  - b. Nondisclosure Agreements signed by contractors.

Disposition: Destroy with related contract at 6 years and 3 month after final payment on contract.

**From:** Andrea Loiselle  
**To:** Tammy.Hudson@associates.dhs.gov  
**Date:** 7/1/2008 2:41:27 PM  
**Subject:** Investigative Files Visit Summary

Tammy,

The following summarizes changes and action items from our visits relating to this schedule, to the extent of my notes and memory, and a few additional comments. Please let me know if there was anything I forgot. The action items for DHS are in bold.

GENERAL CHANGES: For any cutoff instruction that states "Cut off at the end of the fiscal year when the investigation is complete and the case is closed" please change to "...when the case is closed."

1. Background Investigation Files

ACTION:

1. These records may be covered by GRS 18, item 22, but I will confirm. If that is the case, they should be removed from the schedule.
2. The delegation doesn't appear to have anything to say about retention of investigations generated by the delegated authority. If this type of investigation needs to be maintained for 15 years, there needs to be an item that specifically addresses Background Investigation Files conducted as part of the delegated authority. **Tammy, please confirm the retention and change the item as needed.**

CHANGES: If the investigations conducted as part of the delegated authority are kept as a separate item, the instruction should be: "Cut off and the end of the [fiscal or calendar] year in which the investigation is closed. Destroy 15 years after cutoff."

2. Counterintelligence Case Files

COMMENT: We determined that this item is temporary only. Significant cases are taken over by the FBI and will be documented in their records.

3. Criminal Investigation Case Files

ACTION:

1. **CIID will provide summaries of example case files for NARA to gauge the scope of the cases.**
2. NARA will find out if all Federal Court cases are scheduled as permanent.

CHANGE: If we determine that there are permanent records in this item, make Criminal Investigation Case Files two items: one temporary, one permanent. Use the criteria from item 9 to identify the permanent cases.

4. Foreign Visitor Investigations/Indices Checks

ACTION:

1. **Tammy will check if this item covers both DFAMS as well as the "case file" (copies of derogatory background information). If DFAMS is covered by this item, please provide the PIA and change the description to make it clear this item covers that system.**
2. **Remove references to IS&ID from description, as the office name has changed.**

5. Intelligence Investigative Files

**ACTION: DHS (specifically CIID) will determine if this item needs to be handled as classified information. If so, it will be removed from this schedule and scheduled separately.**

6. Investigations Support (Misc)

CHANGE: Remove this item and move the description to item 8, Non-Referrals

7. Investigative Working Files

CHANGE: Remove this item.

8. Non-Referrals

**ACTION:** Tammy will check the retention of the IG database that tracks names and mirror the retention of this item to the database. Proposed change was to make the retention 5 years.

9. Significant Case Files

CHANGE: Remove this item.

Let me know if you have any questions.

Thanks,  
Andrea

**CC:** Hunsaker, Julie

## Julie Hunsaker - Re: Question About DHS OIG's Schedule for Investigative Case Files

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**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 7/17/2008 3:49:36 PM  
**Subject:** Re: Question About DHS OIG's Schedule for Investigative Case Files

---

Michelle,

I think your example is right on the mark. I wouldn't change a thing.

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 7/17/2008 1:51 PM >>>

Hello Julie. I would appreciate your help. Next week, I will be giving a briefing on Records Management at the OIG's annual Administrative Conference. My briefing will include a discussion of record cutoffs. In particular, I want to explain how to calculate the destruction dates for our Investigative Case files. Here's why I'm coming to you:

1. In August 2007, you and I agreed that I would delete any language about cutoffs from our SF-115 for investigative case files. In other words, we agreed to have the following revised disposition instructions:

**Disposition:** ~~Cutoff at end of fiscal year in which case is closed.~~ **Destroy 20 years after completion of the investigation and all actions based thereon."**

2. At the time, we agreed that this approach was an acceptable alternative to the usual file cutoff language because the revision still conveyed the cutoff concept and explains when the OIG will close a case. However, in hindsight, I see that this may make it hard to educate/train lay persons (i.e., those who weren't involved with the development of this schedule) on how to determine when investigative case files are eligible for destruction.
3. At next week's briefing I will give concrete examples of how to apply file cutoffs for both admin and program files. The following is my planned example for investigative case files. Please let me know if I'm correct.
  1. The OIG issued a Report of Investigation in March 3, 2007.
  2. All actions on the case were completed by July 17, 2008. This is when the case became **closed**.
  3. Cutoff all **closed** files at the end of the fiscal year (i.e., 9/30/08).
  4. Apply the 20-year retention time frame to the 9/30/08 file cutoff date. In other words, cases **closed** in FY 2008 can be destroyed on **October 1, 2028**.

I welcome any edits that would make this clearer. Thanks in advance for your help.

Michelle Adler  
DHS Office of Inspector General  
(202) 254-4068.

## Julie Hunsaker - RE: Question About DHS OIG's Schedule for Investigative CaseFiles

---

**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 7/18/2008 8:27:42 AM  
**Subject:** RE: Question About DHS OIG's Schedule for Investigative CaseFiles

---

Thanks.

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, July 17, 2008 3:50 PM  
**To:** Michelle Adler  
**Subject:** Re: Question About DHS OIG's Schedule for Investigative CaseFiles

Michelle,

I think your example is right on the mark. I wouldn't change a thing.

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 7/17/2008 1:51 PM >>>

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Michelle Adler  
 DHS Office of Inspector General

(202) 254-4068.

## Julie Hunsaker - Question About DHS OIG's Schedule for Investigative Case Files

---

**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 7/17/2008 2:06:39 PM  
**Subject:** Question About DHS OIG's Schedule for Investigative Case Files

---

Hello Julie. I would appreciate your help. Next week, I will be giving a briefing on Records Management at the OIG's annual Administrative Conference. My briefing will include a discussion of record cutoffs. In particular, I want to explain how to calculate the destruction dates for our Investigative Case files. Here's why I'm coming to you:

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I welcome any edits that would make this clearer. Thanks in advance for your help.

Michelle Adler  
DHS Office of Inspector General  
(202) 254-4068.



**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** <brian.woodall@nara.gov>  
**Date:** Mon, Apr 9, 2007 10:24 AM  
**Subject:** Revised Schedule for OIG Investigative Case Files and Data Management System

Brian,

Attached are the revisions to the OIG schedule you requested per our meeting on 4/3/07.

- \* The addition of a "media neutral" statement
- \* Record Item #1 for Investigative Case Files. This item is now divided into two subitems: 1a for temporary files and 1b for Permanent files.
- \* Record Item 2a(1), Complaint Data Entry Form. The disposition guidance is now called "Instructions" versus "Disposition."

Let me know if there is anything else you need.

Tammy

Tammy Hudson

Contractor - DHS Records Management

NAC 2, Room 2207E (202) 282-8562

VTa, Room 10-254 (202) 254-6363

tammy.hudson@associates.dhs.gov

**CC:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>, "Adler, Michelle" <michelle.adler@dhs.gov>

**U.S. Department of Homeland Security  
Office of Inspector General  
Investigative Case Files and Data Management System**

The Homeland Security Act of 2002 provided for the establishment of an Office of Inspector General (OIG) in the Department of Homeland Security (DHS) by amendment to the Inspector General Act of 1978. By this action, Congress and the administration ensured independent and objective audits, inspections and investigations of the Department. The Inspector General is appointed by the President, subject to confirmation by the Senate, and reports directly to the Secretary of DHS and to Congress.

This record system consists of paper investigative files and an electronic case management and tracking information system. These disposition instructions are media neutral; they apply regardless of the media or format of the records unless otherwise noted.

**1. Investigative 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 relate to DHS personnel and programs and operations administered or financed by DHS, including contractors and others having a relationship with DHS. This includes investigative reports and related documents, such as correspondence, notes, attachments and working papers.

**a. All Investigative Case Files EXCEPT for unusually significant cases covered in Item 1b.**

**Disposition: TEMPORARY.** Cutoff at end of fiscal year in which case is closed. Transfer to Federal Records Center as volume warrants. Destroy 20 years after cutoff.

**b. Significant Investigative Case Files** that (1) involve allegations made against senior DHS officials; (2) attract national media or Congressional attention; or (3) result in substantive changes in DHS policies or procedures. Significant cases will be selected by the Office of the Inspector General based on the above criteria. The disposition of significant investigative files will be determined by the National Archives and Records Administration (NARA).

**Disposition: PERMANENT.** Cutoff at end of fiscal year in which case is closed. When volume warrants, transfer to the Federal Records Center for temporary storage. Offer to the National Archives for permanent retention 20 years after cutoff.

**2. Investigations Data Management System (IDMS)**

The Investigative Data Management System (IDMS) supports the OIG Office of Investigations in its mission to conduct and supervise investigations of alleged violations of criminal, civil or administrative laws and regulations relating to DHS employees, contractors and other individuals and entities associated with DHS. The database is used to process complaints and to manage information provided during investigations. The system allows the OIG to index investigative case information; manage case inventory; track complaint status, disposition and results; and prepare various management and statistical reports. The IDMS also captures investigative property records and special agent training records for Office of Investigation employees.

The IDMS contains records from 2002 to the present. Historical data is included from the Offices of Inspectors General for three legacy DHS agencies: Department of the Treasury, Department of Justice, and Federal Emergency Management Administration.

**a. Inputs/Source Documents**

Complaints and other investigative information are received by telephone, mail, electronic mail, fax and walk-ins. All complaints and information are assigned a complaint number and the information is entered into the system through an on-line Complaint Data Entry form. Investigative offices make additional entries as information is developed. Also includes keyed entries for investigative property records for all OIG Office of Investigations employees and other investigator related information.

**1) Complaint Data Entry Form and related documentation.**

**Instructions:** After the data has been entered and/or scanned and verified, file incoming source documentation in the appropriate investigative case file. See Investigative Case Files (Items 1a and 1b in this schedule) for disposition.

**2) Investigative property records for all OIG Office of Investigations employees and other investigator related information.**

**Disposition: TEMPORARY.** Delete when superseded or when no longer needed for operational purposes.

**b. Master File/Database Contents**

Electronic Complaint and Investigative Case Information.

Data elements include, but are not limited to the following items: date of complaint, complaint number, names and other identifying information for complainants, witnesses, informants, suspects or other parties involved; matters alleged; and complaint disposition and resulting actions. This information may include scanned images. Files also include modules for data investigative property records and other investigator related information.

**1) Complaint information and related documentation.**

**Disposition: TEMPORARY.** Cutoff at end of fiscal year in which case is closed. Delete 20 years after cutoff, or when no longer needed for operational purposes, whichever is later.

**2) Investigative property records for all OIG Office of Investigations employees and other investigator related information.**

**Disposition: TEMPORARY.** Delete when superseded or when no longer needed for operational purposes.

**c. Outputs**

Management Tracking and other Ad Hoc Reports

Reports include printed or on-line display reports containing lists or summary statistical information concerning investigative caseload, accomplishments, etc.

**Disposition: TEMPORARY.** Destroy when no longer needed for business purposes or place in appropriate file and apply approved disposition for that item.

## Julie Hunsaker - Electronic Communications Preservation Act

---

**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 4/15/2008 9:36 AM  
**Subject:** Electronic Communications Preservation Act

---

Kathy,

Here is the email Larry sent me with the draft language for the Act (see attachment).

Julie

>>> "Gray, Larry (HHS/ASRT)" <Larry.Gray@hhs.gov> 4/14/2008 10:30 AM >>>

---

**From:** Bernstein, Maya (HHS/ASPE)  
**Sent:** Friday, April 11, 2008 3:21 PM  
**To:** Gray, Larry (HHS/ASRT)  
**Subject:** FW: OMB Rqst for Views:S \_\_\_\_ (Electronic Communications Preservation Act)  
**Importance:** High

I hope this made it to you already. Due at 4pm.

*Maya A. Bernstein, J.D.*

*Senior Advisor, Privacy Policy*

*Office of the Asst Secty, Planning & Evaluation*

*U.S. Dept of Health and Human Services*

*200 Independence Avenue, SW*

*Washington, DC 20201*

*202.690.5896*

*[maya.bernstein@hhs.gov](mailto:maya.bernstein@hhs.gov)*

---

**From:** Bush, Laina (HHS/ASPE)  
**Sent:** Friday, April 11, 2008 12:19 PM  
**To:** Bernstein, Maya (HHS/ASPE)  
**Subject:** FW: OMB Rqst for Views:S \_\_\_\_ (Electronic Communications Preservation Act)  
**Importance:** High

---

**From:** Johnson, Annette (HHS/ASPE)

**Sent:** Friday, April 11, 2008 11:52 AM

**To:** Scanlon, Jim (HHS/ASPE); Bush, Laina (HHS/ASPE); Broman, Barbara (HHS/ASPE); Pian, Canta (HHS/ASPE); Katz, Ruth (HHS/ASPE); Kennedy, Gavin (HHS/ASPE); Corrigan, Dara (HHS/ASPE)

**Subject:** FW: OMB Rqst for Views:S \_\_\_\_ (Electronic Communications Preservation Act)

**Importance:** High

Necessary action. Thanks

---

**From:** Willoughby, Michelle (HHS/OGC)

**Sent:** Friday, April 11, 2008 11:49 AM

**To:** Gallivan, John (HHS/OS); Levey, Steven (HHS/ASL); Whitley, Edward (HHS/ASL); Cohen, Mary (ACF); Davis, Cynthia (ACF); Long, Erin (AoA/ExSec) (CTR); Posman, Harry (AoA/ExSec); Jackson, Caldwell (HHS/ASRT); Johnson, Annette (HHS/ASPE); LinkBrown, Michaela (HHS/ASPE); Costigan, Michael J. (SAMHSA/IOA); Morris, Greg (HHS/OS); Lyons, Matthew D. (FDA); Mason, Stephen R. (FDA); Mital, Michele (FDA); Mason, James (HHS/OS); 'Roz Gray'; 'Tina Bordonaro'; Sayer, Marcia V. (OIG); East, Janet (HHS/OPHS); Persun, Nancy J (HHS/OPHS); Faha, Joe (SAMHSA/OA); Elias, Eileen (HHS/OS); Ginieczki, Boyce (AHRQ); Jones, Carla (AHRQ); Perry, Wendy (AHRQ); ASAM Staff; Bartley, Paul (PSC); Hall, Bill (HHS/ASPA); HENNEGHAN, MARTHA (HHS/ASPA); Craig, Michael R. (CDC/OD/CDCW); Greaser, Jennifer (CDC/OD/CDCW); Huynh, Maria (CDC/OD/CDCW); Coates, Annette (CMS/OL); Stroup, Patricia (HRSA); Beer, Jocelyn (IHS/HQE); Hudson, Barbara J. (IHS/HQE); Johnson-Webb, Mechelle D (IHS/HQE); Mahsetky, Michael D. (IHS/HQE); Tracy, June (IHS/HQE); Turk, Denise M. (IHS/HQE); Brown, Carole (HHS/OCR); Harris, Patricia (HHS/OCR); Heide, Christina (HHS/OCR); OS OCR ExecSec (HHS/OS); Dang, Nguyen (HHS/OS); Gerlach, Betty (HHS/ASPR); Payne, Matthew (HHS/OPHEP); Sherman, Susan (HHS/OGC); Lawrence, Arthur J (HHS/IOS); Bell, Karen (HHS/ONC); Daniel, Jodi (HHS/ONC); Mantooth, Mark (HHS/OGC); Posnack, Steven (HHS/ONC); Dirst, Michelle (SAMHSA/OA)

**Cc:** Friedman, Richard (HHS/OGC); Cade, David (HHS/OGC); Johnson, Linda (HHS/OGC); Wallace, Sondra S. (HHS/OGC); Cummings, Abigail L. (OIG); Morris, Lewis (OIG); Jeffries, Elizabeth (HHS/OGC); Noronha, Preeya (HHS); Corke, Victoria (HHS/OGC); Fisher, Barbara (HHS/OGC); Kosin, Donald (HHS/OGC); Davis, Jeffrey (HHS/OGC); Jones, Rochelle (HHS/OGC); Huff, Bonita (HHS/OGC); Woo, Edwin (HHS/OGC); Caplan, Andrew (HHS/OGC); Conte, Linda (HHS/OGC); Cuizon, Gloria (HHS/OGC); McPhail, Mary (HHS/OGC); Swindell, Edgar M. (HHS/OGC); Long, Mirna L. (FDA); Senger, Jeffrey M. (FDA); Wion, Ann H. (FDA); Benor, David E.(HHS/OGC)

**Subject:** OMB Rqst for Views:S \_\_\_\_ (Electronic Communications Preservation Act)

**Importance:** High

To:	ACF	AHRQ
	AoA	ASAM/PSC
	ASRT	ASPA
	ASPE	CDC
	CFBCI	CMS
	FDA	HRSA
	IGA	IHS
	NIH	OCR
	OIG	ASPR

OPHS                      OSSI  
SAMHSA                    ES  
IOS/OD                    ONCHIT

FROM: Office of the General Counsel/Legislation Division

---

SUBJECT:     **OMB Request for Views on S \_\_\_\_ -- Electronic Communications Preservation Act**

**(COMMENTS: Attached is draft legislation which is about to be introduced. OMB is giving us an opportunity to review the language before it is introduced.)**

The Office of Management and Budget has asked for the Department's views on the above-mentioned **draft legislation**.

In order that we may respond promptly to this request, please give your comments **AS SOON AS POSSIBLE** but no later than **4:00 P.M., TODAY, APR. 11** to **RICHARD FRIEDMAN** of this Division. **If you respond by e-mail, please cc: our general (GCL.EMAIL@hhs.gov) (Microsoft Outlook users, select: OS GCL, EMAIL from the Global Address List).**

Comments should be in writing (either a mark-up or note). E-mail comments are preferred; you may also either fax comments to 202-690-7309 or hand-deliver them to Rm 417H-HHH. If you need to discuss your comments with the GCL staff attorney named above, he/she can be reached on 202-690-7773. If you have any questions concerning this referral, please call our Legislative Reference Service, 202-690-7750.

Attachment

cc:

OIG/OCIG                GC/CR  
GC/CFA                GC/Ethics  
GC/CMS                GC/FD  
GC/GLD                GC/PH  
GC/IO

<<ECPA DRAFT.doc>>

**Julie Hunsaker - RE: Electronic Communications Preservation Act**

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/15/2008 10:37 AM  
**Subject:** RE: Electronic Communications Preservation Act

---

Julie,

The road closures do not start until 3pm and seem to only be in NE Washington tomorrow. So we are okay.

<http://cfc.wjla.com/external.cfm?p=papalclosures>

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, April 15, 2008 9:37 AM  
**To:** Schultz, Kathy  
**Subject:** Electronic Communications Preservation Act

Kathy,

Here is the email Larry sent me with the draft language for the Act (see attachment).

Julie

>>> "Gray, Larry (HHS/ASRT)" <Larry.Gray@hhs.gov> 4/14/2008 10:30 AM >>>

---

**From:** Bernstein, Maya (HHS/ASPE)  
**Sent:** Friday, April 11, 2008 3:21 PM  
**To:** Gray, Larry (HHS/ASRT)  
**Subject:** FW: OMB Rqst for Views:S \_\_\_\_ (Electronic Communications Preservation Act)

**Importance:** High

I hope this made it to you already. Due at 4pm.

*Maya A. Bernstein, J.D.*

*Senior Advisor, Privacy Policy*

*Office of the Asst Secty, Planning & Evaluation*

*U.S. Dept of Health and Human Services*

*200 Independence Avenue, SW*

*Washington, DC 20201*

*202.690.5896*

*[maya.bernstein@hhs.gov](mailto:maya.bernstein@hhs.gov)*

---

**From:** Bush, Laina (HHS/ASPE)

**Sent:** Friday, April 11, 2008 12:19 PM

**To:** Bernstein, Maya (HHS/ASPE)

**Subject:** FW: OMB Rqst for Views:S \_\_\_\_ (Electronic Communications Preservation Act)

**Importance:** High

---

**From:** Johnson, Annette (HHS/ASPE)

**Sent:** Friday, April 11, 2008 11:52 AM

**To:** Scanlon, Jim (HHS/ASPE); Bush, Laina (HHS/ASPE); Broman, Barbara (HHS/ASPE); Pian, Cantu (HHS/ASPE); Katz, Ruth (HHS/ASPE); Kennedy, Gavin (HHS/ASPE); Corrigan, Dara (HHS/ASPE)

**Subject:** FW: OMB Rqst for Views:S \_\_\_\_ (Electronic Communications Preservation Act)

**Importance:** High

Necessary action. Thanks

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Barbara J. (IHS/HQE); Johnson-Webb, Mechelle D (IHS/HQE); Mahsetky, Michael D. (IHS/HQE); Tracy, June (IHS/HQE); Turk, Denise M. (IHS/HQE); Brown, Carole (HHS/OCR); Harris, Patricia (HHS/OCR); Heide, Christina (HHS/OCR); OS OCR ExecSec (HHS/OS); Dang, Nguyen (HHS/OS); Gerlach, Betty (HHS/ASPR); Payne, Matthew (HHS/OPHEP); Sherman, Susan (HHS/OGC); Lawrence, Arthur J (HHS/IOS); Bell, Karen (HHS/ONC); Daniel, Jodi (HHS/ONC); Mantooth, Mark (HHS/OGC); Posnack, Steven (HHS/ONC); Dirst, Michelle (SAMHSA/OA)  
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**Subject:** OMB Rqst for Views:S \_\_\_\_ (Electronic Communications Preservation Act)

**Importance:** High

To: ACF	AHRQ
AoA	ASAM/PSC
ASRT	ASPA
ASPE	CDC
CFBCI	CMS
FDA	HRSA
IGA	IHS
NIH	OCR
OIG	ASPR
OPHS	OSSI
SAMHSA	ES
IOS/OD	ONCHIT

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Attachment

cc:

OIG/OCIG            GC/CR

GC/CFA            GC/Ethics

GC/CMS            GC/FD

GC/GLD            GC/PH

GC/IO

<<ECPA DRAFT.doc>>

## Julie Hunsaker - RE: Electronic Communications Preservation Act

---

**From:** Julie Hunsaker  
**To:** Schultz, Kathy  
**Date:** 4/15/2008 12:49:19 PM  
**Subject:** RE: Electronic Communications Preservation Act

---

Okay - thanks Kathy!

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 4/15/2008 10:21 AM >>>

Julie,

The road closures do not start until 3pm and seem to only be in NE Washington tomorrow. So we are okay.

<http://cfc.wjla.com/external.cfm?p=papalclosures>

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

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**Sent:** Tuesday, April 15, 2008 9:37 AM  
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Here is the email Larry sent me with the draft language for the Act (see attachment).

Julie

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**Sent:** Friday, April 11, 2008 3:21 PM  
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**Subject:** FW: OMB Rqst for Views:S \_\_\_\_ (Electronic Communications Preservation Act)  
**Importance:** High

I hope this made it to you already. Due at 4pm.

*Maya A. Bernstein, J.D.*

*Senior Advisor, Privacy Policy*

*Office of the Asst Secty, Planning & Evaluation*

*U.S. Dept of Health and Human Services*

*200 Independence Avenue, SW*

*Washington, DC 20201*

*202.690.5896*

*[maya.bernstein@hhs.gov](mailto:maya.bernstein@hhs.gov)*

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**Sent:** Friday, April 11, 2008 12:19 PM  
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**Importance:** High

To:	ACF	AHRQ
	AoA	ASAM/PSC
	ASRT	ASPA
	ASPE	CDC
	CFBCI	CMS
	FDA	HRSA
	IGA	IHS
	NIH	OCR
	OIG	ASPR
	OPHS	OSSI
	SAMHSA	ES
	IOS/OD	ONCHIT

7/24/2008

In order that we may respond promptly to this request, please give your comments **AS SOON AS POSSIBLE** but no later than **4:00 P.M., TODAY, APR. 11** to **RICHARD FRIEDMAN** of this Division. **If you respond by e-mail, please cc: our general (GCL.EMAIL@hhs.gov) (Microsoft Outlook users, select: OS GCL, EMAIL from the Global Address List).**

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Attachment

cc:

OIG/OCIG            GC/CR

GC/CFA            GC/Ethics

GC/CMS            GC/FD

GC/GLD            GC/PH

GC/IO

<<ECPA DRAFT.doc>>

## Julie Hunsaker - Fwd: RE: Records Common to All v4

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 3/20/2008 6:09 PM  
**Subject:** Fwd: RE: Records Common to All v4

Tammy,

I've reviewed the revised 115. Here are my remaining questions/comments (I've repeated here the questions I still have from my 2/29 list - for ease of reference):

### 1. Brochures, Pamphlets and Publications

- i. I'm wondering whether it might be best to drop the reference to "reports, studies" in the description (or the entire "this includes" last sentence, for that matter). It seems like various reports and studies have different retentions throughout DHS. So seeing this reference here may confuse things. People should be able to identify a brochure, pamphlet or publication as such; this title should be able to stand on its own.
- ii. In the disposition instruction, please change "Offer" to "Transfer."

### 2. Correspondence

- i. This item title/description still seems a bit ambiguous to me. Should the title be "Routine Correspondence"? Also, I'm not sure what the difference is between "correspondence" and "program specific correspondence."
- ii. GRS 23 Item 7 may actually cover some of these records. Does DHS not want to use GRS 23/7? Or should this item's description change so these two authorities won't overlap (e.g., meeting requests are seemingly covered by both)?
- iii. Where is all of the perm DHS correspondence?

### 3. Dissemination Files and Lists

- i. How does this item relate to the "Dissemination Files and Lists" item on the I&A schedule (N1-563-07-16 Item 2)? If this item won't apply to I&A, the schedule should indicate this. If this item should also apply to I&A, please talk to Quinton and remove it from the I&A schedule ASAP. (It comes off the Federal Register on 4/2. If it's requested, the copy we send out should represent the final version of the schedule.)

### 6-7. Interagency Agreements and MOA/MOUs

- i. What is the difference between these two types of records? Is there a reason they aren't covered by the same item?
- ii. Is there a reason DHS decided to not include a cutoff statement for these items? (This same question applies to various items throughout the schedule. Is there a reason some items have cutoffs and some don't? e.g., 8, 9, 11, 14a&b).

### 9. Performance Measurements and Benchmarks

- i. I'd like to get a better sense of how much these records show how DHS is carrying out its mandate. I would like to review (remotely or via a site visit).

### 11. Presentations

- i. Would it be appropriate to insert the words, "non-executive level" before "personnel while representing . . . " ?
- ii. Please include the Item # at the end of the N1 number. (Disposition authorities are technically the schedule number plus the item number.)

### 12. Program Development Files

- i. This item is a bit ambiguous. What is included in "supporting documentation"? Can the description be tightened up any? What exactly will NARA receive via Item 12a? I'd like to review some of these files.

ii. The cutoffs may need some revision. Generally, policy statements are cut off when they are superseded. This ensures, for example, that NARA doesn't receive current policy statements or that they aren't destroyed.

### 13. Program Management Files/Strategic Plans

- i. I'm a bit unclear about what this item does and does not cover. The description only mentions strategic plans and associated clearance records, but the title includes the much broader, "Program Management Files."
- ii. What is the rationale behind the retention period? Are strategic plans never in effect after 7 years? Maybe it would help if I understood how DHS defines "strategic plans."

### 14. Project Control Files

- i. This seems like an item that could cover a huge swath of records, because "project" is a word that has such a generic meaning. Because projects can vary so widely in their content and significance, I'm not sure how we could ever sign off on saying all project final reports are temporary. Does DHS have a defined meaning for this word?

### 15-16. Requests for Assistance and RFIs

- i. How do RFAs differ from RFIs?

### 15. Requests for Assistance

- i. What type of analysis and reporting is one on RFAs?

### 16. Requests for Information (RFI) / Data Calls

- i. How does this item relate to the "RFI / Data Calls" item on the I&A schedule (N1-563-07-16 Item 5)? If this item won't apply to I&A, the schedule should indicate this. If this item should also apply to I&A, please talk to Quinton and remove it from the I&A schedule ASAP.

### 17. Situation Awareness Reports

- i. Our stakeholder units are very interested in these records. Please provide me with samples of various types of these reports. It would also be helpful to know the exact criteria DHS uses when it decides to send these to the Secretary. What other events (other than Incidents of National Significance) might the Secretary know about through SARs? Could we look into what SARs have ended up in the briefing books over, say, the last month or so?

### 18. Speeches

- i. Would it be appropriate to insert the words, "non-executive level" before "personnel while representing . . . " ?
- ii. Please include the Item # at the end of each N1 number.

### 20. Surveys and Questionnaires

- i. I'm not sure we would agree that all survey data DHS-wide are temporary. Can you provide me with examples of types of surveys DHS conducts?
- ii. Where are the survey reports scheduled?

### 21. Workforce Management and Analysis

- i. Side question, where are DHS org charts scheduled? (I'm losing track.)

Julie

>>> Julie Hunsaker 3/11/2008 11:46 AM >>>

Thanks, Tammy! I'll take a look at this and get back with you next week.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/11/2008 11:07 AM >>>



Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Tuesday, March 11, 2008 10:57 AM  
**To:** 'Julie Hunsaker'  
**Subject:** FW: Records Common to All v3

Julie! I forgot to put the Situation Awareness Reports on this - I'll send you an updated copy!

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Tuesday, March 11, 2008 10:51 AM  
**To:** 'Julie Hunsaker'  
**Subject:** Records Common to All v3

Julie,

Attached is the updated schedule and some sample records (fact sheets, presentations and newsletters).

I think we should keep the newsletters and fact sheets separate from publications since they have a different retention period.

I removed the manuals and handbooks - that shouldn't have been included in the first place - they are office copies/reference.

I'm sure you'll need more info now that I've made changes, but this is a start. Let me know what else you need!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - RE: RE: Records Common to All v4**

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 3/31/2008 8:02 AM  
**Subject:** RE: RE: Records Common to All v4

I'm working on this. I hope to get this back to you Wednesday or Thursday this week.

By the way, I don't have Wilda's e-mail...she left a message for me regarding FACA. I'll be out of the office today and tomorrow, can you let her know that I'll contact her Wednesday?

Thanks!

-tlh

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, March 20, 2008 6:10 PM  
**To:** Tammy <CTR> Hudson  
**Subject:** Fwd: RE: Records Common to All v4

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- i. I'm wondering whether it might be best to drop the reference to "reports, studies" in the description (or the entire "this includes" last sentence, for that matter). It seems like various reports and studies have different retentions throughout DHS. So seeing this reference here may confuse things. People should be able to identify a brochure, pamphlet or publication as such; this title should be able to stand on its own.
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- ii. What is the rationale behind the retention period? Are strategic plans never in effect after 7 years? Maybe it would help if I understood how DHS defines "strategic plans."

#### 14. Project Control Files

- i. This seems like an item that could cover a huge swath of records, because "project" is a word that has such a generic meaning. Because projects can vary so widely in their content and significance, I'm not sure how we could ever sign off on saying all project final reports are temporary. Does DHS have a defined meaning for this word?

#### 15-16. Requests for Assistance and RFIs

- i. How do RFAs differ from RFIs?

#### 15. Requests for Assistance

- i. What type of analysis and reporting is one on RFAs?

#### 16. Requests for Information (RFI) / Data Calls

- i. How does this item relate to the "RFI / Data Calls" item on the I&A schedule (N1-563-07-16 Item 5)? If this item won't apply to I&A, the schedule should indicate this. If this item should also apply to I&A, please talk to Quinton and remove it from the I&A schedule ASAP.

#### 17. Situation Awareness Reports

- i. Our stakeholder units are very interested in these records. Please provide me with samples of various types of these reports. It would also be helpful to know the exact criteria DHS uses when it decides to send these to the Secretary. What other events (other than Incidents of National Significance) might the Secretary know about through SARs? Could we look into what SARs have ended up in the briefing books over, say, the last month or so?

#### 18. Speeches

- i. Would it be appropriate to insert the words, "non-executive level" before "personnel while representing . . . " ?
- ii. Please include the Item # at the end of each N1 number.

## 20. Surveys and Questionnaires

- i. I'm not sure we would agree that all survey data DHS-wide are temporary. Can you provide me with examples of types of surveys DHS conducts?
- ii. Where are the survey reports scheduled?

## 21. Workforce Management and Analysis

- i. Side question, where are DHS org charts scheduled? (I'm losing track.)

Julie

>>> Julie Hunsaker 3/11/2008 11:46 AM >>>

Thanks, Tammy! I'll take a look at this and get back with you next week.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/11/2008 11:07 AM >>>

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Tuesday, March 11, 2008 10:57 AM  
**To:** 'Julie Hunsaker'  
**Subject:** FW: Records Common to All v3

Julie! I forgot to put the Situation Awareness Reports on this - I'll send you an updated copy!

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Hudson, Tammy <CTR>  
**Sent:** Tuesday, March 11, 2008 10:51 AM  
**To:** 'Julie Hunsaker'  
**Subject:** Records Common to All v3

Julie,

Attached is the updated schedule and some sample records (fact sheets, presentations and newsletters).

I think we should keep the newsletters and fact sheets separate from publications since they have a different retention period.

I removed the manuals and handbooks - that shouldn't have been included in the first place - they are office copies/reference.

I'm sure you'll need more info now that I've made changes, but this is a start. Let me know what else you need!

-tlh

Tammy Hudson  
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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - RE: RE: Records Common to All v4

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**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 3/31/2008 9:52 AM  
**Subject:** RE: RE: Records Common to All v4

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Thanks for the update!

I sent Wilda an email letting her know you'll get in touch with her on Wednesday. Here's her email address, by the way:

[wilda.logan@nara.gov](mailto:wilda.logan@nara.gov)

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/31/2008 8:02 AM >>>  
 I'm working on this. I hope to get this back to you Wednesday or Thursday this week.

By the way, I don't have Wilda's e-mail. she left a message for me regarding FACA. I'll be out of the office today and tomorrow, can you let her know that I'll contact her Wednesday?

Thanks!

-tlh

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, March 20, 2008 6:10 PM  
**To:** Tammy <CTR> Hudson  
**Subject:** Fwd: RE: Records Common to All v4

Tammy,

I've reviewed the revised 115. Here are my remaining questions/comments (I've repeated here the questions I still have from my 2/29 list - for ease of reference):

### 1. Brochures, Pamphlets and Publications

- i. I'm wondering whether it might be best to drop the reference to "reports, studies" in the description (or the entire "this includes" last sentence, for that matter). It seems like various reports and studies have different retentions throughout DHS. So seeing this reference here may confuse things. People should be able to identify a brochure, pamphlet or publication as such; this title should be able to stand on its own.
- ii. In the disposition instruction, please change "Offer" to "Transfer."

### 2. Correspondence

- i. This item title/description still seems a bit ambiguous to me. Should the title be "Routine Correspondence"? Also, I'm not sure what the difference is between "correspondence" and "program specific correspondence."
- ii. GRS 23 Item 7 may actually cover some of these records. Does DHS not want to use GRS 23/7? Or should

this item's description change so these two authorities won't overlap (e.g., meeting requests are seemingly covered by both)?

iii. Where is all of the perm DHS correspondence?

### 3. Dissemination Files and Lists

i. How does this item relate to the "Dissemination Files and Lists" item on the I&A schedule (N1-563-07-16 Item 2)? If this item won't apply to I&A, the schedule should indicate this. If this item should also apply to I&A, please talk to Quinton and remove it from the I&A schedule ASAP. (It comes off the Federal Register on 4/2. If it's requested, the copy we send out should represent the final version of the schedule.)

### 6-7. Interagency Agreements and MOA/MOUs

i. What is the difference between these two types of records? Is there a reason they aren't covered by the same item?

ii. Is there a reason DHS decided to not include a cutoff statement for these items? (This same question applies to various items throughout the schedule. Is there a reason some items have cutoffs and some don't? e.g., 8, 9, 11, 14a&b).

### 9. Performance Measurements and Benchmarks

i. I'd like to get a better sense of how much these records show how DHS is carrying out its mandate. I would like to review (remotely or via a site visit).

### 11. Presentations

i. Would it be appropriate to insert the words, "non-executive level" before "personnel while representing . . . " ?

ii. Please include the Item # at the end of the N1 number. (Disposition authorities are technically the schedule number plus the item number.)

### 12. Program Development Files

i. This item is a bit ambiguous. What is included in "supporting documentation"? Can the description be tightened up any? What exactly will NARA receive via Item 12a? I'd like to review some of these files.

ii. The cutoffs may need some revision. Generally, policy statements are cut off when they are superseded. This ensures, for example, that NARA doesn't receive current policy statements or that they aren't destroyed.

### 13. Program Management Files/Strategic Plans

i. I'm a bit unclear about what this item does and does not cover. The description only mentions strategic plans and associated clearance records, but the title includes the much broader, "Program Management Files."

ii. What is the rationale behind the retention period? Are strategic plans never in effect after 7 years? Maybe it would help if I understood how DHS defines "strategic plans."

### 14. Project Control Files

i. This seems like an item that could cover a huge swath of records, because "project" is a word that has such a generic meaning. Because projects can vary so widely in their content and significance, I'm not sure how we could ever sign off on saying all project final reports are temporary. Does DHS have a defined meaning for this word?

### 15-16. Requests for Assistance and RFIs

i. How do RFAs differ from RFIs?

### 15. Requests for Assistance

i. What type of analysis and reporting is one on RFAs?

### 16. Requests for Information (RFI) / Data Calls

i. How does this item relate to the "RFI / Data Calls" item on the I&A schedule (N1-563-07-16 Item 5)? If this item won't apply to I&A, the schedule should indicate this. If this item should also apply to I&A, please talk to Quinton and remove it from the I&A schedule ASAP.

### 17. Situation Awareness Reports

i. Our stakeholder units are very interested in these records. Please provide me with samples of various types of these reports. It would also be helpful to know the exact criteria DHS uses when it decides to send these to the Secretary. What other events (other than Incidents of National Significance) might the Secretary know about through SARs? Could we look into what SARs have ended up in the briefing books over, say, the last month or so?

### 18. Speeches

- i. Would it be appropriate to insert the words, "non-executive level" before "personnel while representing . . . " ?
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### 20. Surveys and Questionnaires

- i. I'm not sure we would agree that all survey data DHS-wide are temporary. Can you provide me with examples of types of surveys DHS conducts?
- ii. Where are the survey reports scheduled?

### 21. Workforce Management and Analysis

- i. Side question, where are DHS org charts scheduled? (I'm losing track.)

Julie

>>> Julie Hunsaker 3/11/2008 11:46 AM >>>

Thanks, Tammy! I'll take a look at this and get back with you next week.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/11/2008 11:07 AM >>>

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---

**From:** Hudson, Tammy <CTR>  
**Sent:** Tuesday, March 11, 2008 10:57 AM  
**To:** 'Julie Hunsaker'  
**Subject:** FW: Records Common to All v3

Julie! I forgot to put the Situation Awareness Reports on this - I'll send you an updated copy!

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Hudson, Tammy <CTR>  
**Sent:** Tuesday, March 11, 2008 10:51 AM  
**To:** 'Julie Hunsaker'  
**Subject:** Records Common to All v3

Julie,



Attached is the updated schedule and some sample records (fact sheets, presentations and newsletters).

I think we should keep the newsletters and fact sheets separate from publications since they have a different retention period.

I removed the manuals and handbooks - that shouldn't have been included in the first place - they are office copies/reference.

I'm sure you'll need more info now that I've made changes, but this is a start. Let me know what else you need!

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**Julie Hunsaker - RE: RE: Records Common to All v4**

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/14/2008 10:28 AM  
**Subject:** RE: RE: Records Common to All v4

I'm working on this today – I apologize for the delay...

-tlh

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, March 20, 2008 6:10 PM  
**To:** Tammy <CTR> Hudson  
**Subject:** Fwd: RE: Records Common to All v4

Tammy,

I've reviewed the revised 115. Here are my remaining questions/comments (I've repeated here the questions I still have from my 2/29 list - for ease of reference):

1. Brochures, Pamphlets and Publications

- i. I'm wondering whether it might be best to drop the reference to "reports, studies" in the description (or the entire "this includes" last sentence, for that matter). It seems like various reports and studies have different retentions throughout DHS. So seeing this reference here may confuse things. People should be able to identify a brochure, pamphlet or publication as such; this title should be able to stand on its own.
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- i. This item title/description still seems a bit ambiguous to me. Should the title be "Routine Correspondence"? Also, I'm not sure what the difference is between "correspondence" and "program specific correspondence."
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- i. How does this item relate to the "Dissemination Files and Lists" item on the I&A schedule (N1-563-07-16 Item 2)? If this item won't apply to I&A, the schedule should indicate this. If this item should also apply to I&A, please talk to Quinton and remove it from the I&A schedule ASAP. (It comes off the Federal Register on 4/2. If it's requested, the copy we send out should represent the final version of the schedule.)

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e.g., 8, 9, 11, 14a&b).

#### 9. Performance Measurements and Benchmarks

i. I'd like to get a better sense of how much these records show how DHS is carrying out its mandate. I would like to review (remotely or via a site visit).

#### 11. Presentations

i. Would it be appropriate to insert the words, "non-executive level" before "personnel while representing . . . " ?

ii. Please include the Item # at the end of the N1 number. (Disposition authorities are technically the schedule number plus the item number.)

#### 12. Program Development Files

i. This item is a bit ambiguous. What is included in "supporting documentation"? Can the description be tightened up any? What exactly will NARA receive via Item 12a? I'd like to review some of these files.

ii. The cutoffs may need some revision. Generally, policy statements are cut off when they are superseded. This ensures, for example, that NARA doesn't receive current policy statements or that they aren't destroyed.

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#### 18. Speeches

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ii. Where are the survey reports scheduled?

21. Workforce Management and Analysis

i. Side question, where are DHS org charts scheduled? (I'm losing track.)

Julie

>>> Julie Hunsaker 3/11/2008 11:46 AM >>>

Thanks, Tammy! I'll take a look at this and get back with you next week.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/11/2008 11:07 AM >>>

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**From:** Hudson, Tammy <CTR>  
**Sent:** Tuesday, March 11, 2008 10:57 AM  
**To:** 'Julie Hunsaker'  
**Subject:** FW: Records Common to All v3

Julie! I forgot to put the Situation Awareness Reports on this - I'll send you an updated copy!

Tammy Hudson  
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**To:** 'Julie Hunsaker'  
**Subject:** Records Common to All v3

Julie,

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I think we should keep the newsletters and fact sheets separate from publications since they have a different retention period.

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I'm sure you'll need more info now that I've made changes, but this is a start. Let me know what else you need!

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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - Records Common to All - Project Control Files**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/14/2008 11:50 AM  
**Subject:** Records Common to All - Project Control Files

---

Below is a modified item for the Final Reports (b – new) – does that make sense?

**14. Project Control Files**

**i.** This seems like an item that could cover a huge swath of records, because "project" is a word that has such a generic meaning. Because projects can vary so widely in their content and significance, I'm not sure how we could ever sign off on saying all project final reports are temporary. Does DHS have a defined meaning for this word?

Files maintained for each project may include, but are not limited to, copies of authorizations; preparation instructions; and documents relating to the evaluation, continuation, revision, or discontinuance of the project; may also include materials from projects that are not implemented.

Correspondence, memoranda, reports, and other records documenting assignments, progress, management and completion of the project, including such matters as performance measurements, benchmarks and final reports

**a. Project file (excluding Final Report)**

TEMPORARY. Destroy or delete 5 years after completion or cancellation of project or 1 year after responsible office determines it is no longer needed for legal, audit, administrative or business purposes.

**b. Final Report**

b – old - TEMPORARY. Destroy or delete 15 years from the completion of the project.

b – new - TEMPORARY. Evaluate 15 years from the completion of the project, with the option to offer to NARA for permanent retention or immediate destruction if the responsible office determines it is no longer needed for legal, audit, administrative or business purposes.

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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - RE: RE: Records Common to All v4

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/15/2008 7:50 AM  
**Subject:** RE: RE: Records Common to All v4

---

Here goes...I will send the responses for the example info (SAR and benchmarks separate).

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, March 20, 2008 6:10 PM  
**To:** Tammy <CTR> Hudson  
**Subject:** Fwd: RE: Records Common to All v4

Tammy,

I've reviewed the revised 115. Here are my remaining questions/comments (I've repeated here the questions I still have from my 2/29 list - for ease of reference):

### 1. Brochures, Pamphlets and Publications Completed

- i. I'm wondering whether it might be best to drop the reference to "reports, studies" in the description (or the entire "this includes" last sentence, for that matter). It seems like various reports and studies have different retentions throughout DHS. So seeing this reference here may confuse things. People should be able to identify a brochure, pamphlet or publication as such; this title should be able to stand on its own.
- ii. In the disposition instruction, please change "Offer" to "Transfer."

2. Correspondence – Changed title to Routine Correspondence (now item 14). Program Specific correspondence – OIG has their correspondence included as part of their file, other programs may have correspondence that is actually related to a case file, etc, so we didn't want them to file that information separately. As to the GRS, we are using GRS 20, item 14 as an item b. Lastly, perm correspondence is part of the Exec Level schedule or would be part of a perm record, individual items would not usually require permanent retention on their own.

- i. This item title/description still seems a bit ambiguous to me. Should the title be "Routine Correspondence"? Also, I'm not sure what the difference is between "correspondence" and "program specific correspondence."
- ii. GRS 23 Item 7 may actually cover some of these records. Does DHS not want to use GRS 23/7? Or should this item's description change so these two authorities won't overlap (e.g., meeting requests are seemingly covered by both)?
- iii. Where is all of the perm DHS correspondence?

### 3. Dissemination Files and Lists – added I&A exclusion

- i. How does this item relate to the "Dissemination Files and Lists" item on the I&A schedule (N1-563-07-16 Item 2)? If this item won't apply to I&A, the schedule should indicate this. If this item should also apply to I&A, please talk to Quinton and remove it from the I&A schedule ASAP. (It comes off the Federal Register on 4/2. If it's requested, the copy we send out should represent the final version of the schedule.)

6-7. Interagency Agreements and MOA/MOUs – Combined to one item. Added all cutoffs.

- i. What is the difference between these two types of records? Is there a reason they aren't covered by the same item?

ii. Is there a reason DHS decided to not include a cutoff statement for these items? (This same question applies to various items throughout the schedule. Is there a reason some items have cutoffs and some don't? e.g., 8, 9, 11, 14a&b).

9. Performance Measurements and Benchmarks – sent requests – will forward responses

i. I'd like to get a better sense of how much these records show how DHS is carrying out its mandate. I would like to review (remotely or via a site visit).

11. Presentations – made modifications as notes

i. Would it be appropriate to insert the words, "non-executive level" before "personnel while representing . . . " ?

ii. Please include the Item # at the end of the N1 number. (Disposition authorities are technically the schedule number plus the item number.)

12. Program Development Files – this will be discussed Thursday with NCSD review

i. This item is a bit ambiguous. What is included in "supporting documentation"? Can the description be tightened up any? What exactly will NARA receive via Item 12a? I'd like to review some of these files.

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ii. What is the rationale behind the retention period? Are strategic plans never in effect after 7 years? Maybe it would help if I understood how DHS defines "strategic plans."

14. Project Control Files – modified Final Report statement.

i. This seems like an item that could cover a huge swath of records, because "project" is a word that has such a generic meaning. Because projects can vary so widely in their content and significance, I'm not sure how we could ever sign off on saying all project final reports are temporary. Does DHS have a defined meaning for this word?

15-16. Requests for Assistance and RFIs – combined 15 & 16

i. How do RFAs differ from RFIs?

15. Requests for Assistance

i. What type of analysis and reporting is one on RFAs?

16. Requests for Information (RFI) / Data Calls

i. How does this item relate to the "RFI / Data Calls" item on the I&A schedule (N1-563-07-16 Item 5)? If this item won't apply to I&A, the schedule should indicate this. If this item should also apply to I&A, please talk to Quinton and remove it from the I&A schedule ASAP.

17. Situation Awareness Reports – will send separate responses with examples

i. Our stakeholder units are very interested in these records. Please provide me with samples of various types of these reports. It would also be helpful to know the exact criteria DHS uses when it decides to send these to the Secretary. What other events (other than Incidents of National Significance) might the Secretary know about through SARs? Could we look into what SARs have ended up in the briefing books over, say, the last month or so?

18. Speeches – made modifications

i. Would it be appropriate to insert the words, "non-executive level" before "personnel while representing . . . " ?

ii. Please include the Item # at the end of each N1 number.

20. Surveys and Questionnaires – we did this at the time we were working with S&T on the SAFECOM survey

info – I'll double check – MGMT did a survey in regards to the DHS HQ move to ST E's and I have a note on the PCII program conducting a survey

i. I'm not sure we would agree that all survey data DHS-wide are temporary. Can you provide me with examples of types of surveys DHS conducts?

ii. Where are the survey reports scheduled?

21. Workforce Management and Analysis – thought org charts were on exec level, but just checked and it's not. Should we create a schedule item for those?

i. Side question, where are DHS org charts scheduled? (I'm losing track.)

Julie

>>> Julie Hunsaker 3/11/2008 11:46 AM >>>

Thanks, Tammy! I'll take a look at this and get back with you next week.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/11/2008 11:07 AM >>>

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**From:** Hudson, Tammy <CTR>  
**Sent:** Tuesday, March 11, 2008 10:57 AM  
**To:** 'Julie Hunsaker'  
**Subject:** FW: Records Common to All v3

Julie! I forgot to put the Situation Awareness Reports on this - I'll send you an updated copy!

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Hudson, Tammy <CTR>  
**Sent:** Tuesday, March 11, 2008 10:51 AM  
**To:** 'Julie Hunsaker'  
**Subject:** Records Common to All v3

Julie,

Attached is the updated schedule and some sample records (fact sheets, presentations and newsletters).

I think we should keep the newsletters and fact sheets separate from publications since they have a different retention period.

I removed the manuals and handbooks - that shouldn't have been included in the first place - they are office copies/reference.

I'm sure you'll need more info now that I've made changes, but this is a start. Let me know what else you need!



-tlh

Tammy Hudson  
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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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

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**Department of Homeland Security**

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This schedule will apply to records common within DHS at the Non-Executive level. This schedule does not apply to any materials covered under the General Records Schedule (GRS).

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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 Brochures, Pamphlets and Publications**

Pamphlets and other publications prepared in advance and produced by or for an organization providing information on the activities or services of the organization.

One copy of each publication should be designated the record copy.

**Disposition:**

a. Record Copy  
PERMANENT. Cutoff when replaced or becomes obsolete. Transfer to NARA 5 years after cutoff or when volume warrants, whichever is sooner.

b. All other copies  
TEMPORARY. Cutoff when replaced or becomes obsolete. Destroy or delete when cutoff or when no longer needed for business purposes, whichever is later.

**2 Dissemination Files and Lists**

Information distributed via email and/or web based posting to support DHS Components and Federal, State, and Local Governments. Electronic and hard copy listings of contacts for the distribution of action reports. (This item does not apply to Intelligence & Analysis distribution lists covered under #N1-563-07-16-2.)

**Disposition:**

TEMPORARY. Cut off at end of calendar year. Destroy or delete 3 years after cutoff.

**3 Fact Sheets**

A presentation of data on any subject in a format emphasizing brevity, key points of interest or concern, a fairly minimalist design aesthetic, and a general desire to convey the most relevant information in the least amount of space.

**Disposition:**

TEMPORARY. Cut off at end of calendar year. Destroy or delete when no longer needed for reference or one year after cut off, whichever is later.

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

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**4 Grant Project Files**

Files containing correspondence, memoranda and letters, study reports, and other unsolicited items received for consideration for a grant or cooperative agreement that is later approved.

**Disposition:**

TEMPORARY. Cut off at end of fiscal year when grant or agreement is finalized. Destroy or delete 3 years after cutoff or when no longer needed, whichever is sooner.

**5 Interagency Agreements/Memorandum of Agreement (MOA)/Memorandum of Understanding (MOU)**

An agreement between federal agencies, or divisions/units within an agency or department, or between federal and state agencies, which delineate tasks, jurisdiction, standard operating procedures or other matters which the agencies or units are duly authorized and directed to conduct.

**Disposition:**

TEMPORARY. Cut off when agreement is superseded or terminated. Destroy or delete 3 years after cutoff.

**6 Newsletter**

A regularly distributed publication to provide information of interest to employees or the public. General attributes of newsletters include news and upcoming events, as well as contact information for general inquiries.

**Disposition:**

TEMPORARY. Cut off on date of publication. Destroy or delete 1 year from cutoff.

**7 Performance Measurements and Benchmarks**

Records used for managing operations relating to compliance with policies, directives, and plans. Records may include reports documenting follow-up activities, progress toward specific defined organizational objectives, and the completion and timeliness of deliverables.

**Disposition:**

TEMPORARY. Cut off when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer. Destroy or delete at cutoff.

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

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**8 Posters**

Posters prepared in advance and produced by or for an organization providing information on the activities or services of the organization.

Two copies of each poster should be designated the record copy.

**Disposition:**

a. Record Copy  
PERMANENT. If printed, transfer two copies of printed posters to the National Archives immediately upon creation. If created digitally, cut off at end of calendar year in which posters created, transfer to the National Archives within three months after cutoff.

b. All other copies  
TEMPORARY. Cutoff when replaced or becomes obsolete. Destroy or delete when cutoff or when no longer needed for business purposes, whichever is later.

**9 Presentations**

Record copy of presentations prepared for delivery by non-executive level personnel while representing DHS at DHS sponsored meetings, or government, civic and professional conferences and meetings. (Presentations prepared for delivery by Executive Level personnel are covered by disposition authority #N1-563-07-13.)

**Disposition:**

TEMPORARY. Cut off when record is superseded or obsolete. Destroy or delete 5 years after cutoff

**10 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:**

a. Programs in support of the agency mission, function or operation  
PERMANENT. Cut off annually. Transfer to NARA 10 years after cutoff.

b. Programs in support of the administrative function of the agency (Human Resources, Procurement, etc)  
TEMPORARY. Cut off annually. Destroy or delete when 7 years old or when no longer needed, whichever is later.

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

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**11 Program Management Files/Strategic Plans**

Strategic plans documenting the program in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.

**Disposition:**

TEMPORARY. Cut off annually. Destroy or delete when 7 years old or when no longer needed, whichever is later.

**12 Project Control Files**

Files maintained for each project may include, but are not limited to, copies of authorizations; preparation instructions; and documents relating to the evaluation, continuation, revision, or discontinuance of the project; may also include materials from projects that are not implemented.

Correspondence, memoranda, reports, and other records documenting assignments, progress, management and completion of the project, including such matters as performance measurements, benchmarks and final reports

**Disposition:**

a. Project file (excluding Final Report)  
TEMPORARY. Destroy or delete 5 years after completion or cancellation of project or 1 year after responsible office determines it is no longer needed for legal, audit, administrative or business purposes.

b. Final Report  
TEMPORARY. Cut off on date of final report. Evaluate 15 years from cutoff with the option to offer to NARA for permanent retention or immediate destruction if the responsible office determines it is no longer needed for legal, audit, administrative or business purposes.

c. Projects not implemented  
TEMPORARY. Cut off on date of decision to decline project. Destroy or delete when no longer needed for business purposes.

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

Logs, reports and other files related to requests for information or assistance; may include responses, related analysis and reporting.

**Disposition:**

TEMPORARY. Cut off when request is completed. Destroy or delete 3 years after cut off or when no longer needed for review and analysis, whichever is later.

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

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**14 Routine Correspondence**

Contains incoming and outgoing correspondence, memoranda and e-mails including attachments and enclosures relating to work accomplishments, personnel needs, and other routine activities of the office (examples: status reports, meeting requests, drafts/comments on memos) ; may also include correspondence with the private sector, internal Department offices and other government agencies. [If the correspondence is program specific (examples: solicitation notice, personnel correspondence, memo relating to investigative file, etc) file and retain the document according to the program records disposition schedule.]

**Disposition:**

- a. Record copy  
TEMPORARY. Cutoff at end of calendar year. Destroy or delete 10 years after cutoff.
- b. Electronic copy of a document or e-mail used solely to generate a record keeping or reference copy.  
(GRS 20, Item 14) TEMPORARY. Delete from the e-mail system after copying to a recordkeeping system.

**15 Situation Awareness Reports**

Provide information on significant incidents/events regarding emerging or potential incidents with possible operational consequences. (Report on Incidents of National Significance will be included in the Secretary's daily briefing book.)

**Disposition:**

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

**16 Speeches**

Speeches prepared for delivery by non-executive level personnel while representing DHS at DHS sponsored meetings, or government, civic and professional conferences and meetings. [Speeches prepared for delivery by Executive Level personnel are covered by disposition authority #N1-563-07-13 or #N1-563-13-10.]

Consists of original drafts of scripted, and outlined (talking points).

**Disposition:**

TEMPORARY. Cut off on date of speech / testimony. Destroy or delete 1 year from cutoff or when no longer needed for reference, whichever is later.

**17 Standard Operating Procedures (SOP)**

Detailed, written instructions issued to achieve uniformity of the performance of a specific function. The SOP describes a unique operating procedure within a Division where official guidance is lacking, or extremely broad.

**Disposition:**

TEMPORARY. Cutoff when replaced or becomes obsolete. Destroy or delete when cutoff or when no longer needed for business purposes, whichever is later.

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

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**18 Surveys and Questionnaires**

Surveys, questionnaires and other raw data accumulated where the information has been consolidated or aggregated in analyses, reports, or studies.

**Disposition:**

TEMPORARY. Cut off at end of calendar year in which survey is conducted. Destroy 3 years after cutoff.

**19 Workforce Management and Analysis**

Correspondence, memorandums, directives, reports, and other documents related to workforce management. Records include such topics as position classifications, payroll, employee attendance and leave, recruitment, and related. Records also include workforce analysis such as organizational design (not organizational charts), staffing patterns, model workplace pilot program, etc.

**Disposition:**

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

**Julie Hunsaker - FW: RE: Records Common to All v4**

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**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/15/2008 7:59 AM  
**Subject:** FW: RE: Records Common to All v4

---

Oops – forgot to address an item below...

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Hudson, Tammy <CTR>  
**Sent:** Tuesday, April 15, 2008 7:50 AM  
**To:** 'Julie Hunsaker'  
**Subject:** RE: RE: Records Common to All v4

Here goes...I will send the responses for the example info (SAR and benchmarks separate).

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, March 20, 2008 6:10 PM  
**To:** Tammy <CTR> Hudson  
**Subject:** Fwd: RE: Records Common to All v4

Tammy,

I've reviewed the revised 115. Here are my remaining questions/comments (I've repeated here the questions I still have from my 2/29 list - for ease of reference):

1. Brochures, Pamphlets and Publications Completed

- i. I'm wondering whether it might be best to drop the reference to "reports, studies" in the description (or the entire "this includes" last sentence, for that matter). It seems like various reports and studies have different retentions throughout DHS. So seeing this reference here may confuse things. People should be able to identify a brochure, pamphlet or publication as such; this title should be able to stand on its own.
- ii. In the disposition instruction, please change "Offer" to "Transfer."

2. Correspondence – Changed title to Routine Correspondence (now item 14). Program Specific correspondence – OIG has their correspondence included as part of their file, other programs may have correspondence that is actually related to a case file, etc, so we didn't want them to file that information separately. As to the GRS, we are using GRS 20, item 14 as an item b. Lastly, perm correspondence is part of the Exec Level schedule or would be part of a perm record, individual items would not usually require permanent retention on their own.

- i. This item title/description still seems a bit ambiguous to me. Should the title be "Routine Correspondence"? Also, I'm not sure what the difference is between "correspondence" and "program specific correspondence."
- ii. GRS 23 Item 7 may actually cover some of these records. Does DHS not want to use GRS 23/7? Or should



this item's description change so these two authorities won't overlap (e.g., meeting requests are seemingly covered by both)?

iii. Where is all of the perm DHS correspondence?

### 3. Dissemination Files and Lists – added I&A exclusion

i. How does this item relate to the "Dissemination Files and Lists" item on the I&A schedule (N1-563-07-16 Item 2)? If this item won't apply to I&A, the schedule should indicate this. If this item should also apply to I&A, please talk to Quinton and remove it from the I&A schedule ASAP. (It comes off the Federal Register on 4/2. If it's requested, the copy we send out should represent the final version of the schedule.)

### 6-7. Interagency Agreements and MOA/MOUs – Combined to one item. Added all cutoffs.

i. What is the difference between these two types of records? Is there a reason they aren't covered by the same item?

ii. Is there a reason DHS decided to not include a cutoff statement for these items? (This same question applies to various items throughout the schedule. Is there a reason some items have cutoffs and some don't? e.g., 8, 9, 11, 14a&b).

### 9. Performance Measurements and Benchmarks – sent requests – will forward responses

i. I'd like to get a better sense of how much these records show how DHS is carrying out its mandate. I would like to review (remotely or via a site visit).

### 11. Presentations – made modifications as notes

i. Would it be appropriate to insert the words, "non-executive level" before "personnel while representing . . . " ?

ii. Please include the Item # at the end of the N1 number. (Disposition authorities are technically the schedule number plus the item number.)

### 12. Program Development Files – this will be discussed Thursday with NCSD review

i. This item is a bit ambiguous. What is included in "supporting documentation"? Can the description be tightened up any? What exactly will NARA receive via Item 12a? I'd like to review some of these files.

ii. The cutoffs may need some revision. Generally, policy statements are cut off when they are superseded. This ensures, for example, that NARA doesn't receive current policy statements or that they aren't destroyed.

### 13. Program Management Files/Strategic Plans – this will be discussed Thursday with NCSD review

i. I'm a bit unclear about what this item does and does not cover. The description only mentions strategic plans and associated clearance records, but the title includes the much broader, "Program Management Files."

ii. What is the rationale behind the retention period? Are strategic plans never in effect after 7 years? Maybe it would help if I understood how DHS defines "strategic plans."

### 14. Project Control Files – modified Final Report statement.

i. This seems like an item that could cover a huge swath of records, because "project" is a word that has such a generic meaning. Because projects can vary so widely in their content and significance, I'm not sure how we could ever sign off on saying all project final reports are temporary. Does DHS have a defined meaning for this word?

### 15-16. Requests for Assistance and RFIs – combined 15 & 16

i. How do RFAs differ from RFIs?

### 15. Requests for Assistance

i. What type of analysis and reporting is one on RFAs?

### 16. Requests for Information (RFI) / Data Calls – added I&A exclusion. I&A has a longer retention for their RFIs

i. How does this item relate to the "RFI / Data Calls" item on the I&A schedule (N1-563-07-16 Item 5)? If this item won't apply to I&A, the schedule should indicate this. If this item should also apply to I&A, please talk to Quinton and remove it from the I&A schedule ASAP.

17. Situation Awareness Reports – will send separate responses with examples

i. Our stakeholder units are very interested in these records. Please provide me with samples of various types of these reports. It would also be helpful to know the exact criteria DHS uses when it decides to send these to the Secretary. What other events (other than Incidents of National Significance) might the Secretary know about through SARs? Could we look into what SARs have ended up in the briefing books over, say, the last month or so?

18. Speeches – made modifications

i. Would it be appropriate to insert the words, "non-executive level" before "personnel while representing . . . " ?

ii. Please include the Item # at the end of each N1 number.

20. Surveys and Questionnaires – we did this at the time we were working with S&T on the SAFECOM survey info – I'll double check – MGMT did a survey in regards to the DHS HQ move to ST E's and I have a note on the PCII program conducting a survey

i. I'm not sure we would agree that all survey data DHS-wide are temporary. Can you provide me with examples of types of surveys DHS conducts?

ii. Where are the survey reports scheduled?

21. Workforce Management and Analysis – thought org charts were on exec level, but just checked and it's not. Should we create a schedule item for those?

i. Side question, where are DHS org charts scheduled? (I'm losing track.)

Julie

>>> Julie Hunsaker 3/11/2008 11:46 AM >>>

Thanks, Tammy! I'll take a look at this and get back with you next week.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/11/2008 11:07 AM >>>

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Hudson, Tammy <CTR>  
**Sent:** Tuesday, March 11, 2008 10:57 AM  
**To:** 'Julie Hunsaker'  
**Subject:** FW: Records Common to All v3

Julie! I forgot to put the Situation Awareness Reports on this - I'll send you an updated copy!

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NAC 2, Room 2207 E (202) 282-8562  
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**From:** Hudson, Tammy <CTR>  
**Sent:** Tuesday, March 11, 2008 10:51 AM  
**To:** 'Julie Hunsaker'

**Subject:** Records Common to All v3

Julie,

Attached is the updated schedule and some sample records (fact sheets, presentations and newsletters).

I think we should keep the newsletters and fact sheets separate from publications since they have a different retention period.

I removed the manuals and handbooks - that shouldn't have been included in the first place - they are office copies/reference.

I'm sure you'll need more info now that I've made changes, but this is a start. Let me know what else you need!

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

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**Department of Homeland Security**

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**1 Brochures, Pamphlets and Publications**

Pamphlets and other publications prepared in advance and produced by or for an organization providing information on the activities or services of the organization.

One copy of each publication should be designated the record copy.

**Disposition:**

- a. Record Copy  
PERMANENT. Cutoff when replaced or becomes obsolete. Transfer to NARA 5 years after cutoff or when volume warrants, whichever is sooner.
- b. All other copies  
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A presentation of data on any subject in a format emphasizing brevity, key points of interest or concern, a fairly minimalist design aesthetic, and a general desire to convey the most relevant information in the least amount of space.

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

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Files containing correspondence, memoranda and letters, study reports, and other unsolicited items received for consideration for a grant or cooperative agreement that is later approved.

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An agreement between federal agencies, or divisions/units within an agency or department, or between federal and state agencies, which delineate tasks, jurisdiction, standard operating procedures or other matters which the agencies or units are duly authorized and directed to conduct.

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

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Posters prepared in advance and produced by or for an organization providing information on the activities or services of the organization.

Two copies of each poster should be designated the record copy.

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

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a. Programs in support of the agency mission, function or operation  
PERMANENT. Cut off annually. Transfer to NARA 10 years after cutoff.

b. Programs in support of the administrative function of the agency (Human Resources, Procurement, etc)  
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**U.S. Department of Homeland Security**  
**Headquarters Records Schedules**

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Strategic plans documenting the program in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.

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Files maintained for each project may include, but are not limited to, copies of authorizations; preparation instructions; and documents relating to the evaluation, continuation, revision, or discontinuance of the project; may also include materials from projects that are not implemented.

Correspondence, memoranda, reports, and other records documenting assignments, progress, management and completion of the project, including such matters as performance measurements, benchmarks and final reports

**Disposition:**

a. Project file (excluding Final Report)  
TEMPORARY. Destroy or delete 5 years after completion or cancellation of project or 1 year after responsible office determines it is no longer needed for legal, audit, administrative or business purposes.

b. Final Report  
TEMPORARY. Cut off on date of final report. Evaluate 15 years from cutoff with the option to offer to NARA for permanent retention or immediate destruction if the responsible office determines it is no longer needed for legal, audit, administrative or business purposes.

c. Projects not implemented  
TEMPORARY. Cut off on date of decision to decline project. Destroy or delete when no longer needed for business purposes.

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Logs, reports and other files related to requests for information or assistance; may include responses, related analysis and reporting.

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

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**14 Routine Correspondence**

Contains incoming and outgoing correspondence, memoranda and e-mails including attachments and enclosures relating to work accomplishments, personnel needs, and other routine activities of the office (examples: status reports, meeting requests, drafts/comments on memos) ; may also include correspondence with the private sector, internal Department offices and other government agencies. [If the correspondence is program specific (examples: solicitation notice, personnel correspondence, memo relating to investigative file, etc) file and retain the document according to the program records disposition schedule.]

**Disposition:**

- a. Record copy  
TEMPORARY. Cutoff at end of calendar year. Destroy or delete 10 years after cutoff.
- b. Electronic copy of a document or e-mail used solely to generate a record keeping or reference copy.  
(GRS 20, Item 14) TEMPORARY. Delete from the e-mail system after copying to a recordkeeping system.

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Provide information on significant incidents/events regarding emerging or potential incidents with possible operational consequences. (Report on Incidents of National Significance will be included in the Secretary's daily briefing book.)

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**16 Speeches**

Speeches prepared for delivery by non-executive level personnel while representing DHS at DHS sponsored meetings, or government, civic and professional conferences and meetings. [Speeches prepared for delivery by Executive Level personnel are covered by disposition authority #N1-563-07-13 or #N1-563-13-10.]

**Disposition:**

TEMPORARY. Cut off on date of speech / testimony. Destroy or delete 1 year from cutoff or when no longer needed for reference, whichever is later.

Consists of original drafts of scripted, and outlined (talking points).

**17 Standard Operating Procedures (SOP)**

Detailed, written instructions issued to achieve uniformity of the performance of a specific function. The SOP describes a unique operating procedure within a Division where official guidance is lacking, or extremely broad.

**Disposition:**

TEMPORARY. Cutoff when replaced or becomes obsolete. Destroy or delete when cutoff or when no longer needed for business purposes, whichever is later.



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

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**18 Surveys and Questionnaires**

Surveys, questionnaires and other raw data accumulated where the information has been consolidated or aggregated in analyses, reports, or studies.

**Disposition:**

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Correspondence, memorandums, directives, reports, and other documents related to workforce management. Records include such topics as position classifications, payroll, employee attendance and leave, recruitment, and related. Records also include workforce analysis such as organizational design (not organizational charts), staffing patterns, model workplace pilot program, etc.

**Disposition:**

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

## Julie Hunsaker - FW: RE: Records Common to All v4

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 5/23/2008 4:40:28 PM  
**Subject:** FW: RE: Records Common to All v4

Tammy,

I'm sorry it's taken me so long to get back with you about this schedule! Here are my comments/questions:

### 1. Brochures, Pamphlets and Publications.

- i) I recommend dropping 1b for "All other copies." These types of copies are non-record and do not need to be scheduled via an SF 115. (This would also entail dropping the "a. Record Copy".)
- ii) In the description, what does "prepared in advance" mean? What's the implication of including this phrase? Can it be dropped?

### 2. Dissemination Files and Lists.

Two comments regarding the description (to clarify what this item covers):

- i) The first sentence of the description is a bit confusing. It seems to be describing the actual email sent, but from the title and the second sentence, it seems this item should only apply to lists of contacts. I recommend deleting the first sentence.
- ii) What is the implication of the final clause of the second sentence? It's limiting the application of this item to lists used to distribute "action reports."

### 3. Fact Sheets.

Information for appraisal report:

- i) Two of the samples you sent me for review include information that describes DHS organizational units (their purpose and responsibilities). We generally make this type of organizational information permanent. Would it be accurate to say in my appraisal memo that organizational information in this form (i.e., via fact sheets) can be temporary because the information is not unique - it's captured elsewhere in permanent records? If so, where is it captured?

### 4. Grant Project Files.

Questions about item coverage and retention period:

- i) Just to make sure I understand what this item will apply to, does this item only cover records DHS maintains regarding successful grant applications (records "received *for consideration* for a grant that is . . . approved")? Or, does it go beyond that - and also is meant to cover all of the records DHS creates and maintains during a grant?
- ii) If the cutoff is when the agreement is finalized, will a three-year retention ensure these records created before and up to the agreement will survive for the life of the grant?

### 5. IAs/MOAs/MOUs.

Information for appraisal report:

- i) Can you provide me with examples/descriptions of some IAs/MOAs/MOUs DHS has entered into (their purpose/goal)?

### 6. Newsletter.

Looks good. Thank you - the samples were helpful!

### 7. Performance Measurements and Benchmarks.

- i) I'd like to get a better sense of how much these records show how DHS is carrying out its mandate. I would like to review (remotely or via a site visit). \*Thank you for the St. Elizabeth's move group info. It mentioned

the Secretary's Priorities Tracker Software. I would be interested to better understand the records in this database.

**DHS STATUS as of 4/15:** sent requests - will forward responses.

ii) The basic records we would appraise as permanent are: Strategic Plans, Annual Performance Plans, Annual Performance and Accountability Reports (relating to GPRA requirements), and performance reports sent by the various DHS offices to upper-level management. (Would any of these records end up in the Exec Sec records? If so, which item(s)?). See also: Item 11.

#### 8. Posters.

i) I recommend deleting Item 8b from the 115; it is non-record.

#### 9. Presentations.

Looks good. Thanks for the samples!

#### 10. Program Development Files.

i) This item is a bit ambiguous. What is included in "supporting documentation"? Can the description be tightened up any? What exactly will NARA receive via Item 12a? I'd like to review some of these files.

ii) The cutoffs may need some revision. Generally, policy statements are cut off when they are superseded. This ensures, for example, that NARA doesn't receive current/active policy statements or that they aren't destroyed.

**DHS STATUS as of 4/15:** this will be discussed Thursday with NCS D review.

**UPDATE:** This is OBE. We need to set up another time to resolve these questions.

#### 11. Program Management Files/Strategic Plans.

i) I'm a bit unclear about what this item does and does not cover. The description only mentions strategic plans and associated clearance records, but the title includes the much broader, "Program Management Files." - I'd like to review these records. See also: Item 7 comment ii.

ii) What is the rationale behind the retention period? Are strategic plans never in effect after 7 years? Maybe it would help if I understood how DHS defines "strategic plans."

**DHS STATUS as of 4/15:** this will be discussed Thursday with NCS D review.

**UPDATE:** This is OBE. We need to set up another time to resolve these questions.

#### 12. Project Control Files.

i) I don't think we should move forward with these items as written, but I'm open to working with you on this. "Projects" just seems like too broad of a word. We would need a lot more information about the types of projects this item would cover. Whether "project" records are permanent or not depends entirely on the purpose of the project and the content of the information in the records. While I commend you for thinking outside the box with Item 12b, it doesn't really seem to resolve the main question about how to determine whether a project final report has permanent value or not. I think instead of trying to handle this at such a high level, we remove it from the "Records Common to All" schedule and deal with these records at a lower organizational level. This way, they can be reviewed more closely within the context of an office's responsibilities. But let's discuss.

#### 13. RFIs/Data Calls.

Looks good.

#### 14. Routine Correspondence.

I recommend dropping this item for the following reasons:

i) GRS 23/7 already covers "transitory records." This includes records documenting routine activities containing no substantive information, such as routine notifications of meetings.

ii) I question having a "correspondence" item cover draft memos with comments. It sets up potentially two different retention periods based on the way the draft memo is circulated; 10 years if the draft is distributed as correspondence (i.e., email) - and an unknown retention if it's distributed via paper (e.g., in a folder with a routing slip). It also sets up potentially different retention periods for draft memos and the final versions of memos; 10 years for drafts and potentially a shorter or longer retention for the final memo (according to the item the memo is covered by). Instead, it might be better to have an item that, for example, tells people to

retain a draft memo with comments for as long as the final version is maintained.

#### 15. Situation Awareness Reports.

- i) Thank you for the samples of these records! I'm going to discuss these further with some of our stakeholders and then get back with you. **(IOU.)**
- ii) In the meantime, it would be helpful to know the exact criteria DHS uses when it decides to send these to the secretary. What other events (other than Incidents of National Significance) might the Secretary know about through SARs? What SARs have ended up in the briefing books over, say, the last month or so?

#### 16. Speeches.

115 looks good.

- i) Please include the Item # at the end of each N1 number in the item description. (e.g., N1-563-07-13 is the schedule number - which item number on that schedule covers speeches prepared for delivery by Exec Level personnel?)

#### 17. SOPs.

- i) I need to look into this further and get back with you. **(IOU.)**

#### 18. Surveys and Questionnaires.

- i) I recommend either dropping this item or developing specific criteria to identify significant/permanent surveys from temporary surveys. Surveying is such a broad activity that can cover such a wide range of purposes, I wouldn't be able to justify a temporary disposition for all surveys without a lot more information. Even if there are no existing examples of a permanent survey, there's no telling what kind of surveys DHS will conduct in the future.

**DHS STATUS as of 4/15:** we did this at the time we were working with S&T on the SAFECOM survey info - I'll double check - MGMT did a survey in regards to the DHS HQ move to ST E's and I have a note on the PCII program conducting a survey.

#### 19. Workforce Management and Analysis.

- i) I recommend deleting the phrase "organizational design" per paragraph regarding Organizational Charts below. Otherwise, looks good.

Regarding Organizational Charts: I'd be open to including an item for them on this 115. I would recommend that it's not limited to org charts but also covers records about organizational design. Ideally it would be written in a way to cover records about the birth and organization of DHS. In case it helps, here is how the NARA item is written that covers these types of records:

"Organizational charts and reorganization studies. Records and graphics that provide a detailed description and illustration of the arrangement, administrative structure, and geographic boundaries of the functional units of NARA. Reorganization studies may include final recommendations, proposals, and staff evaluations. Reorganization case files are maintained by the Policy and Planning Staff (NPOL) in the directives case files, file no. 104-1."

Regarding Manuals and Handbooks: I understand we dropped the original item because it covered office copies. However, should we replace the original item with an item that covers the **record versions**? (We generally appraise manuals and handbooks as permanent - as policy documents.) Could they be covered as part of Item 1 or Item 10 on N1-563-08-3 (Records Common to All) or should they be covered by a new item?

I think that does it! Looks like I have two IOUs. I'll try to get back with you as soon as possible about them. Feel free to call if you'd like to discuss anything.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/15/2008 7:59 AM >>>  
Oops - forgot to address an item below.

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Tuesday, April 15, 2008 7:50 AM  
**To:** 'Julie Hunsaker'  
**Subject:** RE: RE: Records Common to All v4

Here goes. I will send the responses for the example info (SAR and benchmarks separate).

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, March 20, 2008 6:10 PM  
**To:** Tammy <CTR> Hudson  
**Subject:** Fwd: RE: Records Common to All v4

Tammy,

I've reviewed the revised 115. Here are my remaining questions/comments (I've repeated here the questions I still have from my 2/29 list - for ease of reference):

1. Brochures, Pamphlets and Publications Completed

- i. I'm wondering whether it might be best to drop the reference to "reports, studies" in the description (or the entire "this includes" last sentence, for that matter). It seems like various reports and studies have different retentions throughout DHS. So seeing this reference here may confuse things. People should be able to identify a brochure, pamphlet or publication as such; this title should be able to stand on its own.
- ii. In the disposition instruction, please change "Offer" to "Transfer."

2. Correspondence - Changed title to Routine Correspondence (now item 14). Program Specific correspondence - OIG has their correspondence included as part of their file, other programs may have correspondence that is actually related to a case file, etc, so we didn't want them to file that information separately. As to the GRS, we are using GRS 20, item 14 as an item b. Lastly, perm correspondence is part of the Exec Level schedule or would be part of a perm record, individual items would not usually require permanent retention on their own.

- i. This item title/description still seems a bit ambiguous to me. Should the title be "Routine Correspondence"? Also, I'm not sure what the difference is between "correspondence" and "program specific correspondence."
- ii. GRS 23 Item 7 may actually cover some of these records. Does DHS not want to use GRS 23/7? Or should this item's description change so these two authorities won't overlap (e.g., meeting requests are seemingly covered by both)?
- iii. Where is all of the perm DHS correspondence?

3. Dissemination Files and Lists - added I&A exclusion

- i. How does this item relate to the "Dissemination Files and Lists" item on the I&A schedule (N1-563-07-16 Item 2)? If this item won't apply to I&A, the schedule should indicate this. If this item should also apply to I&A, please talk to Quinton and remove it from the I&A schedule ASAP. (It comes off the Federal Register on 4/2. If it's requested, the copy we send out should represent the final version of the schedule.)

6-7. Interagency Agreements and MOA/MOUs - Combined to one item. Added all cutoffs.

- i. What is the difference between these two types of records? Is there a reason they aren't covered by the same item?
- ii. Is there a reason DHS decided to not include a cutoff statement for these items? (This same question applies to various items throughout the schedule. Is there a reason some items have cutoffs and some don't? e.g., 8, 9, 11, 14a&b).

9. Performance Measurements and Benchmarks - sent requests - will forward responses

- i. I'd like to get a better sense of how much these records show how DHS is carrying out its mandate. I would like to review (remotely or via a site visit).

11. Presentations - made modifications as notes

- i. Would it be appropriate to insert the words, "non-executive level" before "personnel while representing . . . " ?
- ii. Please include the Item # at the end of the N1 number. (Disposition authorities are technically the schedule number plus the item number.)

12. Program Development Files - this will be discussed Thursday with NCSD review

- i. This item is a bit ambiguous. What is included in "supporting documentation"? Can the description be tightened up any? What exactly will NARA receive via Item 12a? I'd like to review some of these files.
- ii. The cutoffs may need some revision. Generally, policy statements are cut off when they are superseded. This ensures, for example, that NARA doesn't receive current policy statements or that they aren't destroyed.

13. Program Management Files/Strategic Plans - this will be discussed Thursday with NCSD review

- i. I'm a bit unclear about what this item does and does not cover. The description only mentions strategic plans and associated clearance records, but the title includes the much broader, "Program Management Files."
- ii. What is the rationale behind the retention period? Are strategic plans never in effect after 7 years? Maybe it would help if I understood how DHS defines "strategic plans."

14. Project Control Files - modified Final Report statement.

- i. This seems like an item that could cover a huge swath of records, because "project" is a word that has such a generic meaning. Because projects can vary so widely in their content and significance, I'm not sure how we could ever sign off on saying all project final reports are temporary. Does DHS have a defined meaning for this word?

15-16. Requests for Assistance and RFIs - combined 15 & 16

- i. How do RFAs differ from RFIs?

15. Requests for Assistance

- i. What type of analysis and reporting is one on RFAs?

16. Requests for Information (RFI) / Data Calls - added I&A exclusion. I&A has a longer retention for their RFIs

- i. How does this item relate to the "RFI / Data Calls" item on the I&A schedule (N1-563-07-16 Item 5)? If this item won't apply to I&A, the schedule should indicate this. If this item should also apply to I&A, please talk to Quinton and remove it from the I&A schedule ASAP.

17. Situation Awareness Reports - will send separate responses with examples

- i. Our stakeholder units are very interested in these records. Please provide me with samples of various types of these reports. It would also be helpful to know the exact criteria DHS uses when it decides to send these to the Secretary. What other events (other than Incidents of National Significance) might the Secretary know about through SARs? Could we look into what SARs have ended up in the briefing books over, say, the last month or so?

18. Speeches - made modifications

- i. Would it be appropriate to insert the words, "non-executive level" before "personnel while representing . . . " ?
- ii. Please include the Item # at the end of each N1 number.

20. Surveys and Questionnaires - we did this at the time we were working with S&T on the SAFECOM survey info - I'll double check - MGMT did a survey in regards to the DHS HQ move to ST E's and I have a note on the PCII program conducting a survey

- i. I'm not sure we would agree that all survey data DHS-wide are temporary. Can you provide me with examples of types of surveys DHS conducts?
- ii. Where are the survey reports scheduled?

21. Workforce Management and Analysis - thought org charts were on exec level, but just checked and it's not. Should we create a schedule item for those?

- i. Side question, where are DHS org charts scheduled? (I'm losing track.)

Julie

>>> Julie Hunsaker 3/11/2008 11:46 AM >>>

Thanks, Tammy! I'll take a look at this and get back with you next week.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/11/2008 11:07 AM >>>

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Hudson, Tammy <CTR>  
**Sent:** Tuesday, March 11, 2008 10:57 AM  
**To:** 'Julie Hunsaker'  
**Subject:** FW: Records Common to All v3

Julie! I forgot to put the Situation Awareness Reports on this - I'll send you an updated copy!

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Hudson, Tammy <CTR>  
**Sent:** Tuesday, March 11, 2008 10:51 AM  
**To:** 'Julie Hunsaker'  
**Subject:** Records Common to All v3

Julie,

Attached is the updated schedule and some sample records (fact sheets, presentations and newsletters).

I think we should keep the newsletters and fact sheets separate from publications since they have a different retention period.

I removed the manuals and handbooks - that shouldn't have been included in the first place - they are office copies/reference.

I'm sure you'll need more info now that I've made changes, but this is a start. Let me know what else you need!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)



## Julie Hunsaker - RE: More on Whether DHS OIG Audit/Inspections Reports Can BeScheduled As Permanent?

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**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 1/9/2008 5:08 PM  
**Subject:** RE: More on Whether DHS OIG Audit/Inspections Reports Can BeScheduled As Permanent?

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Thanks Julie!!!

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, January 09, 2008 4:44 PM  
**To:** Michelle Adler  
**Cc:** Hudson, Tammy <CTR>; Schultz, Kathy; Kim Hurley  
**Subject:** Re: More on Whether DHS OIG Audit/Inspections Reports Can BeScheduled As Permanent?

Hi, Michelle.

I just wanted to let you know that I'm looking into this issue. I'd like to speak with the archivist who worked on the Energy OIG schedule to find out more about the appraisal she conducted. Let's plan to talk sometime next week. I'll get in touch with you (but if you don't hear from me, please feel free to touch base).

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 1/7/2008 5:40 PM >>>

Hi Julie. I hope you enjoyed your time off. I would like to follow-up with your 12/18/07 email (see below) in which you say that your supervisor believes that the 1999 records schedule for the FEMA OIG may need to be re-examined and that the previously approved permanent retention of audit reports most likely will be changed to temporary. Just to clarify, the FEMA OIG is now under the DHS OIG. So rather than re-examining the FEMA OIG's 1999 appraisal, we can take care of this when I prepare the DHS OIG's new appraisal for audit and inspection reports.

More importantly, I'm wondering if the door is still open for us to propose that the DHS OIG's audit and inspection files can be scheduled as permanent. I'm not 100% our senior management (which will mostly comes from the old FEMA OIG) will still want this. But as I pointed out to you before Xmas, in June 2007, NARA approved a schedule for the Energy OIG that authorizes a permanent retention for the final copy of their audit reports. **See the attached schedule, Page 4, Item 6(c).** I believe you were unable to locate the appraisal report for the Energy OIG's approved schedule. Although their permanent retention of final audit reports is different than what many other OIG shops use, NARA apparently approved it (unless you find out differently). So if the DHS OIG still wishes to propose the same thing, would NARA at least be willing to consider it?

I will be on leave Tuesday. So please email me and if needed, I can call you on Wednesday. Thanks in advance.

Michelle Adler  
 DHS Office of Inspector General  
 Office of Administration  
 (202) 254-4068

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, December 18, 2007 7:04 PM  
**To:** Michelle Adler  
**Cc:** Hudson, Tammy <CTR>  
**Subject:** Re: Request for Three Appraisal Reports

Hi, Michelle.

I wanted to check in with you before I left work today. After today I'll be on leave until January 7. I've worked on so many different things the past couple of days trying to tie up loose ends, I can't remember exactly where we left things. However, I wanted to let you know that I spoke with my supervisor about the audit reports (now that we understand your question is not about an annual report of some kind) and she let me know that in fact it is MUCH more likely that these records are temporary. In fact, when she heard that the FEMA audit reports are scheduled as permanent, she said these are likely candidates for reappraisal (meaning we would re-examine the 1999 appraisal and they could be changed from permanent to temporary).

I just wanted to pass this on briefly. If you have questions about it, let's plan to talk about it in more depth when I get back.

I hope you have a nice holiday.

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 12/14/2007 12:37 PM >>>

Hi Julie. I'd like to follow up on a request Tammy Hudson made to you last week on my behalf. Tammy asked you for the appraisal reports associated with two records schedules that were published several years ago. I'm emailing you to add a third agency to this request. The job number for all three are listed below.

1. Federal Emergency Management Agency, Office of Inspector General (OIG) . Job #N1 311-99-6. Dated July 1999.
2. Justice Department OIG. Job # N1-60-99-11. Dated August 1999.
3. Energy Department OIG. This one was published in June 2007. But I don't have an actual Job #. At best, I can show you the records schedule (see the 3rd attachment to this message).

In case you're wondering, I'd like to see these appraisal reports to better understand why the FEMA, Justice, and Energy OIGs determined that their audit reports warranted permanent retention. If you recall, my organization (the DHS OIG) wants to take a similar approach.

I realize you are quite busy. If possible, I'd greatly appreciate getting these appraisal reports sometime the week of 12/26. If you are really swamped, I'll settle for the FEMA OIG's appraisal report for right now. But eventually, I'd like to see the other two. Thanks in advance.

Michelle Adler

Department of Homeland Security  
Office of Inspector General  
(202) 254-4068

**Julie Hunsaker - Retention of DHS OIG Audit/Inspection Reports**

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**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** <Julie.Hunsaker@nara.gov>  
**Date:** 3/21/2008 4:29 PM  
**Subject:** Retention of DHS OIG Audit/Inspection Reports  
**CC:** "Hurley, Kim" <kim.hurley@dhs.gov>, "Hudson, Tammy <CTR>"  
<Tammy.Hudson@associates.dhs.gov>

---

Julie, I'm so glad to hear from you! You must have ESP. I was just talking with Kim Hurley (my boss) about the need to establish a set of criteria that would distinguish those DHS OIG audit/inspection reports that merit permanent retention (versus temporary retention). Kim is an auditor and so she is in a better position to evaluate the attached examples of potentially permanent reports you have identified. I will consult with her next week, and get back to you. So please stay tuned. Thanks.

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Friday, March 21, 2008 3:36 PM  
**To:** Michelle Adler  
**Subject:** DHS Audit Reports

Hi, Michelle.

I apologize so much time has gone by! I just wanted to touch base with you about the disposition of DHS audit reports.

I've reviewed many of the audit reports on DHS's website. While I do not think all of the reports have permanent value, I believe it would be appropriate to develop some criteria that would identify the significant reports as permanent.

I've put together a preliminary list of criteria and associated audit reports - just to generate discussion. Please review and let me know what you think. I'm going to also run it by and elicit comments from various stakeholders here at NARA.

As much as I was looking forward to meeting you, now that I've seen what's on the DHS website I think it will provide the information we need to resolve this matter.

Please let me know if you have any questions.

Julie

## Julie Hunsaker - Retention Times for DHS OIG's Audit/Inspection Reports

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**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 5/2/2008 12:31 PM  
**Subject:** Retention Times for DHS OIG's Audit/Inspection Reports  
**CC:** "Hurley, Kim" <kim.hurley@dhs.gov>

---

Hi Julie. Just thought I'd check in with you. After our April 11<sup>th</sup> meeting, you were going to review the OIG's September 2007 *Semiannual Report to Congress* and get back to us on how to establish meaningful criteria for determining which OIG reports will merit permanent retention. The Department is pressing for us to get our records schedule moving. So Kim and I would like to come to closure with you on this issue. Please let us know when you want to meet again. Or as an alternative, we can certainly do a teleconference call. Also, to aid your understanding of our work, I am attaching the following reference information:

**1. Samples of Corrective Action Plans.** Per your request, I am attaching four samples of DHS management's written plans for corrective actions and target completion dates for OIG report recommendations. These samples vary in their format and approach. **IMPORTANT: We are providing these sample plans to you for official use only. No further dissemination is allowed, without the OIG's authorization.**

**2. Difference between Performance Audits versus Financial Audits.** The 5<sup>th</sup> attachment is standard text taken from the Commerce OIG's *Semiannual Report to Congress*. Although our Semiannual Report does not have this text, Commerce's discussion explains the types of audits typically conducted by OIG shops.

**3. Performance Audits are not just about compliance—they can also address cost issues.** At April 11<sup>th</sup> meeting, I sensed you were thinking that Performance Audits were solely about compliance. This is not necessarily true. The Commerce OIG document says that Performance Audits can also address cost allowances. As a concrete example, you may want to see DHS OIG Report #08-28 (see the 6<sup>th</sup> attachment). This report is for a performance audit on the State of Ohio's Management on Homeland Security Grants. On Page 27, the paragraph on Vehicles Not Used for Intended Purposes identifies non-compliance issues which resulted in \$23,190 in questioned costs.

**4. DHS OIG Annual Report on Coast Guard Mission Effectiveness.** You wanted to get a better sense for those OIG reports that address mission effectiveness. As I explained, each year the OIG is mandated to report on the Coast Guard's mission effectiveness. I'm not sure that these reports warrant permanent preservation. But so you can get a sense, here's the link to the last annual report:  
[http://www.dhs.gov/xoig/assets/mgmttrpts/OIG\\_08-30\\_Feb08.pdf](http://www.dhs.gov/xoig/assets/mgmttrpts/OIG_08-30_Feb08.pdf).

I look forward to hearing from you.

Michelle Adler  
DHS Office of Inspector General  
(202) 254-4068

## Julie Hunsaker - Re: Retention Times for DHS OIG's Audit/Inspection Reports

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**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 5/5/2008 5:01 PM  
**Subject:** Re: Retention Times for DHS OIG's Audit/Inspection Reports  
**CC:** Hurley, Kim

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Hi, Michelle!

Thanks for checking in with me and thank you for the information you sent. I've sent a request to some of our stakeholder units to weigh in on how to define criteria to designate some DHS audit reports as permanent. I'm hoping with their input I can better advise DHS on how to develop reasonable criteria that make sense.

I believe I will receive the NARA stakeholder unit input by the end of the month. Let's tentatively plan to touch base the first week in June. I'm not sure we will need to meet again, but we could certainly set up a telecon. I'll keep in touch, but do not hesitate to contact me if you have any questions or would like an update on where things stand.

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 5/2/2008 12:27 PM >>>

Hi Julie. Just thought I'd check in with you. After our April 11<sup>th</sup> meeting, you were going to review the OIG's September 2007 *Semiannual Report to Congress* and get back to us on how to establish meaningful criteria for determining which OIG reports will merit permanent retention. The Department is pressing for us to get our records schedule moving. So Kim and I would like to come to closure with you on this issue. Please let us know when you want to meet again. Or as an alternative, we can certainly do a teleconference call. Also, to aid your understanding of our work, I am attaching the following reference information:

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[http://www.dhs.gov/xoig/assets/mgmttrpts/OIG\\_08-30\\_Feb08.pdf](http://www.dhs.gov/xoig/assets/mgmttrpts/OIG_08-30_Feb08.pdf).

I look forward to hearing from you.

Michelle Adler  
DHS Office of Inspector General  
(202) 254-4068

**Julie Hunsaker - Retention Times for DHS OIG's Audit/Inspection Reports**

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**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** <Julie.Hunsaker@nara.gov>  
**Date:** 6/2/2008 10:49 AM  
**Subject:** Retention Times for DHS OIG's Audit/Inspection Reports  
**CC:** "Hurley, Kim" <kim.hurley@dhs.gov>, "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>

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Julie, thanks for letting us know the status of your efforts to develop criteria for identifying permanent audit/inspection reports. As we agreed, I will call you this Thursday @ 2:30 PM so we can discuss your proposal.

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, June 02, 2008 10:07 AM  
**To:** Michelle Adler  
**Cc:** Kim Hurley  
**Subject:** Re: Retention Times for DHS OIG's Audit/Inspection Reports

Hi, Michelle.

I just wanted to touch base with you and let you know where we are. I met last week with two of our branch chiefs and a division director in our records processing/reference section. We worked out a proposal, which I'll finalize and distribute to them today for review and concurrence. After I hear back from them, I'll forward the proposal to you and we can set up a time to talk about it. (I think we'll be able to discuss it over the phone.)

Julie

## Julie Hunsaker - Re: Retention Times for DHS OIG's Audit/Inspection Reports

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**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 6/4/2008 5:50 PM  
**Subject:** Re: Retention Times for DHS OIG's Audit/Inspection Reports  
**CC:** Hudson, Tammy <CTR>; Hurley, Kim; Kathy.Schultz@DHS.GOV

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Michelle,

I've attached a draft, partial records schedule for our telecon tomorrow. It designates categories of audit/inspection records and defines which are permanent and which are temporary. It is only partial, however, because it doesn't contain any records descriptions, retention periods, or transfer periods.

In addition, it is our view the Corrective Action Plans associated with the permanent records on the attached have permanent value. Before the audit/inspection records schedule is finalized, could you confirm for us that all of the Corrective Action Plans end up in the Inspector General's correspondence?

Looking forward to our discussion tomorrow!

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/2/2008 10:34 AM >>>  
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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, June 02, 2008 10:07 AM  
**To:** Michelle Adler  
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**Subject:** Re: Retention Times for DHS OIG's Audit/Inspection Reports

Hi, Michelle.

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Julie



## Julie Hunsaker - FW: Retention Times for DHS OIG's Audit/Inspection Reports

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**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** <Julie.Hunsaker@nara.gov>  
**Date:** 6/5/2008 9:28 AM  
**Subject:** FW: Retention Times for DHS OIG's Audit/Inspection Reports  
**CC:** "Hurley, Kim" <kim.hurley@dhs.gov>

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Julie, thanks for sending me your proposed schedule. I know that we will be talking at 2:30 today. But I want to give you a heads up on some concerns I have. First, your email below says that you think any Corrective Action Plans associated with a permanent report should also have permanent value. Although DHS components are required to send us Corrective Action Plans, this unfortunately does not always happen. Also, your email asks if all of the Corrective Action Plans end up in the Inspector General's correspondence files? Unfortunately, we don't seem to have a systematic process in place. So I can't clearly give you a "yes." In fact, I had to go through quite an effort to collect the sample plans I sent you.

More importantly, I'm not sure that your proposed schedule reflects the nature of the OIG's work or that it will have meaning to our auditors and inspectors. Of course, since Kim is an auditor, she's in the best position to answer this. So when you and I talk this afternoon, I'd appreciate if you get walk me through the schedule point-by-point. I'd like to better understand the rationale for how you developed this. Then I can advise Kim when she returns to the office on Friday.

I will call you at 2:30. Take care.

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, June 04, 2008 5:50 PM  
**To:** Michelle Adler  
**Cc:** Hudson, Tammy <CTR>; Schultz, Kathy; Kim Hurley  
**Subject:** Re: Retention Times for DHS OIG's Audit/Inspection Reports

Michelle,

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, June 02, 2008 10:07 AM  
**To:** Michelle Adler

**Cc:** Kim Hurley

**Subject:** Re: Retention Times for DHS OIG's Audit/Inspection Reports

Hi, Michelle.

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Julie

## Julie Hunsaker - Re: FW: Retention Times for DHS OIG's Audit/Inspection Reports

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**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 6/5/2008 12:36:41 PM  
**Subject:** Re: FW: Retention Times for DHS OIG's Audit/Inspection Reports  
**CC:** Hurley, Kim

---

Michelle,

Thank you for the heads up. I look forward to talking with you this afternoon.

Would it be possible for us to talk at 3:00 rather than 2:30? It looks like I'll be in a meeting that may not end until 3:00.

Julei

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/5/2008 9:28 AM >>>

Julie, thanks for sending me your proposed schedule. I know that we will be talking at 2:30 today. But I want to give you a heads up on some concerns I have. First, your email below says that you think any Corrective Action Plans associated with a permanent report should also have permanent value. Although DHS components are required to send us Corrective Action Plans, this unfortunately does not always happen. Also, your email asks if all of the Corrective Action Plans end up in the Inspector General's correspondence files? Unfortunately, we don't seem to have a systematic process in place. So I can't clearly give you a "yes." In fact, I had to go through quite an effort to collect the sample plans I sent you.

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I will call you at 2:30. Take care.

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**Sent:** Wednesday, June 04, 2008 5:50 PM  
**To:** Michelle Adler  
**Cc:** Hudson, Tammy <CTR>; Schultz, Kathy; Kim Hurley  
**Subject:** Re: Retention Times for DHS OIG's Audit/Inspection Reports

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Julie

**Julie Hunsaker - RE: FW: Retention Times for DHS OIG's Audit/Inspection Reports**

**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/5/2008 12:38 PM  
**Subject:** RE: FW: Retention Times for DHS OIG's Audit/Inspection Reports

No problem. 3:00 works for me.

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, June 05, 2008 12:37 PM  
**To:** Michelle Adler  
**Cc:** Kim Hurley  
**Subject:** Re: FW: Retention Times for DHS OIG's Audit/Inspection Reports

Michelle,

Thank you for the heads up. I look forward to talking with you this afternoon.

Would it be possible for us to talk at 3:00 rather than 2:30? It looks like I'll be in a meeting that may not end until 3:00.

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I will call you at 2:30. Take care.

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, June 04, 2008 5:50 PM  
**To:** Michelle Adler  
**Cc:** Hudson, Tammy <CTR>; Schultz, Kathy; Kim Hurley  
**Subject:** Re: Retention Times for DHS OIG's Audit/Inspection Reports

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**Sent:** Monday, June 02, 2008 10:07 AM  
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**Cc:** Kim Hurley  
**Subject:** Re: Retention Times for DHS OIG's Audit/Inspection Reports

Hi, Michelle.

I just wanted to touch base with you and let you know where we are. I met last week with two of our branch chiefs and a division director in our records processing/reference section. We worked out a proposal, which I'll finalize and distribute to them today for review and concurrence. After I hear back from them, I'll forward the proposal to you and we can set up a time to talk about it. (I think we'll be able to discuss it over the phone.)

Julie

**Julie Hunsaker - Retention of DHS OIG Audit/Inspection Reports and Workpapers**

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**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/9/2008 4:44 PM  
**Subject:** Retention of DHS OIG Audit/Inspection Reports and Workpapers  
**CC:** "Hurley, Kim" <kim.hurley@dhs.gov>, "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>

---

Hello Julie. Thanks for participating at today's teleconference with Kim Hurley and me. I would like to summarize the results of our discussion to ensure everyone is on the same wavelength. We would appreciate if your senior management would consider the following proposal:

1. All Performance Reports will have a PERMANENT retention.
2. All Financial Reports will have a TEMPORARY retention (the DHS OIG will determined the temp time frame when we submit a draft schedule for approval).
3. Work papers (Julie this is what our auditors call working files) will fall into two categories:
  - a. PERMANENT Workpapers: Workpapers associated with Performance Reports that:
    - Are marked at the Classified level; or
    - Relate to intelligence activities; or
    - Relate to catastrophic incidents response and recovery activities
  - b. TEMPORARY Workpapers: All other workpapers not falling under category 3a. Again, the temp time frame will be determined later.

As always, we appreciate your efforts to help us come up with a meaningful records schedule. If you have any questions, please call me at (202) 254-4068. I look forward to hearing from you. Thanks.

**Julie Hunsaker - Re: Retention of DHS OIG Audit/Inspection Reports and Workpapers**

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**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 6/10/2008 8:55:04 AM  
**Subject:** Re: Retention of DHS OIG Audit/Inspection Reports and Workpapers

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Good morning, Michelle.

I just wanted to let you know I received your voicemail. I'm going to be working away from my desk most of the day today, so we may not get a chance to talk, but if we don't get in touch with each other today, let's try for tomorrow.

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/9/2008 4:44 PM >>>

Hello Julie. Thanks for participating at today's teleconference with Kim Hurley and me. I would like to summarize the results of our discussion to ensure everyone is on the same wavelength. We would appreciate if your senior management would consider the following proposal:

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**Julie Hunsaker - Corrected Email: Retention of DHS OIG Audit/Inspection Reports and Workpapers**

---

**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/10/2008 9:10:10 AM  
**Subject:** Corrected Email: Retention of DHS OIG Audit/Inspection Reports and Workpapers

---

Julie, I got your email. So we're clear, red text shown below is what I was trying to convey in my voice mail. Your email said you would be available on Wednesday to talk. That's fine with me. But actually, I'm not sure that we really need to. If my outline below matches your understanding of what Kim and you agreed to at the Monday's teleconference, then you can just go ahead and present this to your management for their consideration.

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**Julie Hunsaker - Re: Corrected Email: Retention of DHS OIG Audit/Inspection Reports and Workpapers**

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**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 6/10/2008 4:15:37 PM  
**Subject:** Re: Corrected Email: Retention of DHS OIG Audit/Inspection Reports and Workpapers

---

Thanks, Michelle. I think it would be a good idea for us to talk; I don't remember us talking about this during our discussion. I'll give you a call tomorrow.

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/10/2008 9:09 AM >>>

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**Julie Hunsaker - RE: Corrected Email: Retention of DHS OIG Audit/Inspection Reports and Workpapers**

---

**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/10/2008 4:20:52 PM  
**Subject:** RE: Corrected Email: Retention of DHS OIG Audit/Inspection Reports and Workpapers

---

OK. When you say you don't remember talking about "this," are you referring to the bullet that I've deleted?

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, June 10, 2008 4:16 PM  
**To:** Michelle Adler  
**Subject:** Re: Corrected Email: Retention of DHS OIG Audit/Inspection Reports and Workpapers

Thanks, Michelle. I think it would be a good idea for us to talk; I don't remember us talking about this during our discussion. I'll give you a call tomorrow.

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## Julie Hunsaker - RE: Corrected Email: Retention of DHS OIG Audit/InspectionReports andWorkpapers

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**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 6/10/2008 4:52:03 PM  
**Subject:** RE: Corrected Email: Retention of DHS OIG Audit/InspectionReports andWorkpapers

---

Yes - I don't remember talking about removing that bullet.

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/10/2008 4:18 PM >>>  
 OK. When you say you don't remember talking about "this," are you referring to the bullet that I've deleted?

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, June 10, 2008 4:16 PM  
**To:** Michelle Adler  
**Subject:** Re: Corrected Email: Retention of DHS OIG Audit/InspectionReports andWorkpapers

Thanks, Michelle. I think it would be a good idea for us to talk; I don't remember us talking about this during our discussion. I'll give you a call tomorrow.

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**Julie Hunsaker - RE: Corrected Email: Retention of DHS OIG Audit/Inspection Reports and Workpapers**

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**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/10/2008 4:55:28 PM  
**Subject:** RE: Corrected Email: Retention of DHS OIG Audit/Inspection Reports and Workpapers

---

Can I call you around 8:30 tomorrow?

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, June 10, 2008 4:52 PM  
**To:** Michelle Adler  
**Subject:** RE: Corrected Email: Retention of DHS OIG Audit/Inspection Reports and Workpapers

Yes - I don't remember talking about removing that bullet.

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## Julie Hunsaker - RE: Corrected Email: Retention of DHS OIG Audit/Inspection Reports and Workpapers

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**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 6/10/2008 4:55:55 PM  
**Subject:** RE: Corrected Email: Retention of DHS OIG Audit/Inspection Reports and Workpapers

---

Yes, that sounds good. I'll plan on that.

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 Julie, I got your email. So we're clear, red text shown below is what I was trying to convey in my voice mail. Your email said you would be available on Wednesday to talk. That's fine with me. But actually, I'm not sure that we really need to. If my outline below matches your understanding of what Kim and you agreed to at the Monday's teleconference, then you can just go ahead and present this to your management for their consideration.

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1. All Performance Reports will have a PERMANENT retention.
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    - ~~Are marked at the Classified level;~~ or
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- Relate to catastrophic incidents response and recovery activities

b. TEMPORARY Workpapers: All other workpapers not falling under category 3a. Again, the temp time frame will be determined later.



## Julie Hunsaker - Why we deleted the bullet

---

**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** <julie.hunsaker@nara.gov>  
**Date:** 6/10/2008 5:53:07 PM  
**Subject:** Why we deleted the bullet

---

Hi Julie. I know we will talk in the morning. To help our discussion, I am using this email to briefly explain why we deleted the bullet about workpaper related Performance Audits that are classified. Here's our rationale:

1. We didn't clearly agree to delete this bullet at Monday's teleconference. But since we dropped the approach of describing what constitutes "mission effectiveness" and instead agreed to say all Performance Reports will be PERM, then saying work papers for Performance Audit reports marked classified will be way too broad.
2. Workpapers for classified reports isn't a type of work paper (like those related to intelligence activities or catastrophic incidents response and recovery activities).

As I said, I will call you at 8:30, unless I'm stuck on the subway which seems to be happening a lot lately.

## Julie Hunsaker - RE: Corrected Email: Retention of DHS OIG Audit/Inspection Reports and Workpapers

---

**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 6/24/2008 5:50:46 PM  
**Subject:** RE: Corrected Email: Retention of DHS OIG Audit/Inspection Reports and Workpapers  
**CC:** Hurley, Kim

---

Michelle,

I met with the managing archivists in our stakeholder units to discuss both of DHS's proposals. We agree to change the disposition of the Performance Reports so they are all permanent. We discussed at length DHS's proposed approach to the work papers as well as various other alternate approaches, but did not arrive at a conclusion that we felt would resolve DHS's concerns. We think the best thing to do now would be to set up a site visit. This would give me a chance to review actual audit work papers, talk with a subject matter expert, and become more familiar with the specific types of records that can be part of audit work papers. Having this type of real-world information about the records would help us devise a practical, workable approach to designating which portion of these records should be permanent.

I recognize the DHS OIG's office is working under tight time restraints, therefore I could set something up as early as this Friday morning. Please let me know if this is feasible for your office.

Per your request for a specific list of audits for the site visit, I would be interested in reviewing the work papers of the following audits:

OIG-07-1: Treatment of Immigration Detainees Housed at ICE Facilities  
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 OIG-07-38: DHS' Progress in Addressing Coordination Challenges Between CBP and ICE  
 OIG-07-57: TSA's Oversight of Passenger Aircraft Cargo Security Faces Significant Challenges  
 OIG-08-29: The DHS Process for Nominating Individuals to the Consolidated Terrorist Watchlist  
 OIG-08-34: FEMA's Preparedness for the Next Catastrophic Disaster

I look forward to hearing from you.

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/10/2008 4:55 PM >>>  
 Can I call you around 8:30 tomorrow?

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, June 10, 2008 4:52 PM  
**To:** Michelle Adler  
**Subject:** RE: Corrected Email: Retention of DHS OIG Audit/Inspection Reports and Workpapers

Yes - I don't remember talking about removing that bullet.

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/10/2008 4:18 PM >>>  
 OK. When you say you don't remember talking about "this," are you referring to the bullet that I've deleted?

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]

**Sent:** Tuesday, June 10, 2008 4:16 PM

**To:** Michelle Adler

**Subject:** Re: Corrected Email: Retention of DHS OIG Audit/Inspection Reports and Workpapers

Thanks, Michelle. I think it would be a good idea for us to talk; I don't remember us talking about this during our discussion. I'll give you a call tomorrow.

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/10/2008 9:09 AM >>>

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## Julie Hunsaker - Re: Corrected Email: Retention of DHSOIGAudit/InspectionReports andWorkpapers

---

**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** <Julie.Hunsaker@nara.gov>  
**Date:** 6/24/2008 6:05:22 PM  
**Subject:** Re: Corrected Email: Retention of DHSOIGAudit/InspectionReports andWorkpapers

---

Julie, thanks for the email. I see you want me to call you at 8:30. But if it's about your request, I must first chat w/ Kim. Since it will be her first day back, I'm not sure I can get to her before 8:30.

---

**From:** Julie Hunsaker  
**To:** Michelle Adler  
**Cc:** Kim Hurley  
**Sent:** Tue Jun 24 17:50:46 2008  
**Subject:** RE: Corrected Email: Retention of DHSOIGAudit/InspectionReports andWorkpapers

Michelle,

I met with the managing archivists in our stakeholder units to discuss both of DHS's proposals. We agree to change the disposition of the Performance Reports so they are all permanent. We discussed at length DHS's proposed approach to the work papers as well as various other alternate approaches, but did not arrive at a conclusion that we felt would resolve DHS's concerns. We think the best thing to do now would be to set up a site visit. This would give me a chance to review actual audit work papers, talk with a subject matter expert, and become more familiar with the specific types of records that can be part of audit work papers. Having this type of real-world information about the records would help us devise a practical, workable approach to designating which portion of these records should be permanent.

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I look forward to hearing from you.

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/10/2008 4:55 PM >>>  
 Can I call you around 8:30 tomorrow?

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]

**Sent:** Tuesday, June 10, 2008 4:52 PM

**To:** Michelle Adler

**Subject:** RE: Corrected Email: Retention of DHS OIG Audit/Inspection Reports and Workpapers

Yes - I don't remember talking about removing that bullet.

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/10/2008 4:18 PM >>>

OK. When you say you don't remember talking about "this," are you referring to the bullet that I've deleted?

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]

**Sent:** Tuesday, June 10, 2008 4:16 PM

**To:** Michelle Adler

**Subject:** Re: Corrected Email: Retention of DHS OIG Audit/Inspection Reports and Workpapers

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**From:** Julie Hunsaker  
**To:** michelle.adler@dhs.gov  
**Date:** 6/25/2008 11:20:49 AM  
**Subject:** Re: Corrected Email: Retention of DHSOIGAudit/InspectionReports andWorkpapers

Hi, Michelle.

I'm out of the office today on sick leave today, so I'm sorry I missed your call. No need to call me. When I sent my email yesterday, I replied to the last email exchange we had where we had set up an 8:30 phone call on June 11. I'll wait to hear from you after you speak with Kim.

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 06/24/08 6:04 PM >>>

Julie, thanks for the email. I see you want me to call you at 8:30. But if it's about your request, I must first chat w/ Kim. Since it will be her first day back, I'm not sure I can get to her before 8:30.

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From: Julie Hunsaker  
To: Michelle Adler  
Cc: Kim Hurley  
Sent: Tue Jun 24 17:50:46 2008  
Subject: RE: Corrected Email: Retention of DHSOIGAudit/InspectionReports andWorkpapers

Michelle,

I met with the managing archivists in our stakeholder units to discuss both of DHS's proposals. We agree to change the disposition of the Performance Reports so they are all permanent. We discussed at length DHS's proposed approach to the work papers as well as various other alternate approaches, but did not arrive at a conclusion that we felt would resolve DHS's concerns. We think the best thing to do now would be to set up a site visit. This would give me a chance to review actual audit work papers, talk with a subject matter expert, and become more familiar with the specific types of records that can be part of audit work papers. Having this type of real-world information about the records would help us devise a practical, workable approach to designating which portion of these records should be permanent.

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I look forward to hearing from you.

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/10/2008 4:55 PM >>>

Can I call you around 8:30 tomorrow?

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Sent: Tuesday, June 10, 2008 4:52 PM  
To: Michelle Adler  
Subject: RE: Corrected Email: Retention of DHS OIG Audit/Inspection Reports and Workpapers

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From: Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
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**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/25/2008 11:40:47 AM  
**Subject:** RE: Corrected Email: Retention ofDHSOIGAudit/InspectionReports andWorkpapers

I hope you feel better. I've talked with Kim. I'm now checking to verify that you will be able to see these workpapers. As I explained, some are paper and others are electronic. More importantly, if any of them related to classified reports, you won't be able to view them. So please stay tuned. I won't know until sometime Thursday.

-----Original Message-----

From: Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
Sent: Wednesday, June 25, 2008 11:21 AM  
To: Adler, Michelle  
Subject: Re: Corrected Email: Retention ofDHSOIGAudit/InspectionReports andWorkpapers

Hi, Michelle.

I'm out of the office today on sick leave today, so I'm sorry I missed your call. No need to call me. When I sent my email yesterday, I replied to the last email exchange we had where we had set up an 8:30 phone call on June 11. I'll wait to hear from you after you speak with Kim.

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 06/24/08 6:04 PM >>>

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Michelle,

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I look forward to hearing from you.

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>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/10/2008 4:55 PM >>>

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From: Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
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To: Michelle Adler  
Subject: RE: Corrected Email: Retention of DHS OIG Audit/Inspection Reports and Workpapers

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To: Michelle Adler  
Subject: Re: Corrected Email: Retention of DHS OIG

## Audit/Inspection Reports and Workpapers

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## Julie Hunsaker - RE: Corrected Email: Retention ofDHSOIGAudit/InspectionReports andWorkpapers

---

**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 6/26/2008 3:28:57 PM  
**Subject:** RE: Corrected Email: Retention ofDHSOIGAudit/InspectionReports andWorkpapers

---

Thanks for the update. I thought I should mention I'll only be in the office this afternoon until 4:30.

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/25/2008 11:25 AM >>>  
 I hope you feel better. I've talked with Kim. I'm now checking to verify that you will be able to see these workpapers. As I explained, some are paper and others are electronic. More importantly, if any of them related to classified reports, you won't be able to view them. So please stay tuned. I won't know until sometime Thursday.

-----Original Message-----

From: Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
 Sent: Wednesday, June 25, 2008 11:21 AM  
 To: Adler, Michelle  
 Subject: Re: Corrected Email: Retention ofDHSOIGAudit/InspectionReports andWorkpapers

Hi, Michelle.

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From: Julie Hunsaker  
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 Cc: Kim Hurley  
 Sent: Tue Jun 24 17:50:46 2008  
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Michelle,

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From: Julie Hunsaker [<mailto:Julie.Hunsaker@nara.gov>]  
 Sent: Tuesday, June 10, 2008 4:52 PM  
 To: Michelle Adler  
 Subject: RE: Corrected Email: Retention of DHS  
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## Julie Hunsaker - Your Request To Review Workpapers for Report #OIG-07-57: Oversight of Passenger Aircraft Cargo Security Faces Significant Challenges

---

**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** <Julie.Hunsaker@nara.gov>  
**Date:** 6/30/2008 9:58:59 AM  
**Subject:** Your Request To Review Workpapers for Report #OIG-07-57: Oversight of Passenger Aircraft Cargo Security Faces Significant Challenges  
**CC:** "Hurley, Kim" <kim.hurley@dhs.gov>

---

Good morning Julie. The workpapers for OIG Report #07-057 are part of the material you would like to review. But the report was marked Sensitive Secure Information (SSI), which is a security marking controlled by the Transportation Security Administration (TSA). Therefore before you can review the workpapers, we would need to get TSA's approval. Rather than spending the time doing that, we would appreciate if you could select different set of work papers to review.

Also, I am still working with our components to locate the other workpapers you wish to see. Your June 24<sup>th</sup> email (see below) says that you would like to "talk with a subject matter expert, and become more familiar with the specific types of records that can be part of audit work papers." I'm not sure what you mean. If you want to speak with the subject matter expert for the specific workpapers you have selected, then we are talking about multiple persons (who may not necessarily be available when you come to visit). So we can be effective, I'd like to offer the following two alternatives:

- (1) You give us a list of questions now so we can get a sense of what you want to ask.
- (2) You review the workpapers first and then develop specific questions that we can email to the appropriate contact persons after you come here. These persons would then respond to you directly.

Thanks.

Michelle Adler  
 (202) 254-4068

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, June 24, 2008 5:51 PM  
**To:** Michelle Adler  
**Cc:** Kim Hurley  
**Subject:** RE: Corrected Email: Retention of DHSOIG Audit/Inspection Reports and Workpapers

Michelle,

I met with the managing archivists in our stakeholder units to discuss both of DHS's proposals. We agree to change the disposition of the Performance Reports so they are all permanent. We discussed at length DHS's proposed approach to the work papers as well as various other alternate approaches, but did not arrive at a conclusion that we felt would resolve DHS's concerns. We think the best thing to do now would be to set up a site visit. This would give me a chance to review actual audit work papers, talk with a subject matter expert, and become more familiar with the specific types of records that can be part of audit work papers. Having this type of real-world information about the records would help us devise a practical, workable approach to designating which portion of these records should be permanent.

I recognize the DHS OIG's office is working under tight time restraints, therefore I could set something up as early as this Friday morning. Please let me know if this is feasible for your office.



Per your request for a specific list of audits for the site visit, I would be interested in reviewing the work papers of the following audits:

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OIG-07-38: DHS' Progress in Addressing Coordination Challenges Between CBP and ICE

OIG-07-57: TSA's Oversight of Passenger Aircraft Cargo Security Faces Significant Challenges

OIG-08-29: The DHS Process for Nominating Individuals to the Consolidated Terrorist Watchlist

OIG-08-34: FEMA's Preparedness for the Next Catastrophic Disaster

I look forward to hearing from you.

Julie

## Julie Hunsaker - Re: Your Request To Review Workpapers for Report #OIG-07-57: Oversight of Passenger Aircraft Cargo Secu

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**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 6/30/2008 10:24:06 AM  
**Subject:** Re: Your Request To Review Workpapers for Report #OIG-07-57: Oversight of Passenger Aircraft Cargo Secu  
**CC:** Hurley, Kim

---

Hi, Michelle.

I agree there's no need to go to the trouble to contact TSA regarding OIG Report #07-057. I think the other reports on the list will be sufficient. Let's just drop #07-057 from the list.

I like your alternative number 2. Let's go with that.

Thank you for all your hard work in putting this together!

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/30/2008 9:57 AM >>>

Good morning Julie. The workpapers for OIG Report #07-057 are part of the material you would like to review. But the report was marked Sensitive Secure Information (SSI), which is a security marking controlled by the Transportation Security Administration (TSA). Therefore before you can review the workpapers, we would need to get TSA's approval. Rather than spending the time doing that, we would appreciate if you could select different set of work papers to review.

Also, I am still working with our components to locate the other workpapers you wish to see. Your June 24<sup>th</sup> email (see below) says that you would like to "talk with a subject matter expert, and become more familiar with the specific types of records that can be part of audit work papers." I'm not sure what you mean. If you want to speak with the subject matter expert for the specific workpapers you have selected, then we are talking about multiple persons (who may not necessarily be available when you come to visit). So we can be effective, I'd like to offer the following two alternatives:

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- (2) You review the workpapers first and then develop specific questions that we can email to the appropriate contact persons after you come here. These persons would then respond to you directly.

Thanks.

Michelle Adler  
 (202) 254-4068

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, June 24, 2008 5:51 PM  
**To:** Michelle Adler  
**Cc:** Kim Hurley  
**Subject:** RE: Corrected Email: Retention of DHSOIGAudit/InspectionReports andWorkpapers

Michelle,

I met with the managing archivists in our stakeholder units to discuss both of DHS's proposals. We agree to change the disposition of the Performance Reports so they are all permanent. We discussed at length DHS's proposed approach to the work papers as well as various other alternate approaches, but did not arrive at a conclusion that we felt would resolve DHS's concerns. We think the best thing to do now would be to set up a site visit. This would give me a chance to review actual audit work papers, talk with a subject matter expert, and become more familiar with the specific types of records that can be part of audit work papers. Having this type of real-world information about the records would help us devise a practical, workable approach to designating which portion of these records should be permanent.

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I look forward to hearing from you.

Julie

**Julie Hunsaker - RE: Your Request To Review Workpapers for Report #OIG-07-57: Oversight of Passenger Aircraft Cargo Secu**

---

**From:** "Hurley, Kim" <kim.hurley@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/30/2008 10:38:33 AM  
**Subject:** RE: Your Request To Review Workpapers for Report #OIG-07-57: Oversight of Passenger Aircraft Cargo Secu

---

Thank you

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, June 30, 2008 10:24 AM  
**To:** Michelle Adler  
**Cc:** Kim Hurley  
**Subject:** Re: Your Request To Review Workpapers for Report #OIG-07-57: Oversight of Passenger Aircraft Cargo Secu

Hi, Michelle.

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Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/30/2008 9:57 AM >>>

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(202) 254-4068

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**To:** Michelle Adler  
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I look forward to hearing from you.

Julie

## Julie Hunsaker - More on OIG Workpapes

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**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** <Julie.Hunsaker@nara.gov>  
**Date:** 6/30/2008 11:02:17 AM  
**Subject:** More on OIG Workpapes  
**CC:** "Hurley, Kim" <kim.hurley@dhs.gov>

---

Thanks for your response. FYI, I've just been informed that the workpapers for OIG-07-38: DHS' Progress in Addressing Coordination Challenges Between CBP and ICE will not be available until early next week. I'm still awaiting word about the other workpapers. FYI, I am on leave Thursday, July 3 through Monday, July 7. So unless you are willing to make two separate trips here, we may have to wait until sometime next week for you to visit.

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, June 30, 2008 10:24 AM  
**To:** Michelle Adler  
**Cc:** Kim Hurley  
**Subject:** Re: Your Request To Review Workpapers for Report #OIG-07-57: Oversight of Passenger Aircraft Cargo Secu

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**Cc:** Kim Hurley  
**Subject:** RE: Corrected Email: Retention of DHSOIG Audit/Inspection Reports and Workpapers

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I look forward to hearing from you.

Julie

## Julie Hunsaker - Re: More on OIG Workpapers

---

**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 6/30/2008 4:25:32 PM  
**Subject:** Re: More on OIG Workpapers  
**CC:** Hurley, Kim

---

Thanks for the update. It sounds like the best thing to do would be to set something up for the week of July 7. Any afternoon Tues-Thurs would work for me or Friday morning.

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/30/2008 11:01 AM >>>

Thanks for your response. FYI, I've just been informed that the workpapers for OIG-07-38: DHS' Progress in Addressing Coordination Challenges Between CBP and ICE will not be available until early next week. I'm still awaiting word about the other workpapers. FYI, I am on leave Thursday, July 3 through Monday, July 7. So unless you are willing to make two separate trips here, we may have to wait until sometime next week for you to visit.

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**Sent:** Monday, June 30, 2008 10:24 AM  
**To:** Michelle Adler  
**Cc:** Kim Hurley  
**Subject:** Re: Your Request To Review Workpapers for Report #OIG-07-57: Oversight of Passenger Aircraft Cargo Secu

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**Cc:** Kim Hurley  
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I look forward to hearing from you.

Julie

**Julie Hunsaker - Org Charts**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 5/1/2008 8:31 AM  
**Subject:** Org Charts

---

Julie,

I know this has come up several times when we've spoken – I've created a schedule item, I'm just trying to figure out where it fits...

I'll add it as soon as I know, but could you give the item a quick review when you get a chance?

**Organizational Charts/Files**

Organizational charts and studies which provide a detailed description of the arrangement and administrative structure of the Agency; included are proposals, staff evaluations, correspondence relating to the establishment and reorganization of the Agency; mission, functions, and changes in organizational directives; functional statements; delegations of authority, including Headquarters and Component offices; final products and graphs.

- a. Record Copy  
PERMANENT. Cut off at end of fiscal year. Transfer to NARA 20 years after cutoff.
- b. All Other Copies  
TEMPORARY. Cut off when superseded or obsolete. Destroy or delete at cutoff.
- c. Background Information  
TEMPORARY. Cut off when Organizational Chart is approved. Destroy or delete at cutoff.

Thanks!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - Re: Org Charts

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 5/1/2008 8:59 AM  
**Subject:** Re: Org Charts

---

Tammy,

The main question I have about this item is what falls into the Background Information item. The main paragraph describes many types of records, do some of them fall into Background Info item or does "c" cover additional records not described in the main paragraph? Conceptually, I think we'd be open to leaning more towards putting the types of records described in the main paragraph into "a," but we'd have to take a look at them to really be sure.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/1/2008 8:29 AM >>>  
Julie,

I know this has come up several times when we've spoken - I've created a schedule item, I'm just trying to figure out where it fits.

I'll add it as soon as I know, but could you give the item a quick review when you get a chance?

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NAC 2, Room 2207 E (202) 282-8562  
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## Julie Hunsaker - RE: Org Charts

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 5/1/2008 9:17 AM  
**Subject:** RE: Org Charts

---

Okay – I'm still trying to find them. Nobody seems to know where these are kept??!

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, May 01, 2008 9:00 AM  
**To:** Tammy <CTR> Hudson  
**Subject:** Re: Org Charts

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**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** <Brian.Woodall@nara.gov>  
**Date:** Fri, Apr 27, 2007 10:16 AM  
**Subject:** FW: IDMS Schedule Modification

Brian,

Can you address Michelle's concerns...

tlh

---

From: Adler, Michelle [mailto:michelle.adler@dhs.gov]  
Sent: Friday, April 27, 2007 10:02 AM  
To: Hudson, Tammy <CTR>  
Subject: RE: IDMS Schedule Modification

Tammy, let me be clearer. Brian's edit to the media neutral statement doesn't make logical sense (at least not to me). He says that media neutrality DOES NOT apply to Items 1b (Significant files) and 2b (the Master File for the electronic database). I totally understand this for Item 2b since this is the raw data for the electronic system. But I don't understand the rationale for excluding Item 1b. At the meeting, we told Brian that case file information DOES NOT represent a 1-to-1 match with the electronic database. At some point, we plan to convert our paper case files to electronic media. Although the likelihood of having something in 1b is rather remote, it's not clear why media neutrality would not apply.

Also, Brian's revised disposition for Item 2b(2) may be a problem from an operational perspective. I certainly understand why he wants to make electronic info for Significant Cases permanent. But we said only expect one investigation to rise to the level of Significant. Since the electronic entries for any case involve about 200 database screens, I need to verify with the System Administrator that we can actually separate out entries for a few select cases like this.

---

From: Hudson, Tammy <CTR> [mailto:Tammy.Hudson@associates.dhs.gov]  
Sent: Friday, April 27, 2007 7:08 AM  
To: Adler, Michelle  
Cc: Schultz, Kathy  
Subject: RE: IDMS Schedule Modification

Michelle,

The change to the schedule is the electronic portion of the Significant Case Files. What they are doing is ensuring that the electronic record be maintained (by NARA) as well as the hard copy. They chose to have legal custody transferred after 20 years to stay in line with the retention already stated.

I'm not sure what you mean by changing the meaning of the schedule...

Tammy

---

From: Adler, Michelle [mailto:michelle.adler@dhs.gov]  
Sent: Thursday, April 26, 2007 2:16 PM  
To: Hudson, Tammy <CTR>  
Subject: RE: IDMS Schedule Modification

I'm confused by his changes. I think he's changed the meaning of what we've done. Before I go running to our Investigations office, I need to understand the context of what Brian is proposing. Can I contact him directly? If so, I don't have his business card readily available. Do you mind giving me his phone #? Thanks.

---

From: Hudson, Tammy <CTR> [mailto:Tammy.Hudson@associates.dhs.gov]  
Sent: Thursday, April 26, 2007 9:50 AM  
To: Adler, Michelle  
Cc: Schultz, Kathy  
Subject: IDMS Schedule Modification

Michelle,

Brian from NARA just contacted me regarding your schedule. They had a

few minor adjustments they wanted (see attached).

If you agree, then I will let him know. He said that this should get pushed through the process fairly quickly and easily.

---

Tammy

Tammy Hudson

Contractor - DHS Records Management

NAC 2, Room 2207E (202) 282-8562

VTA, Room 10-254 (202) 254-6363

tammy.hudson@associates.dhs.gov



**U.S. Department of Homeland Security  
Office of Inspector General  
Investigative Case Files and Data Management System**

The Homeland Security Act of 2002 provided for the establishment of an Office of Inspector General (OIG) in the Department of Homeland Security (DHS) by amendment to the Inspector General Act of 1978. By this action, Congress and the administration ensured independent and objective audits, inspections and investigations of the Department. The Inspector General is appointed by the President, subject to confirmation by the Senate, and reports directly to the Secretary of DHS and to Congress.

This record system consists of paper investigative files and an electronic case management and tracking information system. These disposition instructions are media neutral (except items 1b and 2b); they apply regardless of the media or format of the records.

**Deleted:** unless otherwise noted.

**1. Investigative 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 relate to DHS personnel and programs and operations administered or financed by DHS, including contractors and others having a relationship with DHS. This includes investigative reports and related documents, such as correspondence, notes, attachments and working papers.

**a. All Investigative Case Files EXCEPT for unusually significant cases covered in Item 1b.**

**Disposition: TEMPORARY.** Cutoff at end of fiscal year in which case is closed. Transfer to Federal Records Center as volume warrants. Destroy 20 years after cutoff.

**b. Significant Investigative Case Files** that (1) involve allegations made against senior DHS officials; (2) attract national media or Congressional attention; or (3) result in substantive changes in DHS policies or procedures. Significant cases will be selected by the Office of the Inspector General based on the above criteria. The disposition of significant investigative files will be determined by the National Archives and Records Administration (NARA).

**Disposition: PERMANENT.** Cutoff at end of fiscal year in which case is closed. When volume warrants, transfer to the Federal Records Center for temporary storage. Transfer to the National Archives for permanent retention 20 years after cutoff.

**Deleted:** Offer

**2. Investigations Data Management System (IDMS)**

The Investigative Data Management System (IDMS) supports the OIG Office of Investigations in its mission to conduct and supervise investigations of alleged violations of criminal, civil or administrative laws and regulations relating to DHS employees, contractors and other individuals and entities associated with DHS. The database is used to process complaints and to manage information provided during investigations. The system allows the OIG to index investigative case information; manage case inventory; track complaint status, disposition and results; and prepare various management and statistical reports. The IDMS also captures investigative property records and special agent training records for Office of Investigation employees.

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**Inserted:** 4/27/2007

**Deleted:** 4/26/2007

The IDMS contains records from 2002 to the present. Historical data is included from the Offices of Inspectors General for three legacy DHS agencies: Department of the Treasury, Department of Justice, and Federal Emergency Management Administration.

**a. Inputs/Source Documents**

Complaints and other investigative information are received by telephone, mail, electronic mail, fax and walk-ins. All complaints and information are assigned a complaint number and the information is entered into the system through an on-line Complaint Data Entry form. Investigative offices make additional entries as information is developed. Also includes keyed entries for investigative property records for all OIG Office of Investigations employees and other investigator related information.

**1) Complaint Data Entry Form and related documentation.**

**Instructions:** After the data has been entered and/or scanned and verified, file incoming source documentation in the appropriate investigative case file. See Investigative Case Files (Items 1a and 1b in this schedule) for disposition.

**2) Investigative property records for all OIG Office of Investigations employees and other investigator related information.**

**Disposition: TEMPORARY.** Delete when superseded or when no longer needed for operational purposes.

**b. Master File/Database Contents**

Electronic Complaint and Investigative Case Information.

Data elements include, but are not limited to the following items: date of complaint, complaint number, names and other identifying information for complainants, witnesses, informants, suspects or other parties involved; matters alleged; and complaint disposition and resulting actions. This information may include scanned images. Files also include modules for data investigative property records and other investigator related information.

**1) Complaint information and related documentation (except for data related to unusually significant cases).**

**Disposition: TEMPORARY.** Cutoff at end of fiscal year in which case is closed. Delete 20 years after cutoff, or when no longer needed for operational purposes, whichever is later.

Deleted:

**2) Significant complaint information and related documentation.**

**Disposition: PERMANENT.** Cutoff at end of fiscal year in which case is closed. Transfer physical custody to NARA 5 years after cutoff. Transfer legal custody to NARA 20 years after cutoff.

Formatted: Bullets and Numbering

**3) Investigative property records for all OIG Office of Investigations employees and other investigator related information.**

**Disposition: TEMPORARY.** Delete when superseded or when no longer needed for operational purposes.

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**c. Outputs**

Management Tracking and other Ad Hoc Reports

Reports include printed or on-line display reports containing lists or summary statistical information concerning investigative caseload, accomplishments, etc.

Deleted: 4/27/2007

Inserted: 4/27/2007

Deleted: 4/26/2007

**Disposition: TEMPORARY.** Destroy when no longer needed for business purposes or place in appropriate file and apply approved disposition for that item.

**Deleted:** 4/27/2007

**Inserted:** 4/27/2007

**Deleted:** 4/26/2007

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** Thu, May 10, 2007 9:00 AM  
**Subject:** RE: FW: IDMS Schedule Modification

Brian,

We use this form for all systems we are scheduling. Unfortunately, this is another one of those items where Michelle was told something that wasn't passed on to you.

In October, she asked if it was necessary for her to complete this. The answer at that time was that it was requested, but wasn't mandatory.

Will not completing this questionnaire stall the finalization of the schedule?

Tammy

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Thursday, May 10, 2007 8:53 AM  
To: Tammy <CTR> Hudson  
Subject: Re: FW: IDMS Schedule Modification

Tammy, I am attaching a slightly different version (20 questions with examples of answers) for your use.

Typically you or the agency Records Officer, the program office people who use the system, and someone knowledgeable about the particulars from the I.T. staff will be able to answer.

brian

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/27/2007 10:14 AM >>>  
Brian,

Can you address Michelle's concerns...

tlh

---

From: Adler, Michelle [mailto:michelle.adler@dhs.gov]  
Sent: Friday, April 27, 2007 10:02 AM  
To: Hudson, Tammy <CTR>  
Subject: RE: IDMS Schedule Modification

Tammy, let me be clearer. Brian's edit to the media neutral statement doesn't make logical sense (at least not to me). He says that media neutrality DOES NOT apply to Items 1b (Significant files) and 2b (the Master File for the electronic database). I totally understand this for Item 2b since this is the raw data for the electronic system. But I don't understand the rationale for excluding Item 1b. At the meeting, we told Brian that case file information DOES NOT represent a 1-to-1 match with the electronic database. At some point, we plan to convert our paper case files to electronic media. Although the likelihood of having something in 1b is rather remote, it's not clear why media neutrality would not apply.

Also, Brian's revised disposition for Item 2b(2) may be a problem from an operational perspective. I certainly understand why he wants to make electronic info for Significant Cases permanent. But we said only expect one investigation to rise to the level of Significant. Since the electronic entries for any case involve about 200 database screens, I need to verify with the System Administrator that we can actually separate out entries for a few select cases like this.

---

From: Hudson, Tammy <CTR> [mailto:Tammy.Hudson@associates.dhs.gov]  
Sent: Friday, April 27, 2007 7:08 AM  
To: Adler, Michelle  
Cc: Schultz, Kathy  
Subject: RE: IDMS Schedule Modification

Michelle,

The change to the schedule is the electronic portion of the Significant Case Files. What they are doing is ensuring that the electronic record be maintained (by NARA) as well as the hard copy. They chose to have legal custody transferred after 20 years to stay in line with the retention already stated.

I'm not sure what you mean by changing the meaning of the schedule...

Tammy

---

From: Adler, Michelle [mailto:michelle.adler@dhs.gov]  
Sent: Thursday, April 26, 2007 2:16 PM  
To: Hudson, Tammy <CTR>  
Subject: RE: IDMS Schedule Modification

I'm confused by his changes. I think he's changed the meaning of what we've done. Before I go running to our Investigations office, I need to understand the context of what Brian is proposing. Can I contact him directly? If so, I don't have his business card readily available. Do you mind giving me his phone #? Thanks.

---

From: Hudson, Tammy <CTR> [mailto:Tammy.Hudson@associates.dhs.gov]  
Sent: Thursday, April 26, 2007 9:50 AM  
To: Adler, Michelle  
Cc: Schultz, Kathy  
Subject: IDMS Schedule Modification

Michelle,

Brian from NARA just contacted me regarding your schedule. They had a few minor adjustments they wanted (see attached).

If you agree, then I will let him know. He said that this should get pushed through the process fairly quickly and easily.

Tammy

Tammy Hudson

Contractor - DHS Records Management

NAC 2, Room 2207E (202) 282-8562

VTA, Room 10-254 (202) 254-6363

tammy.hudson@associates.dhs.gov

**CC:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** Thu, May 10, 2007 1:21 PM  
**Subject:** RE: Re: FW: IDMS Schedule Modification

Brian,

Kathy Schultz and I just spoke about this situation. When Kathy approved the modifications to the OIG - IDMS schedule 5/3/07, we were told that once approval was received the schedule was "good to go". Now you're stating that because of the Permanent disposition on the Significant Case Files, the system questionnaire needs to be completed, and if not, the schedule registration process will be stalled.

As I stated before, Michelle was told in October that this wasn't necessary, and when you met with her in April it wasn't mentioned at that time either.

In order to expedite the process, we are authorizing you to directly contact Michelle on this matter. Her e-mail is michelle.adler@dhs.gov and her phone is 202-254-4068.

Tammy

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Thursday, May 10, 2007 9:07 AM  
To: Tammy <CTR> Hudson  
Subject: Fwd: Re: FW: IDMS Schedule Modification

here it is.....sorry...bw

>>> Brian Woodall 5/10/2007 8:52 AM >>>

Tammy, I am attaching a slightly different version (20 questions with examples of answers) for your use.

Typically you or the agency Records Officer, the program office people who use the system, and someone knowledgeable about the particulars from the I.T. staff will be able to answer.

brian

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/27/2007 10:14 AM >>>  
Brian,

Can you address Michelle's concerns...

tlh



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From: Adler, Michelle [mailto:michelle.adler@dhs.gov]  
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Tammy

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Sent: Thursday, April 26, 2007 9:50 AM  
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Subject: IDMS Schedule Modification

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Brian from NARA just contacted me regarding your schedule. They had a few minor adjustments they wanted (see attached).

If you agree, then I will let him know. He said that this should get pushed through the process fairly quickly and easily.

Tammy

Tammy Hudson

Contractor - DHS Records Management

NAC 2, Room 2207E (202) 282-8562

VTA, Room 10-254 (202) 254-6363

tammy.hudson@associates.dhs.gov

**CC:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>, "Julie Hunsaker" <Julie.Hunsaker@nara.gov>

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 7/17/2008 3:22:34 PM  
**Subject:** FW: DSES PIA

Julie,

Would you mind taking a look at this PIA? I do not really agree that an email system which is simply the hub for moving emails along is a system in need of a PIA. The main focus in the description is on the directory. In the traditional sense, a directory is non record. The email account information is in another location and is covered by the GRS.

Please let me know what you think.

Thanks.

Kathy

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

DHS Core Values: Integrity, Vigilance, and Respect

-----Original Message-----

From: Carrington, Jeffrey <CTR>  
[mailto:Jeffrey.Carrington@associates.dhs.gov]  
Sent: Thursday, July 17, 2008 2:38 PM  
To: Schultz, Kathy  
Subject: FW: DSES PIA

FYI.....

---

From: Kelso, Shannon [mailto:Shannon.Kelso@dhs.gov]  
Sent: Mon 6/23/2008 4:02 PM  
To: Carrington, Jeffrey <CTR>  
Cc: PIA  
Subject: RE: DSES PIA

Jeff,

Attached are my comments to the DSES PIA. The introduction of the PIA is in good shape, and all changes made are improvements on the previous draft. However, major issues are the fact that a retention schedule (approved or proposed) is still absent from this PIA, and also Section 6 (Notice) needs to be completed. Additional comments from the previous version remain outstanding as well.

I'm available for a meeting or teleconference if any clarification is

needed. Additionally, the PIA guidance available at [http://www.dhs.gov/xlibrary/assets/privacy/privacy\\_pia\\_guidance\\_may2007.pdf](http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_guidance_may2007.pdf) explains what information needs to be in the PIA and to what level of specificity.

Please make sure to track changes and respond to comments in the version you send back to me so that we are able to track that issues have been addressed. We cannot review the document if the changes are not tracked.

Thanks

Shannon Kelso

Privacy Office

DHS

(703) 235-0783

---

From: Carrington, Jeffrey <CTR>  
[mailto:Jeffrey.Carrington@associates.dhs.gov]  
Sent: Friday, June 13, 2008 2:08 PM  
To: Kelso, Shannon  
Cc: Drucker, Rachel  
Subject: RE: DSES PIA

Shannon,

Attached is the DSES PIA with all changes incorporated and tracked.  
Thanks again for all your help with this document.

Jeffrey H. Carrington, CISSP

Information Systems Security Officer

Department of Homeland Security

ADEX/DSES Project

[jeffrey.carrington@associates.dhs.gov](mailto:jeffrey.carrington@associates.dhs.gov)

202-447-0358

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From: Kelso, Shannon [mailto:Shannon.Kelso@dhs.gov]  
Sent: Thursday, June 12, 2008 3:31 PM  
To: Carrington, Jeffrey <CTR>  
Subject: FW: DSES PIA

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From: Kelso, Shannon  
Sent: Monday, April 14, 2008 4:09 PM  
To: Carrington, Jeffrey <CTR>  
Cc: PIA  
Subject: RE: DSES PIA

Jeffrey,

Are you able to send me a redlined (tracked changes) version? It takes me much less time to do a thorough review if I can see your responses to my comments rather than having to review the entire document from scratch.

I've attached my last version for your reference.

Shannon Kelso

Privacy Office

DHS

(703) 235-0783

---

From: Carrington, Jeffrey <CTR>  
Sent: Monday, April 14, 2008 3:25 PM  
To: Drucker, Rachel; Kelso, Shannon  
Subject: FW: DSES PIA

Ops.....document now attached.

Jeffrey H. Carrington, CISSP  
Information Systems Security Officer  
Department of Homeland Security  
DSES Project

---

From: Carrington, Jeffrey <CTR>  
Sent: Thursday, April 10, 2008 10:44 AM  
To: Drucker, Rachel  
Cc: Kief, James CTR; Fisher, Michael; Jones, David L.  
Subject: DSES PIA

Hi Rachel,

I know it's been awhile since we've discussed the DSES PIA, but the client has made the changes the privacy office has requested. I am sending this back to you for approval and to post in TAF.

Jeffrey H. Carrington, CISSP  
Information Systems Security Officer  
Department of Homeland Security  
DSES Project

---

From: Drucker, Rachel  
Sent: Monday, March 24, 2008 9:25 AM  
To: Carrington, Jeffrey <CTR>  
Subject: FW: Kathy Schultz

Rachel Drucker, CIPP/G  
Department of Homeland Security  
Privacy Office  
703-235-0763

---

From: Drucker, Rachel  
Sent: Tuesday, March 18, 2008 8:18 PM  
To: Carrington, Jeffrey  
Subject: FW: Kathy Schultz

If her email does not work ([Kathy.Schultz@DHS.GOV](mailto:Kathy.Schultz@DHS.GOV)), here is the general records management email: [DHSRecordsManagement@hq.dhs.gov](mailto:DHSRecordsManagement@hq.dhs.gov)

Kathy Schultz  
DHS Senior Records Officer 7th and D Street SW Washington, DC 20528  
202-447-5075

Rachel Drucker, CIPP/G  
Department of Homeland Security  
Privacy Office  
703-235-0763



**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Wed, Apr 30, 2008 11:40 AM  
**Subject:** Updated DNDO

Schedule has been updated with their changes.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Brescia, Robert [mailto:Robert.Brescia@dhs.gov]  
Sent: Wednesday, April 30, 2008 11:12 AM  
To: Hudson, Tammy <CTR>  
Cc: Bredehoft, Brent  
Subject: RE: NARA Inquiry

Tammy,

Attached is the reply to the your inquiry. We have changed "incidents" to "alarms", as alarms is a better description of the data we seek to archive, and is less inflammatory than the word incident. I have also added the general retention period we would like the data to be stored based off of the Congressional Research Service report for Data Mining and Homeland Security dated 3 April 2008. If you need further assistance with this document, please feel free to call me at the numbers provided below.

Bob Brescia

Robert L. Brescia

Nuclear Assessment Analyst

Joint Analysis Center

Domestic Nuclear Detection Office

Department of Homeland Security

Desk: 202-254-7159 seat 11-051B

Blackberry:202-684-5131

Pager: 800-417-6974

Cell: 910-824-0015

Fax: 202-254-7753

robert.brescia@dhs.gov

---

From: Hudson, Tammy <CTR> [mailto:Tammy.Hudson@associates.dhs.gov]  
Sent: Tuesday, April 29, 2008 9:14 AM  
To: Brescia, Robert  
Subject: RE: NARA Inquiry

Bob,

The attached records disposition schedule was sent to the National Archives for registration. They had questions on Item 4, Nuclear Incident Reports (below):

#### Nuclear Incident Reports

Records related to nuclear incidents. These records provide an understanding of incident conditions, assist in the coordination of response and mitigation decisions, and document the response and performance of responders. These materials may include but are not limited to, Event Notification Reports, Incident Analysis, Response Performance Evaluations, and Material Tracking.

TEMPORARY. Cut off at end of calendar year. Destroy 5 years after cutoff.

CDR Magrino's responses are in blue:

Nuclear Incident Reports must be defined to understand the answer. The word report is probably not accurate. What we are talking about here is data streams based on occupancies in an individual detector. That is, for each detector that is employed, all data collected for that particular occupancy constitutes one report. Depending how a given detector is employed, that may mean that a detector may report several hundred to several thousand incidents a day.

\* Can you explain why the records are maintained for only 5 years?

Given the above utilization, multiplied by thousands of detectors, electronic storage space is our limiting factor. We have assumed that we will have enough space to hold five years worth of data, but we may quickly discover that we may need to update our storage capacity to meet this requirement.

\* Also, do the records contain unique information?

The records will all be unique to that particular screening event.

\* Is it significant?

Not all are significant, but all data will be analyzed for trend analysis and data mining purposes.

\* The issue is that "Nuclear Incident Reports" raises a red flag and we need further explanation as to why these records are temporary.

If incidents rise to a certain level of significance, these incidents will be stored permanently.

Once they received those answers, they had a few more questions on definitions:

\* What is an "occupancy"?

\* What is the "detector" and what is it detecting?

\* What is an "incident"?

Does this help? Let me know if you have any other questions.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Brescia, Robert [mailto:Robert.Brescia@dhs.gov]  
Sent: Tuesday, April 29, 2008 8:45 AM  
To: Hudson, Tammy  
Subject: NARA Inquiry

Tammy,

CDR Magrino has left DNDO, and I have been tasked to follow up on your request. I would like to get the background and context of what he was working on as we may change the term "Incident" to something more appropriate.

Thank you,

Bob

Robert L. Brescia

Nuclear Assessment Analyst

Joint Analysis Center

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Desk: 202-254-7159 seat 11-051B

Blackberry:202-684-5131

Pager: 800-417-6974

Cell: 910-824-0015

Fax: 202-254-7753

robert.brescia@dhs.gov

**From:** Andrea Loisel  
**To:** Hudson, Tammy <CTR>  
**Date:** 5/8/2008 1:13:56 PM  
**Subject:** Re: FW: NARA Inquiry - DNDO

Thanks!

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/8/2008 1:02 PM >>>  
Fyi - we'll get back to you Monday on this...

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Brescia, Robert [<mailto:Robert.Brescia@dhs.gov>]  
Sent: Thursday, May 08, 2008 8:32 AM  
To: Hudson, Tammy <CTR>  
Subject: RE: NARA Inquiry

Tammy,

I am involved with the NLE going on right now and am not in the office again until Monday. I will try to get some time with the COL to sit down and get this out to you as soon as possible, but wanted you to know there would be a delay.

Bob

---

From: Hudson, Tammy <CTR> [<mailto:Tammy.Hudson@associates.dhs.gov>]  
Sent: Thu 5/8/2008 8:12 AM  
To: Brescia, Robert  
Cc: Bredehoft, Brent  
Subject: RE: NARA Inquiry

Bob,

One additional question from NARA:

\* A description of what the Occupancy Data and Alarm Data actually are. They've got a good description of the Meta Data, but could also use an explanation of how Meta Data is different from Occupancy Data and Alarm Data.

Also, I made the modification to the description that you requested. I will send a final copy when we get final draft completed with NARA.

Thanks for your help!

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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Sent: Wednesday, April 30, 2008 11:12 AM  
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Cc: Bredehoft, Brent  
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Nuclear Assessment Analyst  
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[robert.brescia@dhs.gov](mailto:robert.brescia@dhs.gov)

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Tammy Hudson

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NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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Nuclear Assessment Analyst

Joint Analysis Center

Domestic Nuclear Detection Office

Department of Homeland Security

Desk: 202-254-7159 seat 11-051B

Blackberry:202-684-5131

Pager: 800-417-6974

Cell: 910-824-0015

Fax: 202-254-7753

[robert.brescia@dhs.gov](mailto:robert.brescia@dhs.gov)

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Tue, May 20, 2008 6:51 AM  
**Subject:** FW: NARA Inquiry - DNDO

Does this help?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brescia, Robert [mailto:Robert.Brescia@dhs.gov]  
Sent: Tuesday, May 20, 2008 1:28 AM  
To: Hudson, Tammy <CTR>  
Subject: RE: NARA Inquiry

Tammy,

---

Here are the clarifications you asked for-

Occupancy data- Radiation data collected during a single measurement. The detector may store thousands of occupancy measurements. In terms of Portal Monitors, this means there is something in front of the detector, so measure it for radiation. This measurement may or may not "alarm". It is a record of how many times the detector had something in front of it.

Alarm Data- Radiation data collected on a single occupancy that is above the detectors preset thresholds. In terms of Portal Monitors, this means there is something in front of the detector that requires it to take a measurement (Occupancy), and it is above the preset threshold for that detector (Alarm). The alarm data is a reading of energies emitted by the isotope(s) in front of the detector, converted to a readable computer file.

Meta data is any and all data outside alarm data that assists in the adjudication of alarms. In this context we use meta data as shipping manifests, NRC licensing data, vehicle placarding, or any other documentation that can assist in resolving the alarm. Meta data could also consist of geological features, elevation, and atmospheric conditions present at the time of the alarm. Meta data could also consist of longer readings of energy levels of the same isotope(s) by different equipment to assist in resolving the alarm. It will also include after action reviews of performance during real events for any agency involved.

I believe that they are now referring to the event (which I had earlier classified and "ALARM") as a case....but I will need to confirm that. Sorry it took so long to get this back to you, but it was a longgg week. If you need any further clarification let me know and I will get it to you asap. I am working nights this week, so you may not get it until

the next morning.

Bob

Robert L. Brescia  
Nuclear Assessment Analyst  
Joint Analysis Center  
Domestic Nuclear Detection Office  
Department of Homeland Security  
Desk: 202-254-7159 seat 11-051B  
Blackberry: 202-684-5131  
Pager: 800-417-6974  
Cell: 910-824-0015  
Fax: 202-254-7753  
robert.brescia@dhs.gov

-----Original Message-----

From: Hudson, Tammy <CTR> [mailto:Tammy.Hudson@associates.dhs.gov]  
Sent: Monday, May 19, 2008 12:49 PM  
To: Brescia, Robert  
Subject: RE: NARA Inquiry

Have you had a chance to look at this?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brescia, Robert [mailto:Robert.Brescia@dhs.gov]  
Sent: Thursday, May 08, 2008 8:40 AM  
To: Hudson, Tammy <CTR>  
Subject: RE: NARA Inquiry

Sounds good, have a good weekend.

---

From: Hudson, Tammy <CTR> [mailto:Tammy.Hudson@associates.dhs.gov]  
Sent: Thu 5/8/2008 8:35 AM  
To: Brescia, Robert  
Subject: RE: NARA Inquiry

No problem - next week is fine.

Thanks!

Tammy Hudson  
DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brescia, Robert [mailto:Robert.Brescia@dhs.gov]  
Sent: Thursday, May 08, 2008 8:32 AM  
To: Hudson, Tammy <CTR>  
Subject: RE: NARA Inquiry

Tammy,

I am involved with the NLE going on right now and am not in the office again until Monday. I will try to get some time with the COL to sit down and get this out to you as soon as possible, but wanted you to know there would be a delay.

Bob

---

From: Hudson, Tammy <CTR> [mailto:Tammy.Hudson@associates.dhs.gov]  
Sent: Thu 5/8/2008 8:12 AM  
To: Brescia, Robert  
Cc: Bredehoff, Brent  
Subject: RE: NARA Inquiry

Bob,

One additional question from NARA:

\* A description of what the Occupancy Data and Alarm Data actually are. They've got a good description of the Meta Data, but could also use an explanation of how Meta Data is different from Occupancy Data and Alarm Data.

Also, I made the modification to the description that you requested. I will send a final copy when we get final draft completed with NARA.

Thanks for your help!

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Brescia, Robert [mailto:Robert.Brescia@dhs.gov]  
Sent: Wednesday, April 30, 2008 11:12 AM  
To: Hudson, Tammy <CTR>  
Cc: Bredehoft, Brent  
Subject: RE: NARA Inquiry

---

Tammy,

Attached is the reply to the your inquiry. We have changed "incidents" to "alarms", as alarms is a better description of the data we seek to archive, and is less inflammatory than the word incident. I have also added the general retention period we would like the data to be stored based off of the Congressional Research Service report for Data Mining and Homeland Security dated 3 April 2008. If you need further assistance with this document, please feel free to call me at the numbers provided below.

Bob Brescia

Robert L. Brescia

Nuclear Assessment Analyst

Joint Analysis Center

Domestic Nuclear Detection Office

Department of Homeland Security

Desk: 202-254-7159 seat 11-051B

Blackberry:202-684-5131

Pager: 800-417-6974

Cell: 910-824-0015

Fax: 202-254-7753

robert.brescia@dhs.gov

---

From: Hudson, Tammy <CTR> [mailto:Tammy.Hudson@associates.dhs.gov]  
Sent: Tuesday, April 29, 2008 9:14 AM  
To: Brescia, Robert  
Subject: RE: NARA Inquiry

Bob,

The attached records disposition schedule was sent to the National Archives for registration. They had questions on Item 4, Nuclear Incident Reports (below):

#### Nuclear Incident Reports

Records related to nuclear incidents. These records provide an understanding of incident conditions, assist in the coordination of response and mitigation decisions, and document the response and performance of responders. These materials may include but are not limited to, Event Notification Reports, Incident Analysis, Response Performance Evaluations, and Material Tracking.

TEMPORARY. Cut off at end of calendar year. Destroy 5 years after cutoff.

CDR Magrino's responses are in blue:

Nuclear Incident Reports must be defined to understand the answer. The word report is probably not accurate. What we are talking about here is data streams based on occupancies in an individual detector. That is, for each detector that is employed, all data collected for that particular occupancy constitutes one report. Depending how a given



detector is employed, that may mean that a detector may report several hundred to several thousand incidents a day.

- \* Can you explain why the records are maintained for only 5 years?

Given the above utilization, multiplied by thousands of detectors, electronic storage space is our limiting factor. We have assumed that we will have enough space to hold five years worth of data, but we may quickly discover that we may need to update our storage capacity to meet this requirement.

- \* Also, do the records contain unique information?

The records will all be unique to that particular screening event.

- \* Is it significant?

Not all are significant, but all data will be analyzed for trend analysis and data mining purposes.

- \* The issue is that "Nuclear Incident Reports" raises a red flag and we need further explanation as to why these records are temporary.

If incidents rise to a certain level of significance, these incidents will be stored permanently.

Once they received those answers, they had a few more questions on definitions:

- \* What is an "occupancy"?
- \* What is the "detector" and what is it detecting?
- \* What is an "incident"?

Does this help? Let me know if you have any other questions.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Brescia, Robert [mailto:Robert.Brescia@dhs.gov]  
Sent: Tuesday, April 29, 2008 8:45 AM  
To: Hudson, Tammy  
Subject: NARA Inquiry

Tammy,

CDR Magrino has left DNDO, and I have been tasked to follow up on your request. I would like to get the background and context of what he was working on as we may change the term "Incident" to something more appropriate.

Thank you,

Bob

Robert L. Brescia

Nuclear Assessment Analyst

Joint Analysis Center

Domestic Nuclear Detection Office

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Cell: 910-824-0015

Fax: 202-254-7753

[robert.brescia@dhs.gov](mailto:robert.brescia@dhs.gov)

**From:** Andrea Loïselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 5/20/2008 7:05:17 AM  
**Subject:** Re: FW: NARA Inquiry - DNDO

I think so. I'll let you know if I need more.

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/20/2008 6:26 AM >>>  
Does this help?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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Also, I made the modification to the description that you requested. I will send a final copy when we get final draft completed with NARA.

Thanks for your help!

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Tammy Hudson

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NAC 2, Room 2207 E (202) 282-8562

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Robert L. Brescia

Nuclear Assessment Analyst

Joint Analysis Center

Domestic Nuclear Detection Office

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Desk: 202-254-7159 seat 11-051B

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Does this help? Let me know if you have any other questions.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

From: Brescia, Robert [<mailto:Robert.Brescia@dhs.gov>]  
Sent: Tuesday, April 29, 2008 8:45 AM  
To: Hudson, Tammy  
Subject: NARA Inquiry

Tammy,

CDR Magrino has left DNDO, and I have been tasked to follow up on your request. I would like to get the background and context of what he was working on as we may change the term "Incident" to something more appropriate.

Thank you,

Bob

Robert L. Brescia

Nuclear Assessment Analyst

Joint Analysis Center

Domestic Nuclear Detection Office

Department of Homeland Security

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Blackberry:202-684-5131

Pager: 800-417-6974

Cell: 910-824-0015

Fax: 202-254-7753

[robert.brescia@dhs.gov](mailto:robert.brescia@dhs.gov)

**Julie Hunsaker - FW: NARA - S&T Records from BKC**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/5/2008 10:00 AM  
**Subject:** FW: NARA - S&T Records from BKC

---

Julie – do you need anything else?

-tjh

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Shepherd, Dave  
**Sent:** Thursday, June 05, 2008 9:54 AM  
**To:** Hudson, Tammy <CTR>  
**Cc:** Choe, Ivy <CTR>; 'Dave.Shepherd@dhs.gov'  
**Subject:** RE: NARA - S&T Records from BKC

Hello Tammy – here is a record of BKC publications for permanent retention. All are kept in electronic form, and will be transferred in that format. We began producing these in 2006, albeit part way through the year. Many/most of what the BKC produces are classified, and so the number of selections below is rather limited.

**Awareness Bulletins**

Synthetic Biology: A Paradigm Shift for Biological Research, but Challenges Remain (10 pgs.) UCRL-TR-235261 FOUO October 2007

Humans as Disease Vectors Unlikely to Cause a Mass-Casualty Event (17 pgs.) UCRL-TR-235578 FOUO October 2007

Pathogen Isolation Kits: No Advantage for Biological Warfare Agent Acquisition (6 pgs.) UCRL-TR-233296 FOUO August 2007

RNA Interference: No Threat Yet (9 pgs.) UCRL-TR-225582 FOUO October 2006

**Assessments**

Impact of an Aerosol Release of a Biological Agent in an Airplane Cabin Environment Is Difficult to Predict (16 pgs.) LLNL-TR-404121 FOUO May 2008

No Single Piece of Information is Sufficient to Distinguish Intentional Versus Unintentional Outbreaks of Foot-and-Mouth Disease (17 pgs.) LLNL-TR-401834 FOUO March 2008

If you have questions, pls let me know,

DS

**Dave Shepherd**  
 Program Manager  
 DHS Science and Technology  
 202.254.5897

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Wednesday, June 04, 2008 10:04 AM

**To:** Choe, Ivy <CTR>; Shepherd, Dave  
**Subject:** RE: NARA - S&T Record Appraisal Question

Have you had a chance to look at this?

-tlh

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Choe, Ivy <CTR>  
**Sent:** Friday, May 09, 2008 9:00 AM  
**To:** Shepherd, Dave; Hudson, Tammy <CTR>  
**Subject:** FW: NARA - S&T Record Appraisal Question

Dave: Can you please answer the following questions and forward it to Tammy and cc me on it?

Tammy: Please meet Dr. Dave Shepherd (if you haven't before). He is the Program Manager with BKC program in Chem Bio Division (CBD)/Threat Characterization and Attribution Branch (TCA). I talked to him yesterday about this and if you have any questions in regards to the document itself, please feel free to contact him directly and also cc me on it. (I don't support Dave directly but I'm a SETA support for the entire TCA Branch) If you have any other questions (i.e. setting up the document transfer process with NARA), please contact me. Thank you.

- How these records are currently maintained (electronic or hard copy)? Would DHS ultimately transfer these records to NARA - on paper or in electronic format? (They accept both)
- What is the current volume (in terms of what exists right now to-date)?
- What year did DHS begin creating these reports?

V/R,

Ivy Choe

SETA  
 Booz Allen Hamilton  
 Science and Technology Directorate  
 Department of Homeland Security  
[Ivy.choe@associates.dhs.gov](mailto:Ivy.choe@associates.dhs.gov)  
 202-254-6621 (O)  
 202-380-8089 (BB)

---

**From:** Points, Michelle <CTR>  
**Sent:** Thursday, May 08, 2008 12:04 PM  
**To:** Choe, Ivy <CTR>  
**Cc:** Landsberg, Alexandra (Sandy); George, Elizabeth; Hawkins, Natasha <CTR>  
**Subject:** FW: NARA - S&T Record Appraisal Question

Ivy,

National Archives has questions on the Awareness Bulletins and has indicated that they will be retained permanently by the NARA. Could you please respond to this request? And get a process set up for turning these records over to NARA? Thank you.

Regards,

**Michelle Points**

Booz Allen Hamilton

SETA Contractor

DHS S&T

(o) 202-254-6155

(c) 202-262-1575

[michelle.points@associates.dhs.gov](mailto:michelle.points@associates.dhs.gov)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Thursday, May 08, 2008 6:38 AM  
**To:** Hawkins, Natasha <CTR>  
**Cc:** Points, Michelle <CTR>  
**Subject:** RE: NARA - S&T Record Appraisal Question

Natasha,

During the appraisal process, NARA (National Archives) has determined that the Awareness Bulletins and Short Term Assessments meet the requirements for Permanent retention. This means that the record copy of these reports will never be destroyed and will eventually be transferred to NARA for permanent retention.

Because of the change in disposition, NARA has a few additional questions:

- How are these records currently maintained (electronic or hard copy)? Would DHS ultimately transfer these records to NARA - on paper or in electronic format? (They accept both)
- What is the current volume (in terms of what exists right now to-date)?
- What year did DHS begin creating these reports?

NARA may have a few additional questions (e.g., the topics they cover, how DHS decides what topics it will cover, the difference between bulletins and assessments, who reviews these reports and for what purpose, and the definition of "OIA" and "BKC."). Could they contact you directly (by phone) if they need additional information?

Thanks again for all your help. The information you've provided has been invaluable in the appraisal process.

-tlh

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Hawkins, Natasha <CTR>  
**Sent:** Tuesday, April 15, 2008 8:21 AM  
**To:** Hudson, Tammy <CTR>  
**Cc:** Points, Michelle <CTR>  
**Subject:** RE: NARA - S&T Record Appraisal Question

Tammy – I will work on finding additional examples and get back with you.

Thanks!

Natasha Hawkins  
 Support Contractor  
 Chem Bio Division

Science & Technology Directorate  
Department of Homeland Security  
202-254-6021 work  
202-557-6039 cell  
202-254-6164 fax  
EMAIL: [natasha.hawkins@associates.dhs.gov](mailto:natasha.hawkins@associates.dhs.gov)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Tuesday, April 15, 2008 6:26 AM  
**To:** Hawkins, Natasha <CTR>  
**Cc:** Points, Michelle <CTR>  
**Subject:** RE: NARA - S&T Record Appraisal Question

Thanks – this is extremely helpful.

One other request...can I get another sample of an awareness bulletin and 1 or 2 of the short term assessments (both FOUO obviously).

Thanks again!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Hawkins, Natasha <CTR>  
**Sent:** Monday, April 14, 2008 2:40 PM  
**To:** Hudson, Tammy <CTR>  
**Cc:** Points, Michelle <CTR>  
**Subject:** RE: NARA - S&T Record Appraisal Question

Tammy – Per your request, our Biodefense Knowledge Center (BKC) produces Awareness Bulletins that can be either classified or unclassified. Per our discussion earlier, you already have an example of an UNLCASS/FOUO Awareness Bulletin.

After discussion with the BKC PM, regarding the volume of Awareness Bulletins produced, he provided the numbers below on an annual basis.

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**7** Awareness Bulletins, approx half FOUO and half classified (not all topics known at this time)

We also produce Short Term Assessments for OIA. These are similar to Awareness Bulletins except that where Awareness Bulletins are on dual-use technologies (potentially peaceful and/or nefarious uses), Assessments are on topics decided by OIA and BKC together.

**7** Short Term Assessments for OIA - approx half FOUO and half classified (not all topics known at this time)

If you have any additional questions, please let me know.

Thanks!

Natasha Hawkins  
Support Contractor  
Chem Bio Division  
Science & Technology Directorate  
Department of Homeland Security

202-254-6021 work  
202-557-6039 cell  
202-254-6164 fax  
EMAIL: [natasha.hawkins@associates.dhs.gov](mailto:natasha.hawkins@associates.dhs.gov)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Monday, April 14, 2008 9:46 AM  
**To:** Points, Michelle <CTR>  
**Cc:** Winslow, Janett  
**Subject:** NARA - S&T Record Appraisal Question

Good morning,

In the process of completing the appraisal for S&T records, NARA has requested additional information on Bulletins (see below)

Having reviewed one of these now, I think these records may have permanent value. The bulletin you sent me contains substantive information about how DHS carries out its core function. It also likely significantly impacted DHS policies and priorities. However, to be more certain I'd like to review a few more bulletins. Is this possible?

Do you have a sense of the current volume of these bulletins and what the annual accumulation might be?

Can you please supply additional samples of bulletins for NARA's review? Let me know if you have any questions.

-tjh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)



**Julie Hunsaker - Re: FW: NARA - S&T Records from BKC**

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 6/5/2008 4:31 PM  
**Subject:** Re: FW: NARA - S&T Records from BKC  
**CC:** King, Ivan

---

Thanks for the information, Tammy!

As these records will be transferred in electronic format, we will need specifics about the format they are in. This is necessary on our end to determine how best to physically preserve these records. Depending on the format, we may have a number of follow-up technical questions to pass on to DHS. Could you let me know whether these records are in PDF or some other format? That will make our next step much more clear.

I got the sense from the message below that the program office that maintains these records may have assumed that they could not transfer the classified publications to NARA. If this is the case, could you please clarify with them that NARA considers both the classified and unclassified publications to be permanent and covered by this item. We are equipped to handle, process and preserve classified materials and, in fact, have quite a large number of classified records in our holdings. We might need to adjust this item's transfer instructions, however, knowing now that it covers classified records - perhaps by splitting this item into two sub-items (one for unclassified reports that would retain the 10-year transfer period and one for classified reports with a different transfer period determined by DHS). But this is entirely DHS's call.

Regarding the volume, could you please let me know what the volume of these records is in cubic feet if the classified records are also considered (I just need a ballpark figure)? As well as an estimate of the percentage of the volume that is classified versus not classified?

Thank you,

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/5/2008 9:59 AM >>>  
Julie - do you need anything else?

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Shepherd, Dave  
**Sent:** Thursday, June 05, 2008 9:54 AM  
**To:** Hudson, Tammy <CTR>  
**Cc:** Choe, Ivy <CTR>; 'Dave.Shepherd@dhs.gov'  
**Subject:** RE: NARA - S&T Records from BKC

Hello Tammy - here is a record of BKC publications for permanent retention. All are kept in electronic form, and will be transferred in that format. We began producing these in 2006, albeit part way through the year. Many/most of what the BKC produces are classified, and so the number of selections below is rather limited.

## Awareness Bulletins

Synthetic Biology: A Paradigm Shift for Biological Research, but Challenges Remain (10 pgs.) UCRL-TR-235261 FOUO October 2007

Humans as Disease Vectors Unlikely to Cause a Mass-Casualty Event (17 pgs.) UCRL-TR-235578 FOUO October 2007

Pathogen Isolation Kits: No Advantage for Biological Warfare Agent Acquisition (6 pgs.) UCRL-TR-233296 FOUO August 2007

RNA Interference: No Threat Yet (9 pgs.) UCRL-TR-225582 FOUO October 2006

## Assessments

Impact of an Aerosol Release of a Biological Agent in an Airplane Cabin Environment Is Difficult to Predict (16 pgs.) LLNL-TR-404121 FOUO May 2008

No Single Piece of Information is Sufficient to Distinguish Intentional Versus Unintentional Outbreaks of Foot-and-Mouth Disease (17 pgs.) LLNL-TR-401834 FOUO March 2008

If you have questions, pls let me know,

DS

**Dave Shepherd**

Program Manager  
DHS Science and Technology  
202.254.5897

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Wednesday, June 04, 2008 10:04 AM  
**To:** Choe, Ivy <CTR>; Shepherd, Dave  
**Subject:** RE: NARA - S&T Record Appraisal Question

Have you had a chance to look at this?

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Choe, Ivy <CTR>  
**Sent:** Friday, May 09, 2008 9:00 AM  
**To:** Shepherd, Dave; Hudson, Tammy <CTR>  
**Subject:** FW: NARA - S&T Record Appraisal Question

Dave: Can you please answer the following questions and forward it to Tammy and cc me on it?

Tammy: Please meet Dr. Dave Shepherd (if you haven't before). He is the Program Manager with BKC program in Chem Bio Division (CBD)/Threat Characterization and Attribution Branch (TCA). I talked to him yesterday about this and if you have any questions in regards to the document itself, please feel free to contact him directly and also cc me on it. (I don't support Dave directly but I'm a SETA support for the entire TCA Branch) If you have any other questions (i.e. setting up the document transfer process with NARA), please contact me. Thank you.

- How these records are currently maintained (electronic or hard copy)? Would DHS ultimately transfer these records to NARA - on paper or in electronic format? (They accept both)
- What is the current volume (in terms of what exists right now to-date)?

- What year did DHS begin creating these reports?

V/R,

Ivy Choe

SETA  
Booz Allen Hamilton  
Science and Technology Directorate  
Department of Homeland Security  
[Ivy.choe@associates.dhs.gov](mailto:Ivy.choe@associates.dhs.gov)  
202-254-6621 (O)  
202-380-8089 (BB)

---

**From:** Points, Michelle <CTR>  
**Sent:** Thursday, May 08, 2008 12:04 PM  
**To:** Choe, Ivy <CTR>  
**Cc:** Landsberg, Alexandra (Sandy); George, Elizabeth; Hawkins, Natasha <CTR>  
**Subject:** FW: NARA - S&T Record Appraisal Question

Ivy,

National Archives has questions on the Awareness Bulletins and has indicated that they will be retained permanently by the NARA. Could you please respond to this request? And get a process set up for turning these records over to NARA? Thank you.

Regards,

**Michelle Points**  
Booz Allen Hamilton  
SETA Contractor  
DHS S&T  
(o) 202-254-6155  
(c) 202-262-1575  
[michelle.points@associates.dhs.gov](mailto:michelle.points@associates.dhs.gov)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Thursday, May 08, 2008 6:38 AM  
**To:** Hawkins, Natasha <CTR>  
**Cc:** Points, Michelle <CTR>  
**Subject:** RE: NARA - S&T Record Appraisal Question

Natasha,

During the appraisal process, NARA (National Archives) has determined that the Awareness Bulletins and Short Term Assessments meet the requirements for Permanent retention. This means that the record copy of these reports will never be destroyed and will eventually be transferred to NARA for permanent retention.

Because of the change in disposition, NARA has a few additional questions:

- How are these records currently maintained (electronic or hard copy)? Would DHS ultimately transfer these records to NARA - on paper or in electronic format? (They accept both)
- What is the current volume (in terms of what exists right now to-date)?
- What year did DHS begin creating these reports?

NARA may have a few additional questions (e.g., the topics they cover, how DHS decides what topics it will cover, the difference between bulletins and assessments, who reviews these reports and for what purpose, and the definition of "OIA" and "BKC."). Could they contact you directly (by phone) if they need additional information?

Thanks again for all your help. The information you've provided has been invaluable in the appraisal process.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Hawkins, Natasha <CTR>  
**Sent:** Tuesday, April 15, 2008 8:21 AM  
**To:** Hudson, Tammy <CTR>  
**Cc:** Points, Michelle <CTR>  
**Subject:** RE: NARA - S&T Record Appraisal Question

Tammy - I will work on finding additional examples and get back with you.

Thanks!

Natasha Hawkins  
Support Contractor  
Chem Bio Division  
Science & Technology Directorate  
Department of Homeland Security  
202-254-6021 work  
202-557-6039 cell  
202-254-6164 fax  
EMAIL: [natasha.hawkins@associates.dhs.gov](mailto:natasha.hawkins@associates.dhs.gov)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Tuesday, April 15, 2008 6:26 AM  
**To:** Hawkins, Natasha <CTR>  
**Cc:** Points, Michelle <CTR>  
**Subject:** RE: NARA - S&T Record Appraisal Question

Thanks - this is extremely helpful.

One other request.can I get another sample of an awareness bulletin and 1 or 2 of the short term assessments (both FOUO obviously).

Thanks again!

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Hawkins, Natasha <CTR>

**Sent:** Monday, April 14, 2008 2:40 PM  
**To:** Hudson, Tammy <CTR>  
**Cc:** Points, Michelle <CTR>  
**Subject:** RE: NARA - S&T Record Appraisal Question

Tammy - Per your request, our Biodefense Knowledge Center (BKC) produces Awareness Bulletins that can be either classified or unclassified. Per our discussion earlier, you already have an example of an UNLCASS/FOUO Awareness Bulletin.

After discussion with the BKC PM, regarding the volume of Awareness Bulletins produced, he provided the numbers below on an annual basis.

---

7 Awareness Bulletins, approx half FOUO and half classified (not all topics known at this time)

We also produce Short Term Assessments for OIA. These are similar to Awareness Bulletins except that where Awareness Bulletins are on dual-use technologies (potentially peaceful and/or nefarious uses), Assessments are on topics decided by OIA and BKC together.

7 Short Term Assessments for OIA - approx half FOUO and half classified (not all topics known at this time)

If you have any additional questions, please let me know.

Thanks!

Natasha Hawkins  
Support Contractor  
Chem Bio Division  
Science & Technology Directorate  
Department of Homeland Security  
202-254-6021 work  
202-557-6039 cell  
202-254-6164 fax  
EMAIL: [natasha.hawkins@associates.dhs.gov](mailto:natasha.hawkins@associates.dhs.gov)

---

**From:** Hudson, Tammy <CTR>  
**Sent:** Monday, April 14, 2008 9:46 AM  
**To:** Points, Michelle <CTR>  
**Cc:** Winslow, Janett  
**Subject:** NARA - S&T Record Appraisal Question

Good morning,

In the process of completing the appraisal for S&T records, NARA has requested additional information on Bulletins (see below)

Having reviewed one of these now, I think these records may have permanent value. The bulletin you sent me contains substantive information about how DHS carries out its core function. It also likely significantly impacted DHS policies and priorities. However, to be more certain I'd like to review a few more bulletins. Is this possible?

Do you have a sense of the current volume of these bulletins and what the annual accumulation might be?

Can you please supply additional samples of bulletins for NARA's review? Let me know if you have any questions.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>, "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**Date:** 6/11/2008 12:01:05 PM  
**Subject:** FW: Privacy Office Draft Schedule

FYI

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

DHS Core Values: Integrity, Vigilance, and Respect

-----Original Message-----

From: Hawkins, Sandra L.  
Sent: Wednesday, June 11, 2008 9:16 AM  
To: Schultz, Kathy  
Subject: RE: Privacy Office Draft Schedule

We are wide open the week of July 7th. You want to schedule a meeting during that time?

Sandra L. Hawkins, CIPP/G  
Director of Administration  
Privacy Office  
U.S. Department of Homeland Security  
Washington, D.C. 20528  
Direct: (703) 235-0756  
Office: (703) 235-0780  
Fax: (703) 235-0442  
E-mail: Sandra.L.Hawkins@dhs.gov  
Website: www.dhs.gov/privacy

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-----Original Message-----

From: Schultz, Kathy  
Sent: Wednesday, June 11, 2008 9:11 AM  
To: Hawkins, Sandra L.  
Subject: RE: Privacy Office Draft Schedule

Sandy,

Yes, please send dates since I will be out June 18 through 27 and sent

an email to our NARA rep yesterday.

Thanks.

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

DHS Core Values: Integrity, Vigilance, and Respect

-----Original Message-----

From: Hawkins, Sandra L.  
Sent: Wednesday, June 11, 2008 9:08 AM  
To: Schultz, Kathy  
Subject: RE: Privacy Office Draft Schedule

Hi Kathy,

Becky is out of the office the next two weeks and it is imperative that she is present. Can I offer up some dates in mid-July?

Sandra L. Hawkins, CIPP/G  
Director of Administration  
Privacy Office  
U.S. Department of Homeland Security  
Washington, D.C. 20528  
Direct: (703) 235-0756  
Office: (703) 235-0780  
Fax: (703) 235-0442  
E-mail: Sandra.L.Hawkins@dhs.gov  
Website: www.dhs.gov/privacy

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-----Original Message-----

From: Schultz, Kathy  
Sent: Tuesday, June 10, 2008 3:17 PM  
To: Hawkins, Sandra L.  
Subject: RE: Privacy Office Draft Schedule

What does Hugo's schedule look like until the 18th?

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075



DHS Core Values: Integrity, Vigilance, and Respect -----Original Message-----

From: Hawkins, Sandra L.

Sent: Tuesday, June 10, 2008 3:07 PM

To: Hudson, Tammy <CTR>; Richards, Rebecca

Cc: Schultz, Kathy

Subject: RE: Privacy Office Draft Schedule

Hi Tammy,

We need to schedule this meeting. Please give me a call so we can discuss.

Thank you.

Sandy

Sandra L. Hawkins, CIPP/G

Director of Administration

Privacy Office

U.S. Department of Homeland Security

Washington, D.C. 20528

Direct: (703) 235-0756

Office: (703) 235-0780

Fax: (703) 235-0442

E-mail: Sandra.L.Hawkins@dhs.gov

Website: www.dhs.gov/privacy

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-----Original Message-----

From: Hudson, Tammy <CTR>

Sent: Wednesday, May 07, 2008 7:10 AM

To: Richards, Rebecca

Cc: Hawkins, Sandra L.; Schultz, Kathy

Subject: RE: Privacy Office Draft Schedule

Becky,

You're right. Kathy is out today and tomorrow at a COOP exercise.

Hopefully we can set something up for next week? We'll keep you posted.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Richards, Rebecca  
Sent: Tuesday, May 06, 2008 4:01 PM  
To: Hudson, Tammy <CTR>; Schultz, Kathy  
Cc: Hawkins, Sandra L.  
Subject: RE: Privacy Office Draft Schedule

Just a follow up, I think next steps were that your office would coordinate with Privacy Office to set up a meeting between NARA and PRIV regarding PIAs.

Sandy Hawkins is your contact.

Thanks,  
Becky

-----Original Message-----

From: Hudson, Tammy <CTR>  
Sent: Thursday, March 06, 2008 7:27 AM  
To: Richards, Rebecca  
Subject: FW: Privacy Office Draft Schedule

Becky,

Did we ever resolve the issues with the Privacy Office schedule?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Hudson, Tammy <CTR>  
Sent: Thursday, November 15, 2007 8:21 AM  
To: Richards, Rebecca; Schultz, Kathy  
Subject: RE: Privacy Office Draft Schedule

That sounds good. Just to give you a little more background on the decision for the disposition; we originally asked NARA for their opinion - here's the response:

We view these as temporary records. The one caveat is that all System of Record Notices are maintained by NARA via the Federal Register, which is a publication we maintain permanently.

Even though the PIA's are new and mandated by OMB, we still view them as temporary records, albeit with long-term value to agencies. NARA has never tried to actively maintain a historical record of all electronic information systems maintained by agencies - or even of the subset of all electronic information systems that contain information about individuals. I agree with you that a retention period for these records that covers the life of the system makes sense.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Richards, Rebecca  
Sent: Thursday, November 15, 2007 8:12 AM  
To: Hudson, Tammy <CTR>; Schultz, Kathy  
Subject: Re: Privacy Office Draft Schedule

Kathy and Tammy:

In circulating the records retention schedule, Hugo expressed concern about these records not being considered historical by NARA. I explained that Kathy and Ken Mortensen had gone around on this and that was the NARA decision. As such, he asked that we speak after Thanksgiving as he will be in Europe next week.

Becky

-----  
Sent using thumbs please excuse curttness and typos

----- Original Message -----

From: Hudson, Tammy <CTR>  
To: Richards, Rebecca  
Sent: Wed Nov 14 09:01:52 2007  
Subject: RE: Privacy Office Draft Schedule

Attached is the updated schedule. Also, I've attached a copy of the department wide training schedule. I think item 4a will cover the participant records mentioned below.

Let me know if you have any questions.

Tammy

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Richards, Rebecca  
Sent: Saturday, November 10, 2007 8:47 PM  
To: Hudson, Tammy <CTR>  
Cc: Schultz, Kathy; Kropf, John  
Subject: RE: Privacy Office Draft Schedule

Kathy and Tammy:

Sorry, I didn't realize I could respond so quickly. So life of the system plus 5 years is what we would like. In reading the documents, I am not sure what to do with them as it looks like Ken made a bunch of changes that I generally agree with. Are you willing to accept them except this one issue?

Also on a slightly separate point, we want to be able to delete the names of participants in workshops as soon as we have registered them, would that be taken care of this records schedule or elsewhere?

Thanks,

Becky

---

From: Hudson, Tammy <CTR>  
Sent: Tuesday, October 02, 2007 8:35 AM  
To: Richards, Rebecca  
Cc: Schultz, Kathy  
Subject: Privacy Office Draft Schedule

Rebecca,

I had previously been working with Sandy Hawkins on the records disposition schedule for Privacy.

Attached is a copy of the draft we proposed, along with comments made by Ken Mortensen.

There was some discussion on the retention period for these records (Life of the System + x years vs. Permanent retention). We spoke with a NARA representative and they agreed that even though there was long term retention value for the records, they were not considered Permanent; they felt that "life of the system +" would suffice.

We had initially proposed 2 years, but Ken had suggested 5. We are open to either of those, or if there is another suggested retention length, let me know.

Once we receive this information and your approval on any modifications, we will submit the schedule to OGC for review, and then to NARA for registration.

Please let me know if you have any questions.

Thanks!

Tammy

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

## Julie Hunsaker - Re: FW: Privacy Office Draft Schedule

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>; Schultz, Kathy  
**Date:** 6/11/2008 1:17:29 PM  
**Subject:** Re: FW: Privacy Office Draft Schedule

---

Kathy,

Before we set up a meeting about this, could we correspond about the issues via email or have a telecon? Then, if it turns out we can't resolve it that way, we could set up a meeting. My hesitation to begin resolving this by setting up a meeting is based on the idea that the we may be about to set up a meeting that might only last 5 or 10 minutes. I admit I could be wrong about this. Could you help me out by clarifying exactly how complex the issues are?

If we can begin by corresponding about the issues (or having a telecon), it would be helpful for me to understand the rationale behind why DHS (or at least the Privacy Office) recommends these records have permanent value. I could also articulate our position more clearly and supplement it by looking into how other agencies have scheduled these records.

Please let me know what you think.

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 6/11/2008 12:00 PM >>>  
FYI

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

DHS Core Values: Integrity, Vigilance, and Respect

-----Original Message-----

From: Hawkins, Sandra L.  
Sent: Wednesday, June 11, 2008 9:16 AM  
To: Schultz, Kathy  
Subject: RE: Privacy Office Draft Schedule

We are wide open the week of July 7th. You want to schedule a meeting during that time?

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Subject: RE: Privacy Office Draft Schedule

Sandy,

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Thanks.

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

DHS Core Values: Integrity, Vigilance, and Respect

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From: Hawkins, Sandra L.  
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To: Schultz, Kathy  
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Hi Kathy,

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To: Hawkins, Sandra L.  
Subject: RE: Privacy Office Draft Schedule

What does Hugo's schedule look like until the 18th?

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

DHS Core Values: Integrity, Vigilance, and Respect -----Original Message-----

From: Hawkins, Sandra L.  
Sent: Tuesday, June 10, 2008 3:07 PM  
To: Hudson, Tammy <CTR>; Richards, Rebecca  
Cc: Schultz, Kathy  
Subject: RE: Privacy Office Draft Schedule

Hi Tammy,

We need to schedule this meeting. Please give me a call so we can discuss.

Thank you.

Sandy

Sandra L. Hawkins, CIPP/G  
Director of Administration  
Privacy Office  
U.S. Department of Homeland Security  
Washington, D.C. 20528  
Direct: (703) 235-0756  
Office: (703) 235-0780  
Fax: (703) 235-0442  
E-mail: [Sandra.L.Hawkins@dhs.gov](mailto:Sandra.L.Hawkins@dhs.gov)  
Website: [www.dhs.gov/privacy](http://www.dhs.gov/privacy)

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-----Original Message-----

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Sent: Wednesday, May 07, 2008 7:10 AM  
To: Richards, Rebecca  
Cc: Hawkins, Sandra L.; Schultz, Kathy  
Subject: RE: Privacy Office Draft Schedule

Becky,

You're right. Kathy is out today and tomorrow at a COOP exercise.

Hopefully we can set something up for next week? We'll keep you posted.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Richards, Rebecca  
Sent: Tuesday, May 06, 2008 4:01 PM  
To: Hudson, Tammy <CTR>; Schultz, Kathy  
Cc: Hawkins, Sandra L.  
Subject: RE: Privacy Office Draft Schedule

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Sandy Hawkins is your contact.

Thanks,  
Becky

-----Original Message-----

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Sent: Thursday, March 06, 2008 7:27 AM  
To: Richards, Rebecca  
Subject: FW: Privacy Office Draft Schedule

Becky,

Did we ever resolve the issues with the Privacy Office schedule?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

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Cc: Schultz, Kathy; Kropf, John  
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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - RE: FW: Privacy Office Draft Schedule**

---

**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/12/2008 11:55:37 AM  
**Subject:** RE: FW: Privacy Office Draft Schedule  
**CC:** "Tammy <CTR> Hudson" <Tammy.Hudson@associates.dhs.gov>

---

Julie,

I sent your information along to Privacy to let them know your plans. A key person on their team will be out on leave until early July. Let me know when you be ready to set something up.

Thanks.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

*DHS Core Values: Integrity, Vigilance, and Respect*

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, June 11, 2008 1:17 PM  
**To:** Tammy <CTR> Hudson; Kathy Schultz  
**Subject:** Re: FW: Privacy Office Draft Schedule

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Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 6/11/2008 12:00 PM >>>

FYI

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

DHS Core Values: Integrity, Vigilance, and Respect

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Subject: RE: Privacy Office Draft Schedule

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Director of Administration  
Privacy Office  
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Washington, D.C. 20528  
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Office: (703) 235-0780  
Fax: (703) 235-0442  
E-mail: [Sandra.L.Hawkins@dhs.gov](mailto:Sandra.L.Hawkins@dhs.gov)  
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Subject: RE: Privacy Office Draft Schedule

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Department of Homeland Security  
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Thank you.

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Sandra L. Hawkins, CIPP/G

Director of Administration

Privacy Office

U.S. Department of Homeland Security

Washington, D.C. 20528

Direct: (703) 235-0756

Office: (703) 235-0780

Fax: (703) 235-0442

E-mail: [Sandra.L.Hawkins@dhs.gov](mailto:Sandra.L.Hawkins@dhs.gov)

Website: [www.dhs.gov/privacy](http://www.dhs.gov/privacy)

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Cc: Hawkins, Sandra L.; Schultz, Kathy

Subject: RE: Privacy Office Draft Schedule

Becky,

You're right. Kathy is out today and tomorrow at a COOP exercise.

Hopefully we can set something up for next week? We'll keep you posted.

-tlh

Tammy Hudson

DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

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Cc: Hawkins, Sandra L.  
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**From:** Julie Hunsaker  
**To:** Schultz, Kathy  
**Date:** 6/12/2008 12:19:22 PM  
**Subject:** RE: FW: Privacy Office Draft Schedule

Hi, Kathy.

I could set up a telecon at virtually any time. Please let me know what works best on your end.

Julie

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 6/12/2008 11:54 AM >>>  
Julie,

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**CC:** Hudson, Tammy <CTR>

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Ivan King" <Ivan.King@nara.gov>  
**Date:** 6/25/2008 6:57:57 AM  
**Subject:** FW: NARA - S&T Records from BKC

See below...

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

---

From: Shepherd, Dave  
Sent: Tuesday, June 24, 2008 4:44 PM  
To: Hudson, Tammy <CTR>  
Cc: Choe, Ivy <CTR>; 'Dave.Shepherd@dhs.gov'  
Subject: RE: NARA - S&T Records from BKC

Tammy - BKC records are kept in electronic (pdf) format, except for a few copies I keep here in S&T.

The majority of BKC records are classified, so that changes my previous response; I should have asked you that question myself.

NARA is welcome to contact me or to go through you.

DS

Dave Shepherd

Program Manager

DHS Science and Technology

202.254.5897

---

From: Hudson, Tammy <CTR>  
Sent: Tuesday, June 24, 2008 7:49 AM  
To: Shepherd, Dave  
Cc: Choe, Ivy <CTR>; 'Dave.Shepherd@dhs.gov'  
Subject: RE: NARA - S&T Records from BKC

Dave,

Thanks for the information. Just one more question...

What format are these reports maintained (PDF or some other format)?  
Depending on the format, NARA may have a number of follow-up technical questions.

Also, just to clarify, NARA considers both the classified and unclassified publications to be permanent and covered by this item. They are equipped to handle, process and preserve classified materials and, in fact, have quite a large number of classified records in their holdings.

Lastly, if the NARA representative has any further questions, can I have them call you or would you rather they go through me?

Thanks again for your help.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

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From: Shepherd, Dave  
Sent: Thursday, June 05, 2008 9:54 AM  
To: Hudson, Tammy <CTR>  
Cc: Choe, Ivy <CTR>; 'Dave.Shepherd@dhs.gov'  
Subject: RE: NARA - S&T Records from BKC

Hello Tammy - here is a record of BKC publications for permanent retention. All are kept in electronic form, and will be transferred in that format. We began producing these in 2006, albeit part way through the year. Many/most of what the BKC produces are classified, and so the number of selections below is rather limited.

#### Awareness Bulletins

Synthetic Biology: A Paradigm Shift for Biological Research, but Challenges Remain (10 pgs.) UCRL-TR-235261 FOUO October 2007

Humans as Disease Vectors Unlikely to Cause a Mass-Casualty Event (17 pgs.) UCRL-TR-235578 FOUO October 2007

Pathogen Isolation Kits: No Advantage for Biological Warfare Agent Acquisition (6 pgs.) UCRL-TR-233296 FOUO August 2007

RNA Interference: No Threat Yet (9 pgs.) UCRL-TR-225582 FOUO October 2006

#### Assessments

Impact of an Aerosol Release of a Biological Agent in an Airplane Cabin Environment Is Difficult to Predict (16 pgs.) LLNL-TR-404121 FOUO May 2008

No Single Piece of Information is Sufficient to Distinguish Intentional Versus Unintentional Outbreaks of Foot-and-Mouth Disease (17 pgs.) LLNL-TR-401834 FOUO March 2008

If you have questions, pls let me know,

DS

Dave Shepherd

Program Manager

DHS Science and Technology

202.254.5897

---

From: Hudson, Tammy <CTR>  
Sent: Wednesday, June 04, 2008 10:04 AM  
To: Choe, Ivy <CTR>; Shepherd, Dave  
Subject: RE: NARA - S&T Record Appraisal Question

Have you had a chance to look at this?

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

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From: Choe, Ivy <CTR>  
Sent: Friday, May 09, 2008 9:00 AM  
To: Shepherd, Dave; Hudson, Tammy <CTR>  
Subject: FW: NARA - S&T Record Appraisal Question

Dave: Can you please answer the following questions and forward it to Tammy and cc me on it?

Tammy: Please meet Dr. Dave Shepherd (if you haven't before). He is the Program Manager with BKC program in Chem Bio Division (CBD)/Threat Characterization and Attribution Branch (TCA). I talked to him

yesterday about this and if you have any questions in regards to the document itself, please feel free to contact him directly and also cc me on it. (I don't support Dave directly but I'm a SETA support for the entire TCA Branch) If you have any other questions (i.e. setting up the document transfer process with NARA), please contact me. Thank you.

- \* How these records are currently maintained (electronic or hard copy)? Would DHS ultimately transfer these records to NARA - on paper or in electronic format? (They accept both)
- \* What is the current volume (in terms of what exists right now to-date)?
- \* What year did DHS begin creating these reports?

V/R,

Ivy Choe

SETA

Booz Allen Hamilton

Science and Technology Directorate

Department of Homeland Security

Ivy.choe@associates.dhs.gov <mailto:Ivy.choe@associates.dhs.gov>

202-254-6621 (O)

202-380-8089 (BB)

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From: Points, Michelle <CTR>  
Sent: Thursday, May 08, 2008 12:04 PM  
To: Choe, Ivy <CTR>  
Cc: Landsberg, Alexandra (Sandy); George, Elizabeth; Hawkins, Natasha <CTR>  
Subject: FW: NARA - S&T Record Appraisal Question

Ivy,

National Archives has questions on the Awareness Bulletins and has indicated that they will be retained permanently by the NARA. Could you please respond to this request? And get a process set up for turning these records over to NARA? Thank you.

Regards,

Michelle Points

Booz Allen Hamilton

SETA Contractor

DHS S&T

(o) 202-254-6155

(c) 202-262-1575

michelle.points@associates.dhs.gov

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From: Hudson, Tammy <CTR>  
Sent: Thursday, May 08, 2008 6:38 AM  
To: Hawkins, Natasha <CTR>  
Cc: Points, Michelle <CTR>  
Subject: RE: NARA - S&T Record Appraisal Question

Natasha,

During the appraisal process, NARA (National Archives) has determined that the Awareness Bulletins and Short Term Assessments meet the requirements for Permanent retention. This means that the record copy of these reports will never be destroyed and will eventually be transferred to NARA for permanent retention.

Because of the change in disposition, NARA has a few additional questions:

- \* How are these records currently maintained (electronic or hard copy)? Would DHS ultimately transfer these records to NARA - on paper or in electronic format? (They accept both)
- \* What is the current volume (in terms of what exists right now

to-date)?

\* What year did DHS begin creating these reports?

NARA may have a few additional questions (e.g., the topics they cover, how DHS decides what topics it will cover, the difference between bulletins and assessments, who reviews these reports and for what purpose, and the definition of "OIA" and "BKC."). Could they contact you directly (by phone) if they need additional information?

Thanks again for all your help. The information you've provided has been invaluable in the appraisal process.

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

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From: Hawkins, Natasha <CTR>  
Sent: Tuesday, April 15, 2008 8:21 AM  
To: Hudson, Tammy <CTR>  
Cc: Points, Michelle <CTR>  
Subject: RE: NARA - S&T Record Appraisal Question

Tammy - I will work on finding additional examples and get back with you.

Thanks!

Natasha Hawkins

Support Contractor

Chem Bio Division

Science & Technology Directorate

Department of Homeland Security

202-254-6021 work

202-557-6039 cell

202-254-6164 fax

EMAIL: natasha.hawkins@associates.dhs.gov  
<mailto:natasha.hawkins@associates.dhs.gov>

---

From: Hudson, Tammy <CTR>  
Sent: Tuesday, April 15, 2008 6:26 AM  
To: Hawkins, Natasha <CTR>  
Cc: Points, Michelle <CTR>  
Subject: RE: NARA - S&T Record Appraisal Question

Thanks - this is extremely helpful.

One other request...can I get another sample of an awareness bulletin and 1 or 2 of the short term assessments (both FOUO obviously).

Thanks again!

-tlh

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

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From: Hawkins, Natasha <CTR>

Sent: Monday, April 14, 2008 2:40 PM  
To: Hudson, Tammy <CTR>  
Cc: Points, Michelle <CTR>  
Subject: RE: NARA - S&T Record Appraisal Question

Tammy - Per your request, our Biodefense Knowledge Center (BKC) produces Awareness Bulletins that can be either classified or unclassified. Per our discussion earlier, you already have an example of an UNLCASS/FOUO Awareness Bulletin.

After discussion with the BKC PM, regarding the volume of Awareness Bulletins produced, he provided the numbers below on an annual basis.

7 Awareness Bulletins, approx half FOUO and half classified (not all topics known at this time)

We also produce Short Term Assessments for OIA. These are similar to Awareness Bulletins except that where Awareness Bulletins are on dual-use technologies (potentially peaceful and/or nefarious uses), Assessments are on topics decided by OIA and BKC together.

7 Short Term Assessments for OIA - approx half FOUO and half classified (not all topics known at this time)

If you have any additional questions, please let me know.

Thanks!

Natasha Hawkins

Support Contractor

Chem Bio Division

Science & Technology Directorate

Department of Homeland Security

202-254-6021 work

202-557-6039 cell

202-254-6164 fax

EMAIL: natasha.hawkins@associates.dhs.gov  
<mailto:natasha.hawkins@associates.dhs.gov>

---

From: Hudson, Tammy <CTR>  
Sent: Monday, April 14, 2008 9:46 AM  
To: Points, Michelle <CTR>  
Cc: Winslow, Janett  
Subject: NARA - S&T Record Appraisal Question

Good morning,

In the process of completing the appraisal for S&T records, NARA has requested additional information on Bulletins (see below)

Having reviewed one of these now, I think these records may have permanent value. The bulletin you sent me contains

substantive information about how DHS carries out its core function. It also likely significantly impacted DHS policies and

priorities. However, to be more certain I'd like to review a few more bulletins. Is this possible?

Do you have a sense of the current volume of these bulletins and what the annual accumulation might be?

Can you please supply additional samples of bulletins for NARA's review? Let me know if you have any questions.

-tlh

Tammy Hudson



DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

**CC:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Fri, Mar 7, 2008 10:25 AM  
**Subject:** RE: N1-563-08-13

I don't have an answer for #2 yet, but figured I'd send what I had.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Monday, February 25, 2008 4:06 PM  
To: Hudson, Tammy  
Subject: N1-563-08-13

Tammy,

Attached are some revisions on the Communications Monitoring schedule (N1-563-08-13).

I'm working through the appraisal and have a few more questions:

1. On item 1, two questions regarding the disposition instruction:

a. When will the 5 year intervals start? Or rather, when will the first evaluation take place?

First assessment reports received September 2006

b. What is the criteria for determining whether or not to extend retention?

Criteria for extending retention based on relevance of original assessment target and or follow on assessments of same that supersede original.

2. Items 3 & 4: What is the nature of the investigative information?

We're trying to distinguish how these two items would be different from FOIA records (although we do understand that they are). I suppose the real question is what investigative information does this office have? I also wonder if this might not be a "record common to all" if multiple offices create the same types of records.

3. Items 6 and 8: Can these fall under the category of "records common to all"?

4. Item 7: Can you explain why the records are maintained for only 5 years? Also, do the records contain unique information? Is it significant? The issue is that "Nuclear Incident Reports" raises a red flag and we need further explanation as to why these records are temporary.

Nuclear Incident Reports must be defined to understand the answer. The

word report is probably not accurate. What we are talking about here is data streams based on occupancies in an individual detector. That is, for each detector that is employed, all data collected for that particular occupancy constitutes one report. Depending how a given detector is employed, that may mean that a detector may report several hundred to several thousand incidents a day.

Can you explain why the records are maintained for only 5 years? Given the above utilization, multiplied by thousands of detectors, electronic storage space is our limiting factor. We have assumed that we will have enough space to hold five years worth of data, but we may quickly discover that we may need to update our storage capacity to meet this requirement.

Also, do the records contain unique information?

The records will all be unique to that particular screening event. Is it significant? Not all are significant, but all data will be analyzed for trend analysis and data mining purposes. The issue is that "Nuclear Incident Reports" raises a red flag and we need further explanation as to why these records are temporary. If incidents rise to a certain level of significance, these incidents will be stored permanently.

Also, Julie suggested that you should start keeping a list of authorities that will be affected by the National Incident schedule. It will be in everyone's best interest if DHS can identify known authorities that might contain records that should be permanent if they relate to national incidents.

Thanks,  
Andrea

**From:** Andrea Loiselle  
**To:** Hudson, Tammy <CTR>  
**Date:** 3/31/2008 8:01:29 AM  
**Subject:** RE: N1-563-08-13

Thanks!

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/31/2008 7:57 AM >>>  
I'm still working on this, but here are some updates...

The answer to #1 is yes, the first evaluation will take place in 2011.

I'll change the title to #4 and send it later this week along with deleting those two investigative file items from the schedule. I spoke to the person that is responsible for that area, and he stated he didn't have that type of record. Apparently, when they were creating the schedule, they took some old information and drafted a schedule for review and those items were not removed.

Lastly, I sent the other question for definitions to the contact and haven't heard back. I tried to follow today and received a message that the mailbox was full, so apparently, he's been out.

I'll keep you updated. I'm out of the office most of today and tomorrow so I'll get this info back to you Wednesday along with the Public Affair modifications.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loiselle [<mailto:Andrea.Pugsley@nara.gov>]  
Sent: Tuesday, March 11, 2008 10:29 AM  
To: Tammy <CTR> Hudson  
Subject: RE: N1-563-08-13

Tammy,

Thanks! I just have some questions for clarification of the responses.

1. Am I correct to assume that since the records were first created in 2006, that the first evaluation ("Evaluate for retention at 5 year intervals") will take place in 2011?

4. I need some terms defined in order to understand the response: What is an "occupancy"? What is the "detector" and what is it detecting? What is an "incident"?

Also, given the response relating to item 7 (Nuclear Incident Reports) that "report" isn't necessarily an accurate term, would it be possible

to change the title of item 4 to something more accurate?

I'm still waiting for the response on question 2, and could you send me a revised version of the SF-115, once you've finished making changes (i.e. if you're going to change the name of item 7), so I can see if we've got the schedule finalized?

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <[Tammy.Hudson@associates.dhs.gov](mailto:Tammy.Hudson@associates.dhs.gov)> 3/7/2008 10:24 AM >>>

I don't have an answer for #2 yet, but figured I'd send what I had.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

-----Original Message-----

From: Andrea Loisel [mailto:[Andrea.Pugsley@nara.gov](mailto:Andrea.Pugsley@nara.gov)]  
Sent: Monday, February 25, 2008 4:06 PM  
To: Hudson, Tammy  
Subject: N1-563-08-13

Tammy,

Attached are some revisions on the Communications Monitoring schedule (N1-563-08-13).

I'm working through the appraisal and have a few more questions:

1. On item 1, two questions regarding the disposition instruction:

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First assessment reports received September 2006

b. What is the criteria for determining whether or not to extend retention?

Criteria for extending retention based on relevance of original assessment target and or follow on assessments of same that supersede original.

2. Items 3 & 4: What is the nature of the investigative information?

We're trying to distinguish how these two items would be different from

FOIA records (although we do understand that they are). I suppose the real question is what investigative information does this office have?

I also wonder if this might not be a "record common to all" if multiple offices create the same types of records.

3. Items 6 and 8: Can these fall under the category of "records common to all"?

4. Item 7: Can you explain why the records are maintained for only 5 years? Also, do the records contain unique information? Is it significant? The issue is that "Nuclear Incident Reports" raises a red flag and we need further explanation as to why these records are temporary.

Nuclear Incident Reports must be defined to understand the answer. The word report is probably not accurate. What we are talking about here is data streams based on occupancies in an individual detector. That is, for each detector that is employed, all data collected for that particular occupancy constitutes one report. Depending how a given detector is employed, that may mean that a detector may report several hundred to several thousand incidents a day.

Can you explain why the records are maintained for only 5 years? Given the above utilization, multiplied by thousands of detectors, electronic storage space is our limiting factor. We have assumed that we will have enough space to hold five years worth of data, but we may quickly discover that we may need to update our storage capacity to meet this requirement.

Also, do the records contain unique information? The records will all be unique to that particular screening event. Is it significant? Not all are significant, but all data will be analyzed for trend analysis and data mining purposes. The issue is that "Nuclear Incident Reports" raises a red flag and we need further explanation as to why these records are temporary. If incidents rise to a certain level of significance, these incidents will be stored permanently.

Also, Julie suggested that you should start keeping a list of authorities that will be affected by the National Incident schedule. It will be in everyone's best interest if DHS can identify known authorities that might contain records that should be permanent if they relate to national incidents.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** 7/8/2008 7:37:19 AM  
**Subject:** RE: N1-563-08-20, Risk Management and Analysis (RMA) ProgramRecords

Brian,

I made the suggested change to the disposition for the Risk Assessment, but not the SOP.

The SOP that is listed on this schedule does not contain the permanent policy record, but internal program policy. This record type is also listed on the Records Common to All DHS wide schedule, but RMA wanted a longer retention than the common schedule item. As to the wording of the disposition, this is the same format used on the Common schedule and we'd like to keep that information uniform.

As to the Steering Committee, these records will be covered under the agency wide schedule for committees that Ivan King is working on.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Monday, July 07, 2008 8:50 AM  
To: Tammy <CTR> Hudson  
Subject: Fwd: N1-563-08-20, Risk Management and Analysis (RMA) ProgramRecords

Are the records of the "Risk Steering Committee" (per DHS website) included in the scheduled items?

>>> Brian Woodall 7/7/2008 8:29 AM >>>  
I forgot, i follow-up.

Item 3, talks about procedures and policies of this program...can the program people explain why this would not be potentially permanent?

>>> Brian Woodall 7/7/2008 8:24 AM >>>  
Good morning Tammy, per my telephone message to you this morning. I suggest the following changes be made to the disposition instructions.

brian

Disposition 1: Cut off in (FY/CY) document created.....

Disposition 2: Cut off in CY assessment completed.....

Disposition 3: Cut off in (FY/CY) SOP replaced.....

also, according to my reading of the proposed schedule, it appears these records are specific to this office rather than "Common To All"?

thanx

BRIAN T. WOODALL, Archives Specialist  
Life Cycle Management Division  
National Archives and Records Administration  
8601 Adelphi Road  
College Park, MD 20740-6001  
V: 301.837.1574. F: 301.837.3698  
E-mail: [brian.woodall@nara.gov](mailto:brian.woodall@nara.gov)



**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>  
**Date:** 7/14/2008 8:04:33 AM  
**Subject:** FW: N1-563-08-20, Risk Management and Analysis (RMA)ProgramRecords

This is all set with us.

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Ford Page, Sandy  
Sent: Monday, July 14, 2008 7:42 AM  
To: Hudson, Tammy <CTR>  
Subject: RE: N1-563-08-20, Risk Management and Analysis  
(RMA)ProgramRecords

No objection.

Thanks  
Sandy

"Warning: This communication, along with any attachments, is covered by federal and state law governing electronic communications and may contain confidential and legally privileged information such as found under 49 CFR 1520 or the Privacy Act of 1974. It should not be communicated to any person, or agency, unless disclosure is in performance of official DHS duties and there exists a valid need to know. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution, use or copying of this message is strictly prohibited. If you have received this in error, please reply immediately to the sender and delete this message. Thank you."

-----Original Message-----

From: Hudson, Tammy <CTR>  
Sent: Monday, July 14, 2008 6:39 AM  
To: Ford Page, Sandy  
Subject: FW: N1-563-08-20, Risk Management and Analysis  
(RMA)ProgramRecords

Sandy,

Can you look at this quickly. I think it looks okay, but want to make sure you have no objections. If you could do it today or tomorrow, that would be great. Next Tuesday is my last day with DHS, so I'm trying to wrap things up.

Thanks!

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]

Sent: Saturday, July 12, 2008 2:09 PM

To: Tammy <CTR> Hudson

Subject: RE: N1-563-08-20, Risk Management and Analysis (RMA)ProgramRecords

Good afternoon Tammy,

Attached is my draft of a preliminary appraisal report. Do you (and program officials) agree that this information is accurate or not?

thanking you in advance,  
brian

BRIAN T. WOODALL, Archives Specialist  
Life Cycle Management Division  
National Archives and Records Administration  
8601 Adelphi Road  
College Park, MD 20740-6001  
V: 301.837.1574. F: 301.837.3698  
E-mail: brian.woodall@nara.gov

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 7/8/2008  
7:36 AM >>>  
Brian,

I made the suggested change to the disposition for the Risk Assessment,  
but not the SOP.

The SOP that is listed on this schedule does not contain the permanent policy record, but internal program policy. This record type is also listed on the Records Common to All DHS wide schedule, but RMA wanted a longer retention than the common schedule item. As to the wording of the disposition, this is the same format used on the Common schedule and we'd like to keep that information uniform.

As to the Steering Committee, these records will be covered under the agency wide schedule for committees that Ivan King is working on.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Monday, July 07, 2008 8:50 AM  
To: Tammy <CTR> Hudson  
Subject: Fwd: N1-563-08-20, Risk Management and Analysis (RMA)  
ProgramRecords

Are the records of the "Risk Steering Committee" (per DHS website) included in the scheduled items?

>>> Brian Woodall 7/7/2008 8:29 AM >>>  
I forgot, i follow-up.

Item 3, talks about procedures and policies of this program...can the program people explain why this would not be potentially permanent?

>>> Brian Woodall 7/7/2008 8:24 AM >>>  
Good morning Tammy, per my telephone message to you this morning. I suggest the following changes be made to the disposition instructions.

brian

Disposition 1: Cut off in (FY/CY) document created.....

Disposition 2: Cut off in CY assessment completed.....

Disposition 3: Cut off in (FY/CY) SOP replaced.....

also, according to my reading of the proposed schedule, it appears these records are specific to this office rather than "Common To All"?

thanx

BRIAN T. WOODALL, Archives Specialist  
Life Cycle Management Division  
National Archives and Records Administration  
8601 Adelphi Road  
College Park, MD 20740-6001  
V: 301.837.1574. F: 301.837.3698  
E-mail: brian.woodall@nara.gov

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Fri, Jan 11, 2008 10:37 AM  
**Subject:** RE: SAFECOM

I think I understand the confusion. The S&T program schedule (which Ivan has) - Item 8 covered the actual survey. The survey report we had designated as a Publication, which is covered under item 1 - which call for 1 copy of the publication to be Permanent.

I've attached the schedule. Let me know if this makes sense...

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Friday, January 11, 2008 10:26 AM  
To: Hudson, Tammy  
Subject: SAFECOM

Tammy,

We're having some holdups on my end with the SAFECOM schedule. One of my earlier messages had asked about whether or not the report from SAFECOM was scheduled or not, and you had replied that it doesn't exist.

I found a survey report, however, online at  
[http://www.safecomprogram.gov/SAFECOM/library/background/1295\\_2006national.htm](http://www.safecomprogram.gov/SAFECOM/library/background/1295_2006national.htm)

which is what I used to help with the appraisal. NARA's electronic records custodial unit wants the survey report, but doesn't feel the survey data itself should be permanent. The question remains as to whether or not the SAFECOM survey report is scheduled. It may be covered under some more general schedule item, which is fine, but I will need to know what that item is. We may revert to the survey data being temporary, but if the report is unscheduled, it will have to be added.

Thanks for your help and sorry for the flip-flopping,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Tue, Jan 22, 2008 7:27 AM  
**Subject:** RE: SAFECOM

Makes perfect sense - here's the updated version...

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Friday, January 18, 2008 9:07 AM  
To: Hudson, Tammy  
Subject: SAFECOM

Our electronic records custodial unit has indicated that they do not feel the SAFECOM master file is permanent, so we're going to revert to the original temporary disposition. So, I need a new copy of that schedule with a few revisions.

As we discussed before, the last sentence of the description ("At the end of three years....") should be deleted.

We also want to clarify the disposition instructions. The original instructions for the temporary disposition were to "Cut off at date of final survey or non-recertification of system, whichever is later. Destroy or delete 3 years after cutoff." My initial question is: is it possible to have the date of final survey be later than non-recertification? If the system was not recertified, wouldn't that be the end of the system, regardless if there is a survey in process? I'm just wondering if it wouldn't be more clear to just state that the cutoff is upon non-recertification of the system. Presumably, if there are no more surveys planned, the system will be shut down and won't be recertified. If there is a desire to be able to cutoff the system upon completion of the survey, but the system is not due for recertification for a few years, then the cutoff could be "Cut off upon completion of the final survey or non-recertification, whichever is sooner." (The instructions would also be clearer if instead of saying "date of final survey," saying "completion of the final survey".)

My concern with the current instructions is the latter version of events, where the surveys end but the system is still certified and won't be recertified for a few years. Under the current language, the system would still have to be maintained until non-recertification, before it could be cut off, because that would be the later date. This might not be a problem, but then the cutoff would always be upon non-recertification anyway.

Sorry that this is taking so long. Please let me know if you have any questions.

Thanks,  
Andrea

Andrea Pugsley Loiselle  
Records Analyst  
Lifecycle Management Division (NWML)  
National Archives and Records Administration-College Park  
8601 Adelphi Road, Rm. 2100  
College Park, MD 20740  
(301) 837-1684

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Wed, Oct 24, 2007 1:34 PM  
**Subject:** RE: N1-563-07-18

Okay - we'll make the modification. Ivan had also mentioned this when he was here last week (we had scheduled the survey information under the program records).

I'll make the modification to both, and resubmit that information this week.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, October 24, 2007 1:26 PM  
To: Hudson, Tammy; Schultz, Kathy  
Subject: N1-563-07-18

Kathy and Tammy,

I have been reviewing the schedule and background information for the SAFECOM Baseline Searchable Database System and believe that the master file should be scheduled as permanent. The records have potential research value and document significant decision-making activities relating to the mission of DHS. The final report summarizing the data from the survey should also be scheduled as permanent. As far as we could tell, this report is not scheduled elsewhere.

I would recommend transferring a copy of the records to NARA immediately upon finalization of the data from each survey. DHS can maintain a copy for their business use for as long as necessary (i.e. three years after the date of the final survey). NARA's accessioning policy for electronic records is such that legal custody of the records is not assumed (the SF-258 is not signed) until the records have been preserved and validated, therefore agencies are required to maintain their own copy of the data until legal custody is transferred anyway. By transferring the records as soon as possible it is more likely that we can ensure their preservation.

Please feel free to contact me if you have any questions and let me know if DHS is agreeable to making this change to the schedule.

Thanks,  
Andrea

**CC:** "Ivan King" <Ivan.King@nara.gov>, "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>



**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Thu, Oct 11, 2007 1:46 PM  
**Subject:** RE: Additional questions re: job no. N1-563-07-18

Andrea,

You're right. Actually, that statement should have been pulled. The disposition for the records of destroying the information 3 years after the last survey or non-recertification is correct.

And the DHS policy is the attached Accreditation Letter.

Sorry for the confusion - let me know if there's anything else.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Thursday, October 11, 2007 11:47 AM  
To: Hudson, Tammy; Schultz, Kathy  
Subject: Additional questions re: job no. N1-563-07-18

Kathy and Tammy,

I have some additional questions about the schedule for the SAFECOM database (job no. N1-563-07-18).

We are a little confused by the disposition instructions. Presumably, if the system is not recertified, the data cannot be kept in the system, yet it is supposed to be retained for 3 years. This also relates to the last sentence of the description: "At the end of three years if it is determined the system is no longer needed, then it will be taken off-line and the data destroyed per DHS policy." This statement would seem to indicate that the data will be destroyed when no longer needed (at the end of the authorization period). How will the data be retained for the 3 year retention period after the system no longer exists, whether it be because of non-recertification or the completion of the final survey? Also, what exactly does the DHS policy referenced for data destruction say?

I appreciate your assistance with this.

Thanks,  
Andrea

Andrea Pugsley Loiselle  
Records Analyst  
Lifecycle Management Division (NWML)  
National Archives and Records Administration-College Park  
8601 Adelphi Road, Rm. 2100

College Park, MD 20740  
(301) 837-1684

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Wed, Nov 28, 2007 8:19 AM  
**Subject:** RE: SAFECOM (Job No. N1-563-07-18)

That's fine - do you need us to modify it and send it back?

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, November 28, 2007 8:17 AM  
To: Hudson, Tammy; Schultz, Kathy  
Cc: Julie Hunsaker  
Subject: SAFECOM (Job No. N1-563-07-18)

Kathy and Tammy,

Our management has required that we strike the last sentence in the description on the SAFECOM schedule ("At the end of three years if it is determined the system is no longer needed, then it will be taken off line and the data destroyed per DHS policy.") The reason for this is that all disposition information should be handled in the body of the SF-115, not in the overarching description area.

Please let me know if you have any questions.

Thanks,  
Andrea

Andrea Pugsley Loiselle  
Records Analyst  
Lifecycle Management Division (NWML)  
National Archives and Records Administration-College Park  
8601 Adelphi Road, Rm. 2100  
College Park, MD 20740  
(301) 837-1684

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** 11/27/2007 8:29:13 AM  
**Subject:** FW: SAFECOM Baseline Searchable Database System - Updated Schedule

Andrea,

Attached is the updated Safecom schedule. There are no final reports from the data, so we are removing that information. All other information is GRS, so all that will show on the attachment is the Master File data with the revised cutoffs.

Let me know if there's anything else.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

---

From: Harris, Daniel <CTR>  
Sent: Tuesday, November 27, 2007 8:24 AM  
To: Hudson, Tammy <CTR>  
Subject: SAFECOM Baseline Searchable Database System - Updated Schedule

Here is the current version.

Please let me know if there are additional changes to make.

Thanks

<<SAFECOM Baseline Searchable Database System 11-27-2007.snp>>

Daniel J. Harris  
Contractor - DHS Records Management  
Nebraska Avenue Complex (NAC)  
Building 2, Room 2207C  
202-282-8515  
Daniel.Harris@associates.dhs.gov

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loisel" <Andrea.Pugsley@nara.gov>  
**Date:** Wed, Oct 24, 2007 1:34 PM  
**Subject:** RE: N1-563-07-18

Okay - we'll make the modification. Ivan had also mentioned this when he was here last week (we had scheduled the survey information under the program records).

I'll make the modification to both, and resubmit that information this week.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loisel [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, October 24, 2007 1:26 PM  
To: Hudson, Tammy; Schultz, Kathy  
Subject: N1-563-07-18

Kathy and Tammy,

I have been reviewing the schedule and background information for the SAFECOM Baseline Searchable Database System and believe that the master file should be scheduled as permanent. The records have potential research value and document significant decision-making activities relating to the mission of DHS. The final report summarizing the data from the survey should also be scheduled as permanent. As far as we could tell, this report is not scheduled elsewhere.

I would recommend transferring a copy of the records to NARA immediately upon finalization of the data from each survey. DHS can maintain a copy for their business use for as long as necessary (i.e. three years after the date of the final survey). NARA's accessioning policy for electronic records is such that legal custody of the records is not assumed (the SF-258 is not signed) until the records have been preserved and validated, therefore agencies are required to maintain their own copy of the data until legal custody is transferred anyway. By transferring the records as soon as possible it is more likely that we can ensure their preservation.

Please feel free to contact me if you have any questions and let me know if DHS is agreeable to making this change to the schedule.

Thanks,  
Andrea

**CC:** "Ivan King" <Ivan.King@nara.gov>, "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Thu, Oct 11, 2007 1:46 PM  
**Subject:** RE: Additional questions re: job no. N1-563-07-18

Andrea,

You're right. Actually, that statement should have been pulled. The disposition for the records of destroying the information 3 years after the last survey or non-recertification is correct.

And the DHS policy is the attached Accreditation Letter.

Sorry for the confusion - let me know if there's anything else.

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

**From:** Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
**Sent:** Thursday, October 11, 2007 11:47 AM  
**To:** Hudson, Tammy; Schultz, Kathy  
**Subject:** Additional questions re: job no. N1-563-07-18

Kathy and Tammy,

I have some additional questions about the schedule for the SAFECOM database (job no. N1-563-07-18).

We are a little confused by the disposition instructions. Presumably, if the system is not recertified, the data cannot be kept in the system, yet it is supposed to be retained for 3 years. This also relates to the last sentence of the description: "At the end of three years if it is determined the system is no longer needed, then it will be taken off-line and the data destroyed per DHS policy." This statement would seem to indicate that the data will be destroyed when no longer needed (at the end of the authorization period). How will the data be retained for the 3 year retention period after the system no longer exists, whether it be because of non-recertification or the completion of the final survey? Also, what exactly does the DHS policy referenced for data destruction say?

I appreciate your assistance with this.

Thanks,  
Andrea

Andrea Pugsley Loiselle  
Records Analyst  
Lifecycle Management Division (NWML)  
National Archives and Records Administration-College Park  
8601 Adelphi Road, Rm. 2100

College Park, MD 20740  
(301) 837-1684



**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** 10/3/2007 6:43:16 AM  
**Subject:** RE: N1-563-07-18

Andrea,

I'll get the data field information and forward it.

As to your other question, the plan is to conduct this survey every 2 years in add that data to the system.

Let me know if you need anything else.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Tuesday, October 02, 2007 3:25 PM  
To: Hudson, Tammy; Schultz, Kathy  
Subject: N1-563-07-18

Kathy and Tammy,

I have taken over the appraisal of the schedule for the SAFECOM Baseline Searchable Database System from Brian Woodall. Could you please send me some additional information on this system, including the data fields? Also, was the National Interoperability Baseline Survey (from which the data comes) a one-time survey? If the survey is repeated, will the survey data go into the SAFECOM system as well?

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Brian Woodall" <Brian.Woodall@nara.gov>, "Tammy <CTR> Hudson" <Tammy.Hudson@associates.dhs.gov>  
**Date:** 9/20/2007 11:06:29 AM  
**Subject:** RE: N1-563-07-18, SAFECOM Baseline Searchable Database System

N1-563-07-20, Item 8

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Brian Woodall [mailto:Brian.Woodall@nara.gov]  
Sent: Thursday, September 20, 2007 11:00 AM  
To: Tammy <CTR> Hudson  
Cc: Julie Hunsaker  
Subject: N1-563-07-18, SAFECOM Baseline Searchable Database System

Thanks Tammy, per our discussion last week: please let me know the NARA job number and item number where the inputs for this schedule will be scheduled. I believe you said under the S&T Program Records. We agreed the outputs are scheduled under GRS 20, item 5a.

thanks,

brian

Brian,

This is to confirm our conversation the other day regarding the schedule for Enterprise Portfolio Management Initiative (EPMI) that was submitted on 9/5/07.

We are pulling the schedule from registration due to the fact that the inputs and outputs are scheduled under the GRS and the master file information will be scheduled under the S&T Program Records SF 115 (N1-563-07-20, Item 10).

Thanks for your help. Let me know if you need anything else.

-tlh

Tammy Hudson

Contractor - DHS Records Management

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

**CC:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Tue, Feb 12, 2008 2:11 PM  
**Subject:** RE: N1-563-08-5 (Communications Monitoring)

Here you go

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Monday, February 11, 2008 4:23 PM  
To: Hudson, Tammy  
Subject: N1-563-08-5 (Communications Monitoring)

Tammy,

I'd like to request a few minor changes on this schedule:

1. As discussed at our meeting today, we're going to remove subitem (b) since it is covered by the Tracker Log.
2. Could you please change the description of item 1 to include subitem (a). The subitem will be confusing to users on our end.
3. We'd also like to see if it would be okay to change the disposition instruction to "Cut off at the end of the calendar year in which the record was created. Destroy 10 years after cutoff." The example you pulled the disposition from was for investigative program records, and it didn't appear to us that these records are used for investigative purposes, so the disposition seems a little unclear since there is no definitive investigation period.

Please let me know if you have any questions.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Wed, Feb 13, 2008 1:47 PM  
**Subject:** RE: N1-563-08-5 (Communications Monitoring)

Would this work for the description?

Records relating to consensual electronic interception, monitoring or recording of wire and oral communications. The system records unclassified telephone conversations on selected digital and analog telephones; each call is stored as a separate audio file on a single-sided DVD+R.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, February 13, 2008 10:14 AM  
To: Tammy <CTR> Hudson  
Subject: RE: N1-563-08-5 (Communications Monitoring)

Tammy,

Thanks! The disposition looks good, but I'm concerned that the item description might be too broad. As it looks now, it could cover any records relating to the described function in this particular office--which would feasibly include the index, which we determined shouldn't be covered by this item. My understanding was that this item covers only the recordings. Could we make that more clear, maybe even in the item title?

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 2/12/2008 2:10 PM >>>  
Here you go

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Monday, February 11, 2008 4:23 PM  
To: Hudson, Tammy  
Subject: N1-563-08-5 (Communications Monitoring)

Tammy,

I'd like to request a few minor changes on this schedule:

1. As discussed at our meeting today, we're going to remove subitem (b) since it is covered by the Tracker Log.

2. Could you please change the description of item 1 to include subitem

(a). The subitem will be confusing to users on our end.

3. We'd also like to see if it would be okay to change the disposition instruction to "Cut off at the end of the calendar year in which the record was created. Destroy 10 years after cutoff." The example you pulled the disposition from was for investigative program records, and it didn't appear to us that these records are used for investigative purposes, so the disposition seems a little unclear since there is no definitive investigation period.

Please let me know if you have any questions.

Thanks,  
Andrea

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loïselle" <Andrea.Pugsley@nara.gov>  
**Date:** Tue, Feb 19, 2008 10:41 AM  
**Subject:** RE: N1-563-08-5 (Communications Monitoring)

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loïselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, February 13, 2008 4:16 PM  
To: Tammy <CTR> Hudson  
Subject: RE: N1-563-08-5 (Communications Monitoring)

The first sentence is very broad and could include any number of things.  
I would just keep it simple and allow for potential changes in the  
media it is stored on:

Recordings of unclassified telephone conversations.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 2/13/2008  
1:47 PM >>>  
Would this work for the description?

Records relating to consensual electronic interception, monitoring or  
recording of wire and oral communications. The system records  
unclassified telephone conversations on selected digital and analog  
telephones; each call is stored as a separate audio file on a  
single-sided DVD+R.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loïselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, February 13, 2008 10:14 AM  
To: Tammy <CTR> Hudson  
Subject: RE: N1-563-08-5 (Communications Monitoring)

Tammy,

Thanks! The disposition looks good, but I'm concerned that the item  
description might be too broad. As it looks now, it could cover any  
records relating to the described function in this particular  
office--which would feasibly include the index, which we determined  
shouldn't be covered by this item. My understanding was that this  
item  
covers only the recordings. Could we make that more clear, maybe even

in the item title?

Thanks,  
Andrea

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 2/12/2008  
2:10 PM >>>  
Here you go

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loïselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Monday, February 11, 2008 4:23 PM  
To: Hudson, Tammy  
Subject: N1-563-08-5 (Communications Monitoring)

Tammy,

I'd like to request a few minor changes on this schedule:

1. As discussed at our meeting today, we're going to remove subitem (b) since it is covered by the Tracker Log.
2. Could you please change the description of item 1 to include subitem (a). The subitem will be confusing to users on our end.
3. We'd also like to see if it would be okay to change the disposition instruction to "Cut off at the end of the calendar year in which the record was created. Destroy 10 years after cutoff." The example you pulled the disposition from was for investigative program records, and it didn't appear to us that these records are used for investigative purposes, so the disposition seems a little unclear since there is no definitive investigation period.

Please let me know if you have any questions.

Thanks,  
Andrea



**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Wed, Mar 5, 2008 7:38 AM  
**Subject:** RE: N1-563-08-5 (Communications Monitoring)

yes

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Andrea Loiselle [mailto:Andrea.Pugsley@nara.gov]  
Sent: Wednesday, February 27, 2008 3:18 PM  
To: Hudson, Tammy  
Subject: N1-563-08-5 (Communications Monitoring)

Tammy,

Just something minor: Julie pointed out that the schedule defines the NOC as the Network Operations Center, but we're under the impression that it's called the National Operations Center. Is it all right if I make the change on the schedule?

Thanks,  
Andrea

**Julie Hunsaker - Re: S&T - NI-563-07-20**

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 3/20/2008 4:40 PM  
**Subject:** Re: S&T - NI-563-07-20  
**CC:** King, Ivan

---

Hi, Tammy.

I've looked over your comments and agree with your recommendations to move items to the Records Common to All schedule. Here are my remaining specific questions/comments:

1. Brochures, Pamphlets and Pubs. Agree to move.

2. Bulletins. Having reviewed one of these now, I think these records may have permanent value. The bulletin you sent me contains substantive information about how DHS carries out its core function. It also likely significantly impacted DHS policies and priorities. However, to be more certain I'd like to review a few more bulletins. Is this possible?

Also, can you tell me whether "Assessment Bulletins" are one type of bulletin out of many or whether all S&T bulletins are "Assessment" Bulletins? If the later is true, it may make sense to change the title from the generic "Bulletins" to "Assessment Bulletins". Also, do these bulletins always come out of the Biodefense Knowledge Center or do other DHS entities in S&T create them? Do you have a sense of the current volume of these bulletins and what the annual accumulation might be?

3. Case Studies. The SAFECOM site indicates these are all studies about interoperability. Would it make sense then to change the title from the generic "Case Studies" to "Interoperability Case Studies"? (This would cause less confusion if other S&T programs have other types of case studies.)

We agree the bulk of these studies are temporary, however there are two studies relating to 9/11 and the DC snipers. These should be treated differently. Presumably the future DHS Catastrophic Event schedule would change the disposition of the 9/11 report to perm, however, it won't account for the DC snipers report. How do you think we should handle this?

(As a side: regarding items that may have records that should change from temp to perm if they relate to Catastrophic Events, we should try to work together to build a list of the authorities that could be affected by the future Catastrophic Events schedule. This would be one of them.)

4. Classification Guide. I'm not sure I understand your response to my question 4i below. Could you clarify? Is it possible this is a Records Common to All item?

5. Compliance and Assessment Files. Agree to move.

6-7. Grant Files. Agree to move.

I do have one question regarding Item 6. When you said "these records" are working files, were you referring only to Item 7 or to both Item 6 and Item 7?

9. Newsletter. Agree to move.

10. Plume Models. Agree to drop.

11-13. Project Control Files, Request for Assistance, and Situation Awareness Reports. Agree to move.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/5/2008 7:28 AM >>>  
Julie/Ivan,

Please see the comments below:

1. Brochures, Pamphlets and Publications This will be deleted - is on Records Common

i. We recommend removing this item as it appears on the Records Common to All schedule.

2. Bulletins see attached - these are more of an intelligence type of notification (password to open is: **BKC10324**)

i. We'd like to get a better sense of the specific content of these records in order to understand why these publications wouldn't be covered by Item 1 (Brochures, Pamphlets and Publications) in the Records Common to All schedule. We would like to review (remotely or via a site visit).

3. Case Studies <http://www.safecomprogram.gov/SAFECON/library/interoperabilitycasestudies/>

i. We would like to get a better sense of the content of these studies. Why is S&T conducting them? What issues are they studying? What kind of technology and equipment is studied? How does DHS use the results? We would like to review (remotely or via a site visit).

4. Classification Guide

i. Does this item represent the record version of the Classification Guide or only a copy maintained by a certain office? In other words, does S&T write the Guide for all of DHS to use (e.g., I&A), or is it some other entity? If it's some other entity, we recommend moving this item to that entity's schedule.

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**Julie Hunsaker - RE: S&T - NI-563-07-20**

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**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/14/2008 8:52 AM  
**Subject:** RE: S&T - NI-563-07-20

---

Working on this today...

Tammy Hudson  
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 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, March 20, 2008 4:40 PM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** Re: S&T - NI-563-07-20

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10. Plume Models. Agree to drop.

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Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/5/2008 7:28 AM >>>  
Julie/Ivan,

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**Julie Hunsaker - RE: S&T - N1-563-07-20**

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**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/14/2008 9:29 AM  
**Subject:** RE: S&T - N1-563-07-20  
**CC:** "Ivan King" <Ivan.King@nara.gov>

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I've made most of the changes mentioned below but still have some items to follow on:

- Bulletins – will check on these questions
- Classification Guide – we have a Dept Wide schedule for Classification Management (N1-563-08-10) – that also has the same disposition. Suppose I'll have to look at that, but in the meantime, I think we can remove that from S&T and use the dept wide schedule item instead. Agree?

-tlh

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Tammy Hudson

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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - RE: S&T - N1-563-07-20**


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**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/14/2008 9:58 AM  
**Subject:** RE: S&T - N1-563-07-20

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Updated schedule

Tammy Hudson  
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 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, April 14, 2008 9:32 AM  
**To:** Tammy <CTR> Hudson  
**Subject:** RE: S&T - N1-563-07-20

Yes, removing the Classification Guide item sounds like a good idea.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 9:28 AM >>>  
 I've made most of the changes mentioned below but still have some items to follow on:

- Bulletins - will check on these questions
- Classification Guide - we have a Dept Wide schedule for Classification Management (N1-563-08-10) - that also has the same disposition. Suppose I'll have to look at that, but in the meantime, I think we can remove that from S&T and use the dept wide schedule item instead. Agree?

-tlh

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, March 20, 2008 4:40 PM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** Re: S&T - N1-563-07-20

Hi, Tammy.

I've looked over your comments and agree with your recommendations to move items to the Records Common to All schedule. Here are my remaining specific questions/comments:

1. Brochures, Pamphlets and Pubs. Agree to move.

2. Bulletins. Having reviewed one of these now, I think these records may have permanent value. The bulletin you sent me contains substantive information about how DHS carries out its core function. It also likely significantly impacted DHS policies and priorities. However, to be more certain I'd like to review a few more bulletins. Is this possible?

Also, can you tell me whether "Assessment Bulletins" are one type of bulletin out of many or whether all S&T bulletins are "Assessment" Bulletins? If the later is true, it may make sense to change the title from the generic "Bulletins" to "Assessment Bulletins". Also, do these bulletins always come out of the Biodefense Knowledge Center or do other DHS entities in S&T create them? Do you have a sense of the current volume of these bulletins and what the annual accumulation might be?

3. Case Studies. The SAFECOM site indicates these are all studies about interoperability. Would it make sense then to change the title from the generic "Case Studies" to "Interoperability Case Studies"? (This would cause less confusion if other S&T programs have other types of case studies.)

We agree the bulk of these studies are temporary, however there are two studies relating to 9/11 and the DC snipers. These should be treated differently. Presumably the future DHS Catastrophic Event schedule would change the disposition of the 9/11 report to perm, however, it won't account for the DC snipers report. How do you think we should handle this?

(As a side: regarding items that may have records that should change from temp to perm if they relate to Catastrophic Events, we should try to work together to build a list of the authorities that could be affected by the future Catastrophic Events schedule. This would be one of them.)

4. Classification Guide. I'm not sure I understand your response to my question 4i below. Could you clarify? Is it possible this is a Records Common to All item?

5. Compliance and Assessment Files. Agree to move.

6-7. Grant Files. Agree to move.

I do have one question regarding Item 6. When you said "these records" are working files, were you referring only to Item 7 or to both Item 6 and Item 7?

9. Newsletter. Agree to move.

10. Plume Models. Agree to drop.

11-13. Project Control Files, Request for Assistance, and Situation Awareness Reports. Agree to move.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/5/2008 7:28 AM >>>  
Julie/Ivan,

Please see the comments below:

1. Brochures, Pamphlets and Publications. This will be deleted - is on Records Common  
i. We recommend removing this item as it appears on the Records Common to All schedule.

2. Bulletins see attached - these are more of an intelligence type of notification (password to open is: **BKC10324**)

i. We'd like to get a better sense of the specific content of these records in order to understand why these publications wouldn't be covered by Item 1 (Brochures, Pamphlets and Publications) in the Records Common to All schedule. We would like to review (remotely or via a site visit).

3. Case Studies <http://www.safecomprogram.gov/SAFECOM/library/interoperabilitycasestudies/>



- i. We would like to get a better sense of the content of these studies. Why is S&T conducting them? What issues are they studying? What kind of technology and equipment is studied? How does DHS use the results? We would like to review (remotely or via a site visit).

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- i. Does this item represent the record version of the Classification Guide or only a copy maintained by a certain office? In other words, does S&T write the Guide for all of DHS to use (e.g., I&A), or is it some other entity? If it's some other entity, we recommend moving this item to that entity's schedule.
- ii. Our questions for this item relate to the proposed retention periods. How would one make the determination to either cut off when superseded or upon termination of the program? (This question is important as the two proposed retention periods could vary widely.) Is this instruction saying to cut off when superseded, or, if never superseded then upon termination of the program/office for which the guide was established?
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This is specific to that one program. I will modify the retention statement.

#### 5. Compliance and Assessment Files this will be included in the OGC schedule - delete from S&T

- i. We would like to get a better sense of the content of these files. What kind of projects do these files relate to? How much information do they contain about the purpose and outcome of each project? We would like to review (remotely or via a site visit).
- ii. Does the cutoff, "review of project," essentially mean the records will be cut off when each compliance and assessment case file is completed or closed - because these files are created to review projects? Or does it mean something else entirely?

#### 6. Grant Files / Grant Allocations

We would like to get a better sense of the content of these records.

- i. What types of records does this item cover? (e.g., Item 7 states it covers applications.)
- ii. Is this item actually restricted only to a certain type of DHS grant, or will it cover all DHS grants? In other words, does DHS only give grants for "Training, Exercise and Research" and "the use of SOPs for improving emergency response communications and interoperability"? If not, please consider writing a more broadbased description. Also, can you provide us with documentation that describes the grants DHS gives/funds?

#### 7. Grant Files / Grant Case Files (Copy)

- i. What is the implication of including "copy" in this item's title? Does this mean these are non-record or that these are copies of records maintained elsewhere - but they serve as records for S&T? If so, please explain this in the description - and how these records relate to the actual Grant Case File maintained elsewhere (e.g., how much of or which of the documents within the file is unique info and how much is copy)?
- ii. Depending on the answer to these question about how unique the information is in these files, we may need to review them via a site visit. (Sometimes grant case files are considered permanent, depending on the significance of the information in them.)

These records are not the actual Grant files, but rather working files, copies of the originals and associated documentation. The personnel using these records feel it is important to maintain them for as long as the program it applies to is active. The Record copy is maintained by the Federal Emergency Management Agency (FEMA).

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- i. Can these two items be combined and just called "Grant Files"?
- ii. What is the rationale behind the 5-year retention period?

Maybe we should consider this and move it to the Records Common schedule - there are several

components that have this listed in the inventory (S&T, OHA, NPPD, etc)

#### Grant Project Files

Files containing correspondence, memoranda and letters, study reports, and other unsolicited items received for consideration for a grant or cooperative agreement that is later approved.

TEMPORARY. Cut off at end of fiscal year when grant or agreement is finalized. Destroy or delete 3 years after cutoff or when no longer needed, whichever is sooner.

9. Newsletter Records Common (item 6) - will delete from S&T. I will send samples with the Records Common items.

i. If this is a publication, would it be covered by Item 1 on the Records Common to All (RCTA) schedule? If not, why? Also if it isn't covered by Item 1 on the RCTA schedule, how could RCTA Item 1 be revised to explain what publications it doesn't cover?

ii. If these records remain a separate item on this schedule, we would like to get a better sense of the content of these newsletters. If we could review samples remotely, that would be great. Otherwise, we could include in a site visit.

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i. Please do not apply GRS 18 Item 28 to these records (or any other exercise/emergency ops test files) if they are program-related. The intent of this item and other items in GRS 18 is to help dispose of records associated with an agency's own emergency planning records, etc. In other words, it covers plans to protect the life and property of agencies - which is admin-related - rather than national emergency planning records which is program-related.

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iii. I recommend dropping this item from the schedule as it does not contain a request for approval of a proposed disposition instruction.

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i. We would like to get a better sense of the content of these files. What kind of projects do these files relate to? How much information do they contain about the purpose and outcome of each project? We would like to review (remotely or via a site visit).

This may be another we move to Records Common. This record type is in DNDO, OHA, S&T and NPPD.

Here are a couple examples of how it fits:

US-VISIT - A country comes to them and wants assistance in implementing equipment or programs (such as the US 10 fingerprinting program). This file would contain any of the correspondence, authorizations, agreements, project updates, etc.

S&T - somebody proposes a device that can detect chemicals. S&T may authorize and fund the project using BPA/Grant funding. As with above, the file would contain correspondence, authorizations, benchmark reporting, etc.

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i. We would like to get a better sense of the content of these records. Who are these requests coming from? What sort of analysis is done? How does DHS use this analysis?

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Veterinary Defense Division, OHA/Medical Readiness/Contingency Planning. The request could come from State and Local seeking assistance or opinion/assessment.

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

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**Science and Technology Directorate**

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The Directorate for Science and Technology (S&T Directorate) is the primary research and development arm of DHS.

The S&T Directorate, in partnership with the private sector, national laboratories, universities, and other government agencies (domestic and foreign), helps push the innovation envelope and drive development and the use of high technology in support of homeland security.

The Directorate is focusing on enabling its customers—the DHS components—and their customers, including Border Patrol agents, Coast Guardsmen, airport baggage screeners, Federal Air Marshals, and state, local, and Federal emergency responders, as well as the many others teamed and committed to the vital mission of securing the Nation.

To reach its goals, the S&T Directorate is:

- Creating a customer-focused, output-oriented, full-service science and technology management organization that is consistent with its enabling legislation
- Incorporating lessons learned since the start-up of DHS to sharpen its focus on executing mission-oriented programs
- Providing leadership and resources to develop the intellectual basis that is essential to future mission success

The Directorate has six primary divisions that address critical homeland security needs—spanning basic research through advanced technology development and transition.

- Explosives Division focuses on the detection, mitigation, and response to explosives such as improvised explosive devices and suicide bombers.
- Chemical and Biological Division conducts analyses for better characterization and prioritization of the threat, develops detection systems to provide early warning of a possible attack so as to minimize exposure and speed treatment of victims, conducts forensic analyses to support attribution, and works with federal partners who have lead responsibilities in decontamination and restoration, agrodefense, and food security.
- Border and Maritime Security Division develops, evaluates, and demonstrates technologies and tools for better securing our land and maritime ports of entry.
- Command, Control, & Interoperability Division focuses on operable and interoperable communications for emergency responders, security and integrity of the Internet, and development of automated capabilities that "connect-the-dots" to recognize potential threats.
- Human Factors Division applies the social and behavioral sciences to improve detection, analysis, and understanding of threats posed by individuals, groups, and radical movements; to support the preparedness, response and recovery of communities impacted by catastrophic events; and to advance national security by integrating human factors into homeland security technologies.
- Infrastructure/Geophysical Division focuses on identifying and mitigating the vulnerabilities of the 17 critical infrastructure and key assets that keep our society and economy functioning.

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

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**1 Bulletin**

Scientific publications that are produced periodically to provide a technical assessment and characteristics on CBRNE relevant to homeland security.

**Disposition:**

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

**2 Interoperability Case Studies**

Studies conducted on the technology or equipment; typically include a cost/benefit analysis, including an analysis of the efficiency and effectiveness, lessons learned, guidance and summary reports

**Disposition:**

TEMPORARY. Cut off after completion or cancellation of study.

Instructions: Review case when 10 years old and determine if information is still relevant, accurate, and useful. If material is no longer valuable, destroy or delete immediately. If the Case Study contains information warranting continued retention it will be re-authorized using the current date as the cutoff.

**3 National Interoperability Baseline Survey**

The study was designed to assess the five critical elements—governance; policies, practices, and procedures; technology; training and exercises; and usage—that determine an organization's capacity for interoperability. These five critical elements of interoperability, as codified by the SAFECOM program in 2004 and published as the "Interoperability Continuum", were developed in partnership with the public safety community and used as a starting point in the development of the survey questions for the study.

Results are reported in the SAFECOM Baseline Searchable Database System

**Disposition:**

TEMPORARY. Destroy or delete 2 years after date survey completed or date results reported/published, whichever is later.

**Julie Hunsaker - RE: S&T - N1-563-07-20**

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**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/14/2008 11:01 AM  
**Subject:** RE: S&T - N1-563-07-20

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Just talked to the S&T folks and they will have additional samples and volume on bulletins by Wednesday

Tammy Hudson  
 DHS Records Management - Contractor  
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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, April 14, 2008 9:32 AM  
**To:** Tammy <CTR> Hudson  
**Subject:** RE: S&T - N1-563-07-20

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Julie

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i. We would like to get a better sense of the content of these studies. Why is S&T conducting them? What issues are they studying? What kind of technology and equipment is studied? How does DHS use the results? We would like to review (remotely or via a site visit).

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10. Plume Models This should not have been included in the SF 115 - will delete

- i. Please do not apply GRS 18 Item 28 to these records (or any other exercise/emergency ops test files) if they are program-related. The intent of this item and other items in GRS 18 is to help dispose of records associated with an agency's own emergency planning records, etc. In other words, it covers plans to protect the life and property of agencies - which is admin-related - rather than national emergency planning records which is program-related.
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Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - RE: S&T - N1-563-07-20**

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**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 4/14/2008 11:06 AM  
**Subject:** RE: S&T - N1-563-07-20

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Great! Thanks for the update.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 11:00 AM >>>  
 Just talked to the S&T folks and they will have additional samples and volume on bulletins by Wednesday

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, April 14, 2008 9:32 AM  
**To:** Tammy <CTR> Hudson  
**Subject:** RE: S&T - N1-563-07-20

Yes, removing the Classification Guide item sounds like a good idea.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 9:28 AM >>>  
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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, March 20, 2008 4:40 PM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** Re: S&T - N1-563-07-20

Hi, Tammy.

I've looked over your comments and agree with your recommendations to move items to the Records Common to All schedule. Here are my remaining specific questions/comments:

1. Brochures, Pamphlets and Pubs. Agree to move.

2. Bulletins. Having reviewed one of these now, I think these records may have permanent value. The bulletin you sent me contains substantive information about how DHS carries out its core function. It also likely significantly impacted DHS policies and priorities. However, to be more certain I'd like to review a few more bulletins. Is this possible?

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(As a side: regarding items that may have records that should change from temp to perm if they relate to Catastrophic Events, we should try to work together to build a list of the authorities that could be affected by the future Catastrophic Events schedule. This would be one of them.)

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6-7. Grant Files. Agree to move.

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9. Newsletter. Agree to move.

10. Plume Models. Agree to drop.

11-13. Project Control Files, Request for Assistance, and Situation Awareness Reports. Agree to move.

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Please see the comments below:

1. Brochures, Pamphlets and Publications. This will be deleted - is on Records Common  
i. We recommend removing this item as it appears on the Records Common to All schedule.

2. Bulletins see attached - these are more of an intelligence type of notification (password to open is:  
**BKC10324**)

i. We'd like to get a better sense of the specific content of these records in order to understand why these publications wouldn't be covered by Item 1 (Brochures, Pamphlets and Publications) in the Records Common to

All schedule. We would like to review (remotely or via a site visit).

### 3. Case Studies <http://www.safecomprogram.gov/SAFECON/library/interoperabilitycasestudies/>

i. We would like to get a better sense of the content of these studies. Why is S&T conducting them? What issues are they studying? What kind of technology and equipment is studied? How does DHS use the results? We would like to review (remotely or via a site visit).

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- i. Does this item represent the record version of the Classification Guide or only a copy maintained by a certain office? In other words, does S&T write the Guide for all of DHS to use (e.g., I&A), or is it some other entity? If it's some other entity, we recommend moving this item to that entity's schedule.
- ii. Our questions for this item relate to the proposed retention periods. How would one make the determination to either cut off when superseded or upon termination of the program? (This question is important as the two proposed retention periods could vary widely.) Is this instruction saying to cut off when superseded, or, if never superseded then upon termination of the program/office for which the guide was established?
- iii. Our understanding is these guides should be updated every five years. If this is the case, then the proposed 3-year retention period would mean the "one-previous" guide would be destroyed before the current guide is updated. Would it be useful to establish a retention period that allows agency staff to refer back to the current and "one-previous" guide while writing a new guide? If only to keep track of things that were inadvertently dropped or deleted from the current guide.

This is specific to that one program. I will modify the retention statement.

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- i. We would like to get a better sense of the content of these files. What kind of projects do these files relate to? How much information do they contain about the purpose and outcome of each project? We would like to review (remotely or via a site visit).
- ii. Does the cutoff, "review of project," essentially mean the records will be cut off when each compliance and assessment case file is completed or closed - because these files are created to review projects? Or does it mean something else entirely?

### 6. Grant Files / Grant Allocations

We would like to get a better sense of the content of these records.

- i. What types of records does this item cover? (e.g., Item 7 states it covers applications.)
- ii. Is this item actually restricted only to a certain type of DHS grant, or will it cover all DHS grants? In other words, does DHS only give grants for "Training, Exercise and Research" and "the use of SOPs for improving emergency response communications and interoperability"? If not, please consider writing a more broadbased description. Also, can you provide us with documentation that describes the grants DHS gives/funds?

### 7. Grant Files / Grant Case Files (Copy)

- i. What is the implication of including "copy" in this item's title? Does this mean these are non-record or that these are copies of records maintained elsewhere - but they serve as records for S&T? If so, please explain this in the description - and how these records relate to the actual Grant Case File maintained elsewhere (e.g., how much of or which of the documents within the file is unique info and how much is copy)?
- ii. Depending on the answer to these question about how unique the information is in these files, we may need to review them via a site visit. (Sometimes grant case files are considered permanent, depending on the significance of the information in them.)

These records are not the actual Grant files, but rather working files, copies of the originals and associated documentation. The personnel using these records feel it is important to maintain them for as long as the program it applies to is active. The Record copy is maintained by the Federal Emergency Management Agency (FEMA).

### 6 & 7. Grant Files

- i. Can these two items be combined and just called "Grant Files"?

**ii. What is the rationale behind the 5-year retention period?**

Maybe we should consider this and move it to the Records Common schedule - there are several components that have this listed in the inventory (S&T, OHA, NPPD, etc)

**Grant Project Files**

Files containing correspondence, memoranda and letters, study reports, and other unsolicited items received for consideration for a grant or cooperative agreement that is later approved.

TEMPORARY. Cut off at end of fiscal year when grant or agreement is finalized. Destroy or delete 3 years after cutoff or when no longer needed, whichever is sooner.

9. Newsletter Records Common (item 6) - will delete from S&T. I will send samples with the Records Common items.

i. If this is a publication, would it be covered by Item 1 on the Records Common to All (RCTA) schedule? If not, why? Also if it isn't covered by Item 1 on the RCTA schedule, how could RCTA Item 1 be revised to explain what publications it doesn't cover?

ii. If these records remain a separate item on this schedule, we would like to get a better sense of the content of these newsletters. If we could review samples remotely, that would be great. Otherwise, we could include in a site visit.

10. Plume Models This should not have been included in the SF 115 - will delete

i. Please do not apply GRS 18 Item 28 to these records (or any other exercise/emergency ops test files) if they are program-related. The intent of this item and other items in GRS 18 is to help dispose of records associated with an agency's own emergency planning records, etc. In other words, it covers plans to protect the life and property of agencies - which is admin-related - rather than national emergency planning records which is program-related.

ii. Why would these records be part of an investigative or project file? Why are they created?

iii. I recommend dropping this item from the schedule as it does not contain a request for approval of a proposed disposition instruction.

**11. Project Control Files**

i. We would like to get a better sense of the content of these files. What kind of projects do these files relate to? How much information do they contain about the purpose and outcome of each project? We would like to review (remotely or via a site visit).

This may be another we move to Records Common. This record type is in DNDO, OHA, S&T and NPPD.

Here are a couple examples of how it fits:

US-VISIT - A country comes to them and wants assistance in implementing equipment or programs (such as the US 10 fingerprinting program). This file would contain any of the correspondence, authorizations, agreements, project updates, etc.

S&T - somebody proposes a device that can detect chemicals. S&T may authorize and fund the project using BPA/Grant funding. As with above, the file would contain correspondence, authorizations, benchmark reporting, etc.

With all programs, the agreement was that the background information needed to be maintained, but the Final Report should be maintained for a longer period.

**12. Request for Assistance**

i. We would like to get a better sense of the content of these records. Who are these requests coming from? What sort of analysis is done? How does DHS use this analysis?

This may be another we move to Records Common. The following have these: S&T/Readiness Operations Center (ROC), NPPD/CI/KR Partnership and Outreach Division/Infrastructure Coordination & Analysis Branch, OHA/National Biosurveillance Integration Center, OHA/Food, Agriculture and Veterinary Defense Division, OHA/Medical Readiness/Contingency Planning. The request could come from State and Local seeking assistance or opinion/assessment.

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**Julie Hunsaker - RE: S&T - N!-563-07-20**

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**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 4/14/2008 11:16 AM  
**Subject:** RE: S&T - N!-563-07-20

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**Julie Hunsaker - RE: S&T - N1-563-07-20**

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**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 4/14/2008 11:47 AM  
**Subject:** RE: S&T - N1-563-07-20

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Don't worry about it. We understand how busy you are! We'll just try to work through all of this step-by-step.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 11:10 AM >>>  
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6-7. Grant Files. Agree to move.

I do have one question regarding Item 6. When you said "these records" are working files, were you referring only to Item 7 or to both Item 6 and Item 7?

9. Newsletter. Agree to move.

10. Plume Models. Agree to drop.

11-13. Project Control Files, Request for Assistance, and Situation Awareness Reports. Agree to move.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/5/2008 7:28 AM >>>  
Julie/Ivan,

Please see the comments below:

1. Brochures, Pamphlets and Publications This will be deleted - is on Records Common
  - i. We recommend removing this item as it appears on the Records Common to All schedule.
2. Bulletins see attached - these are more of an intelligence type of notification (password to open is: **BKC10324**)
  - i. We'd like to get a better sense of the specific content of these records in order to understand why these publications wouldn't be covered by Item 1 (Brochures, Pamphlets and Publications) in the Records Common to All schedule. We would like to review (remotely or via a site visit).
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  - i. We would like to get a better sense of the content of these studies. Why is S&T conducting them? What issues are they studying? What kind of technology and equipment is studied? How does DHS use the results? We would like to review (remotely or via a site visit).
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  - i. Does this item represent the record version of the Classification Guide or only a copy maintained by a certain office? In other words, does S&T write the Guide for all of DHS to use (e.g., I&A), or is it some other entity? If it's some other entity, we recommend moving this item to that entity's schedule.
  - ii. Our questions for this item relate to the proposed retention periods. How would one make the determination to either cut off when superseded or upon termination of the program? (This question is important as the two proposed retention periods could vary widely.) Is this instruction saying to cut off when superseded, or, if never superseded then upon termination of the program/office for which the guide was established?
  - iii. Our understanding is these guides should be updated every five years. If this is the case, then the proposed 3-year retention period would mean the "one-previous" guide would be destroyed before the current guide is updated. Would it be useful to establish a retention period that allows agency staff to refer back to the current and "one-previous" guide while writing a new guide? If only to keep track of things that were inadvertently dropped or deleted from the current guide.

This is specific to that one program. I will modify the retention statement.

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We would like to get a better sense of the content of these records.

- i. What types of records does this item cover? (e.g., Item 7 states it covers applications.)
- ii. Is this item actually restricted only to a certain type of DHS grant, or will it cover all DHS grants? In other words, does DHS only give grants for "Training, Exercise and Research" and "the use of SOPs for improving emergency response communications and interoperability"? If not, please consider writing a more broadbased description. Also, can you provide us with documentation that describes the grants DHS gives/funds?

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- i. What is the implication of including "copy" in this item's title? Does this mean these are non-record or that these are copies of records maintained elsewhere - but they serve as records for S&T? If so, please explain this in the description - and how these records relate to the actual Grant Case File maintained elsewhere (e.g., how much of or which of the documents within the file is unique info and how much is copy)?
- ii. Depending on the answer to these question about how unique the information is in these files, we may need to review them via a site visit. (Sometimes grant case files are considered permanent, depending on the significance of the information in them.)

These records are not the actual Grant files, but rather working files, copies of the originals and associated documentation. The personnel using these records feel it is important to maintain them for as long as the program it applies to is active. The Record copy is maintained by the Federal Emergency Management Agency (FEMA).

#### 6 & 7. Grant Files

- i. Can these two items be combined and just called "Grant Files"?
- ii. What is the rationale behind the 5-year retention period?

Maybe we should consider this and move it to the Records Common schedule - there are several components that have this listed in the inventory (S&T, OHA, NPPD, etc)

#### Grant Project Files

Files containing correspondence, memoranda and letters, study reports, and other unsolicited items received for consideration for a grant or cooperative agreement that is later approved.

TEMPORARY. Cut off at end of fiscal year when grant or agreement is finalized. Destroy or delete 3 years after cutoff or when no longer needed, whichever is sooner.

#### 9. Newsletter Records Common (item 6) - will delete from S&T. I will send samples with the Records Common items.

- i. If this is a publication, would it be covered by Item 1 on the Records Common to All (RCTA) schedule? If not, why? Also if it isn't covered by Item 1 on the RCTA schedule, how could RCTA Item 1 be revised to explain what publications it doesn't cover?
- ii. If these records remain a separate item on this schedule, we would like to get a better sense of the content of these newsletters. If we could review samples remotely, that would be great. Otherwise, we could include in a site visit.

#### 10. Plume Models This should not have been included in the SF 115 - will delete

- i. Please do not apply GRS 18 Item 28 to these records (or any other exercise/emergency ops test files) if they are program-related. The intent of this item and other items in GRS 18 is to help dispose of records associated with an agency's own emergency planning records, etc. In other words, it covers plans to protect the life and property of agencies - which is admin-related - rather than national emergency planning records which is program-related.
- ii. Why would these records be part of an investigative or project file? Why are they created?
- iii. I recommend dropping this item from the schedule as it does not contain a request for approval of a proposed disposition instruction.

#### 11. Project Control Files

- i. We would like to get a better sense of the content of these files. What kind of projects do these files relate to? How much information do they contain about the purpose and outcome of each project? We would like to review (remotely or via a site visit).

This may be another we move to Records Common. This record type is in DNDO, OHA, S&T and NPPD.



Here are a couple examples of how it fits:

US-VISIT - A country comes to them and wants assistance in implementing equipment or programs (such as the US 10 fingerprinting program). This file would contain any of the correspondence, authorizations, agreements, project updates, etc.

S&T - somebody proposes a device that can detect chemicals. S&T may authorize and fund the project using BPA/Grant funding. As with above, the file would contain correspondence, authorizations, benchmark reporting, etc.

With all programs, the agreement was that the background information needed to be maintained, but the Final Report should be maintained for a longer period.

## 12. Request for Assistance

i. We would like to get a better sense of the content of these records. Who are these requests coming from?

What sort of analysis is done? How does DHS use this analysis?

This may be another we move to Records Common. The following have these: S&T/Readiness Operations Center (ROC), NPPD/CI/KR Partnership and Outreach Division/Infrastructure Coordination & Analysis Branch, OHA/National Biosurveillance Integration Center, OHA/Food, Agriculture and Veterinary Defense Division, OHA/Medical Readiness/Contingency Planning. The request could come from State and Local seeking assistance or opinion/assessment.

## 13. Situation Awareness Reports

i. These records sound like they may have permanent value. We would like to get a better sense of their content. What sort of information do they contain? How much can one learn about an incident from them? How unique is the information in them? Who exactly are they distributed to? How do recipients use the information in them? We would like to review (remotely or via a site visit).

You and I discussed these the other day. We may actually move this to the Records Common schedule as well. Any report that would contain information on a significant situation would be included in the Secretary's briefing books which are a permanent item. Components that have these are: I&A/Intelligence Watch and Warning, S&T/Readiness Operations Center (ROC), NPPD/Infrastructure Protection - CI/KR Contingency Planning & Incident Management Division/Incident Management, OHA/National Biosurveillance Integration Center, OHA/Medical Readiness/WMD Incident Coordination

Tammy Hudson  
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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - RE: S&T - N!-563-07-20**

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 5/7/2008 3:11 PM  
**Subject:** RE: S&T - N!-563-07-20  
**CC:** King, Ivan

---

Tammy,

I've reviewed the updated schedule and the additional background material you provided us with. I have final recommendations for each of the remaining three items:

Item 1

- 1) Having now reviewed a bulletin and an assessment, we believe these records have permanent value. Let's move ahead with this schedule with Item 1 as permanent.
- 2) In the meantime, would it be possible for me to contact a SME by phone to find out some more information about these records for our appraisal report? (e.g., the topics they cover, how DHS decides what topics it will cover, the difference between bulletins and assessments, who reviews these reports and for what purpose, and the definition of "OIA" and "BKC.")
- 3) Please let me know whether DHS would ultimately transfer these records to NARA on paper or in electronic format. If they come to us electronically and exist as either scanned images or in PDF, we would need DHS to submit answers to some technical questions.
- 4) Please add wording to the item title and/or description that indicates this item applies to both Assessment Bulletins and Short Term Assessments.
- 5) Thank you for the numbers about projected annual accumulation (which appears to be about 7 of each type of report per year). Could you provide me with the current volume (in terms of what exists right now to-date)?
- 6) What year did DHS begin creating these reports?

Item 2

- 7) I believe part of Question 3 below is still unresolved:  
 We agree the bulk of these studies are temporary, however there are two studies relating to 9/11 and the DC snipers. These should be treated differently. Presumably the future DHS Catastrophic Event schedule would change the disposition of the 9/11 report to perm, however, it won't account for the DC snipers report. How do you think we should handle this? - Could we create a temp and a perm item, where the perm item identifies studies related to significant events?

Item 3

- 8) We recommend extending the retention period to 3 years. This will preclude asking for GAO's review of these program records. It will also ensure the records of each survey exist through the time the next survey is conducted (which we understand happens every 2 years).

Let me know if you have any questions.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 9:58 AM >>>  
 Updated schedule

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, April 14, 2008 9:32 AM  
**To:** Tammy <CTR> Hudson  
**Subject:** RE: S&T - N1-563-07-20

Yes, removing the Classification Guide item sounds like a good idea.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 9:28 AM >>>  
 I've made most of the changes mentioned below but still have some items to follow on:

- Bulletins - will check on these questions
- Classification Guide - we have a Dept Wide schedule for Classification Management (N1-563-08-10) - that also has the same disposition. Suppose I'll have to look at that, but in the meantime, I think we can remove that from S&T and use the dept wide schedule item instead. Agree?

-tlh

Tammy Hudson  
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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, March 20, 2008 4:40 PM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** Re: S&T - N1-563-07-20

Hi, Tammy.

I've looked over your comments and agree with your recommendations to move items to the Records Common to All schedule. Here are my remaining specific questions/comments:

1. Brochures, Pamphlets and Pubs. Agree to move.
2. Bulletins. Having reviewed one of these now, I think these records may have permanent value. The bulletin you sent me contains substantive information about how DHS carries out its core function. It also likely significantly impacted DHS policies and priorities. However, to be more certain I'd like to review a few more bulletins. Is this possible?

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**Julie Hunsaker - RE: S&T - N!-563-07-20**

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**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 5/8/2008 7:57 AM  
**Subject:** RE: S&T - N!-563-07-20  
**CC:** "Ivan King" <Ivan.King@nara.gov>

---

Attached is the updated schedule. I've sent the remaining questions on Item 1 to the program area and will forward as soon as I receive them.

Thanks

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, May 07, 2008 3:12 PM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** RE: S&T - N!-563-07-20

Tammy,

I've reviewed the updated schedule and the additional background material you provided us with. I have final recommendations for each of the remaining three items:

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- 1) Having now reviewed a bulletin and an assessment, we believe these records have permanent value. Let's move ahead with this schedule with Item 1 as permanent.
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- 5) Thank you for the numbers about projected annual accumulation (which appears to be about 7 of each type of report per year). Could you provide me with the current volume (in terms of what exists right now to-date)?
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7) I believe part of Question 3 below is still unresolved:

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Let me know if you have any questions.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 9:58 AM >>>  
Updated schedule

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, April 14, 2008 9:32 AM  
**To:** Tammy <CTR> Hudson  
**Subject:** RE: S&T - N1-563-07-20

Yes, removing the Classification Guide item sounds like a good idea.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 9:28 AM >>>  
I've made most of the changes mentioned below but still have some items to follow on:

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-tlh

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---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, March 20, 2008 4:40 PM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** Re: S&T - N1-563-07-20

Hi, Tammy.

I've looked over your comments and agree with your recommendations to move items to the Records Common to All schedule. Here are my remaining specific questions/comments:

1. Brochures, Pamphlets and Pubs. Agree to move.

2. Bulletins. Having reviewed one of these now, I think these records may have permanent value. The bulletin you sent me contains substantive information about how DHS carries out its core function. It also likely significantly impacted DHS policies and priorities. However, to be more certain I'd like to review a few more bulletins. Is this possible?

Also, can you tell me whether "Assessment Bulletins" are one type of bulletin out of many or whether all S&T bulletins are "Assessment" Bulletins? If the later is true, it may make sense to change the title from the generic "Bulletins" to "Assessment Bulletins". Also, do these bulletins always come out of the Biodefense Knowledge Center or do other DHS entities in S&T create them? Do you have a sense of the current volume of these bulletins and what the annual accumulation might be?

3. Case Studies. The SAFECOM site indicates these are all studies about interoperability. Would it make sense then to change the title from the generic "Case Studies" to "Interoperability Case Studies"? (This would cause less confusion if other S&T programs have other types of case studies.)

We agree the bulk of these studies are temporary, however there are two studies relating to 9/11 and the DC snipers. These should be treated differently. Presumably the future DHS Catastrophic Event schedule would change the disposition of the 9/11 report to perm, however, it won't account for the DC snipers report. How do you think we should handle this?

(As a side: regarding items that may have records that should change from temp to perm if they relate to Catastrophic Events, we should try to work together to build a list of the authorities that could be affected by the future Catastrophic Events schedule. This would be one of them.)

4. Classification Guide. I'm not sure I understand your response to my question 4i below. Could you clarify? Is it possible this is a Records Common to All item?

5. Compliance and Assessment Files. Agree to move.

6-7. Grant Files. Agree to move.

I do have one question regarding Item 6. When you said "these records" are working files, were you referring only to Item 7 or to both Item 6 and Item 7?

9. Newsletter. Agree to move.

10. Plume Models. Agree to drop.

11-13. Project Control Files, Request for Assistance, and Situation Awareness Reports. Agree to move.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/5/2008 7:28 AM >>>  
Julie/Ivan,

Please see the comments below:

1. Brochures, Pamphlets and Publications. This will be deleted - is on Records Common

i. We recommend removing this item as it appears on the Records Common to All schedule.

2. Bulletins see attached - these are more of an intelligence type of notification (password to open is: **BKC10324**)

i. We'd like to get a better sense of the specific content of these records in order to understand why these publications wouldn't be covered by Item 1 (Brochures, Pamphlets and Publications) in the Records Common to

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### 3. Case Studies <http://www.safecomprogram.gov/SAFECON/library/interoperabilitycasestudies/>

i. We would like to get a better sense of the content of these studies. Why is S&T conducting them? What issues are they studying? What kind of technology and equipment is studied? How does DHS use the results? We would like to review (remotely or via a site visit).

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- i. Does this item represent the record version of the Classification Guide or only a copy maintained by a certain office? In other words, does S&T write the Guide for all of DHS to use (e.g., I&A), or is it some other entity? If it's some other entity, we recommend moving this item to that entity's schedule.
- ii. Our questions for this item relate to the proposed retention periods. How would one make the determination to either cut off when superseded or upon termination of the program? (This question is important as the two proposed retention periods could vary widely.) Is this instruction saying to cut off when superseded, or, if never superseded then upon termination of the program/office for which the guide was established?
- iii. Our understanding is these guides should be updated every five years. If this is the case, then the proposed 3-year retention period would mean the "one-previous" guide would be destroyed before the current guide is updated. Would it be useful to establish a retention period that allows agency staff to refer back to the current and "one-previous" guide while writing a new guide? If only to keep track of things that were inadvertently dropped or deleted from the current guide.

This is specific to that one program. I will modify the retention statement.

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- i. We would like to get a better sense of the content of these files. What kind of projects do these files relate to? How much information do they contain about the purpose and outcome of each project? We would like to review (remotely or via a site visit).
- ii. Does the cutoff, "review of project," essentially mean the records will be cut off when each compliance and assessment case file is completed or closed - because these files are created to review projects? Or does it mean something else entirely?

### 6. Grant Files / Grant Allocations

We would like to get a better sense of the content of these records.

- i. What types of records does this item cover? (e.g., Item 7 states it covers applications.)
- ii. Is this item actually restricted only to a certain type of DHS grant, or will it cover all DHS grants? In other words, does DHS only give grants for "Training, Exercise and Research" and "the use of SOPs for improving emergency response communications and interoperability"? If not, please consider writing a more broadbased description. Also, can you provide us with documentation that describes the grants DHS gives/funds?

### 7. Grant Files / Grant Case Files (Copy)

- i. What is the implication of including "copy" in this item's title? Does this mean these are non-record or that these are copies of records maintained elsewhere - but they serve as records for S&T? If so, please explain this in the description - and how these records relate to the actual Grant Case File maintained elsewhere (e.g., how much of or which of the documents within the file is unique info and how much is copy)?
- ii. Depending on the answer to these question about how unique the information is in these files, we may need to review them via a site visit. (Sometimes grant case files are considered permanent, depending on the significance of the information in them.)

These records are not the actual Grant files, but rather working files, copies of the originals and associated documentation. The personnel using these records feel it is important to maintain them for as long as the program it applies to is active. The Record copy is maintained by the Federal Emergency Management Agency (FEMA).

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Maybe we should consider this and move it to the Records Common schedule - there are several components that have this listed in the inventory (S&T, OHA, NPPD, etc)

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Files containing correspondence, memoranda and letters, study reports, and other unsolicited items received for consideration for a grant or cooperative agreement that is later approved.

TEMPORARY. Cut off at end of fiscal year when grant or agreement is finalized. Destroy or delete 3 years after cutoff or when no longer needed, whichever is sooner.

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i. If this is a publication, would it be covered by Item 1 on the Records Common to All (RCTA) schedule? If not, why? Also if it isn't covered by Item 1 on the RCTA schedule, how could RCTA Item 1 be revised to explain what publications it doesn't cover?

ii. If these records remain a separate item on this schedule, we would like to get a better sense of the content of these newsletters. If we could review samples remotely, that would be great. Otherwise, we could include in a site visit.

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i. Please do not apply GRS 18 Item 28 to these records (or any other exercise/emergency ops test files) if they are program-related. The intent of this item and other items in GRS 18 is to help dispose of records associated with an agency's own emergency planning records, etc. In other words, it covers plans to protect the life and property of agencies - which is admin-related - rather than national emergency planning records which is program-related.

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This may be another we move to Records Common. This record type is in DNDO, OHA, S&T and NPPD.

Here are a couple examples of how it fits:

US-VISIT - A country comes to them and wants assistance in implementing equipment or programs (such as the US 10 fingerprinting program). This file would contain any of the correspondence, authorizations, agreements, project updates, etc.

S&T - somebody proposes a device that can detect chemicals. S&T may authorize and fund the project using BPA/Grant funding. As with above, the file would contain correspondence, authorizations, benchmark reporting, etc.

With all programs, the agreement was that the background information needed to be maintained, but the Final Report should be maintained for a longer period.

12. Request for Assistance

i. We would like to get a better sense of the content of these records. Who are these requests coming from? What sort of analysis is done? How does DHS use this analysis?

This may be another we move to Records Common. The following have these: S&T/Readiness Operations Center (ROC), NPPD/CI/KR Partnership and Outreach Division/Infrastructure Coordination & Analysis Branch, OHA/National Biosurveillance Integration Center, OHA/Food, Agriculture and Veterinary Defense Division, OHA/Medical Readiness/Contingency Planning. The request could come from State and Local seeking assistance or opinion/assessment.

### 13. Situation Awareness Reports

i. These records sound like they may have permanent value. We would like to get a better sense of their content. What sort of information do they contain? How much can one learn about an incident from them? How unique is the information in them? Who exactly are they distributed to? How do recipients use the information in them? We would like to review (remotely or via a site visit).

You and I discussed these the other day. We may actually move this to the Records Common schedule as well. Any report that would contain information on a significant situation would be included in the Secretary's briefing books which are a permanent item. Components that have these are: I&A/Intelligence Watch and Warning, S&T/Readiness Operations Center (ROC), NPPD/Infrastructure Protection - CI/KR Contingency Planning & Incident Management Division/Incident Management, OHA/National Biosurveillance Integration Center, OHA/Medical Readiness/WMD Incident Coordination

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

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**Science and Technology Directorate**

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The Directorate for Science and Technology (S&T Directorate) is the primary research and development arm of DHS.

The S&T Directorate, in partnership with the private sector, national laboratories, universities, and other government agencies (domestic and foreign), helps push the innovation envelope and drive development and the use of high technology in support of homeland security. The Directorate is focusing on enabling its customers—the DHS components—and their customers, including Border Patrol agents, Coast Guardsmen, airport baggage screeners, Federal Air Marshals, and state, local, and Federal emergency responders, as well as the many others teamed and committed to the vital mission of securing the Nation.

To reach its goals, the S&T Directorate is:

- Creating a customer-focused, output-oriented, full-service science and technology management organization that is consistent with its enabling legislation
- Incorporating lessons learned since the start-up of DHS to sharpen its focus on executing mission-oriented programs
- Providing leadership and resources to develop the intellectual basis that is essential to future mission success

The Directorate has six primary divisions that address critical homeland security needs—spanning basic research through advanced technology development and transition.

- Explosives Division focuses on the detection, mitigation, and response to explosives such as improvised explosive devices and suicide bombers.
  - Chemical and Biological Division conducts analyses for better characterization and prioritization of the threat, develops detection systems to provide early warning of a possible attack so as to minimize exposure and speed treatment of victims, conducts forensic analyses to support attribution, and works with federal partners who have lead responsibilities in decontamination and restoration, agrodefense, and food security.
  - Border and Maritime Security Division develops, evaluates, and demonstrates technologies and tools for better securing our land and maritime ports of entry.
  - Command, Control, & Interoperability Division focuses on operable and interoperable communications for emergency responders, security and integrity of the Internet, and development of automated capabilities that “connect-the-dots” to recognize potential threats.
  - Human Factors Division applies the social and behavioral sciences to improve detection, analysis, and understanding of threats posed by individuals, groups, and radical movements; to support the preparedness, response and recovery of communities impacted by catastrophic events; and to advance national security by integrating human factors into homeland security technologies.
  - Infrastructure/Geophysical Division focuses on identifying and mitigating the vulnerabilities of the 17 critical infrastructure and key assets that keep our society and economy functioning.
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**U.S. Department of Homeland Security  
Headquarters Records Schedules**

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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 Bulletins/Short Term Assessments**

Scientific publications that are produced periodically to provide a technical assessment and characteristics on CBRNE relevant to homeland security.

**Disposition:**

PERMANENT. Cutoff at end of calendar year in which bulletin is produced, or when obsolete. Transfer to NARA 10 years after cutoff.

**2    Interoperability Case Studies**

Studies conducted on the technology or equipment; typically include a cost/benefit analysis, including an analysis of the efficiency and effectiveness, lessons learned, guidance and summary reports

**Disposition:**

**a. Significant Events**

Files maintained for each incident may include, but are not limited to, significant analysis or advice; correspondence, memoranda, reports, and other records documenting assignments and major activities of DHS, including materials that provide evidence of the functions, procedures, operations or other activities or are otherwise significant and merit permanent retention.

PERMANENT. Cut off after completion or cancellation of study. Transfer to NARA 30 years after cutoff or when volume warrants, whichever is earliest.

**b. All Other**

TEMPORARY. Cut off after completion or cancellation of study.

Instructions: Review case when 10 years old and determine if information is still relevant, accurate, and useful. If material is no longer valuable, destroy or delete immediately. If the Case Study contains information warranting continued retention it will be re-authorized using the current date as the cutoff.

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

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**3 National Interoperability Baseline Survey**

The study was designed to assess the five critical elements—governance; policies, practices, and procedures; technology; training and exercises; and usage—that determine an organization's capacity for interoperability. These five critical elements of interoperability, as codified by the SAFECOM program in 2004 and published as the "Interoperability Continuum", were developed in partnership with the public safety community and used as a starting point in the development of the survey questions for the study.

Results are reported in the SAFECOM Baseline Searchable Database System

**Disposition:**

TEMPORARY. Destroy or delete 3 years after date survey completed or date results reported/published, whichever is later.



**Julie Hunsaker - RE: S&T - N!-563-07-20**

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**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 5/8/2008 9:20 AM  
**Subject:** RE: S&T - N!-563-07-20

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Something more simple like this?

a. Significant Events – Final Report/Case Study

This item covers events that attract national media or Congressional attention.

PERMANENT. Cut off after completion or cancellation of study. Transfer to NARA 30 years after cutoff or when volume warrants, whichever is earliest.

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, May 08, 2008 9:07 AM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** RE: S&T - N!-563-07-20

Thank you, Tammy!

Could we revise the new Item 2a a bit? I'd like to exchange the paragraph describing the files maintained for each incident with a sentence describing the criteria for what is "significant."

Our expectation is that Item 2 only covers the final study reports. (In other words, what I saw on the DHS website at <http://www.safecomprogram.gov/SAFECON/library/interoperabilitycasestudies/>.) We are only looking to receive these reports as permanent records.

Perhaps we could exchange that paragraph with a sentence that reads, "This item covers events that attract national media or Congressional attention."

Let me know what you think.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/8/2008 7:54 AM >>>  
 Attached is the updated schedule. I've sent the remaining questions on Item 1 to the program area and will forward as soon as I receive them.

Thanks

-tlh

Tammy Hudson  
 DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, May 07, 2008 3:12 PM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** RE: S&T - NI-563-07-20

Tammy,

I've reviewed the updated schedule and the additional background material you provided us with. I have final recommendations for each of the remaining three items:

Item 1

- 1) Having now reviewed a bulletin and an assessment, we believe these records have permanent value. Let's move ahead with this schedule with Item 1 as permanent.
- 2) In the meantime, would it be possible for me to contact a SME by phone to find out some more information about these records for our appraisal report? (e.g., the topics they cover, how DHS decides what topics it will cover, the difference between bulletins and assessments, who reviews these reports and for what purpose, and the definition of "OIA" and "BKC.")
- 3) Please let me know whether DHS would ultimately transfer these records to NARA on paper or in electronic format. If they come to us electronically and exist as either scanned images or in PDF, we would need DHS to submit answers to some technical questions.
- 4) Please add wording to the item title and/or description that indicates this item applies to both Assessment Bulletins and Short Term Assessments.
- 5) Thank you for the numbers about projected annual accumulation (which appears to be about 7 of each type of report per year). Could you provide me with the current volume (in terms of what exists right now to-date)?
- 6) What year did DHS begin creating these reports?

Item 2

7) I believe part of Question 3 below is still unresolved:

We agree the bulk of these studies are temporary, however there are two studies relating to 9/11 and the DC snipers. These should be treated differently. Presumably the future DHS Catastrophic Event schedule would change the disposition of the 9/11 report to perm, however, it won't account for the DC snipers report. How do you think we should handle this? - Could we create a temp and a perm item, where the perm item identifies studies related to significant events?

Item 3

8) We recommend extending the retention period to 3 years. This will preclude asking for GAO's review of these program records. It will also ensure the records of each survey exist through the time the next survey is conducted (which we understand happens every 2 years).

Let me know if you have any questions.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 9:58 AM >>>  
 Updated schedule

Tammy Hudson  
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 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, April 14, 2008 9:32 AM  
**To:** Tammy <CTR> Hudson  
**Subject:** RE: S&T - N1-563-07-20

Yes, removing the Classification Guide item sounds like a good idea.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 9:28 AM >>>  
 I've made most of the changes mentioned below but still have some items to follow on:

- Bulletins - will check on these questions
- Classification Guide - we have a Dept Wide schedule for Classification Management (N1-563-08-10) - that also has the same disposition. Suppose I'll have to look at that, but in the meantime, I think we can remove that from S&T and use the dept wide schedule item instead. Agree?

-tlh

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S&T - somebody proposes a device that can detect chemicals. S&T may authorize and fund the project using BPA/Grant funding. As with above, the file would contain correspondence, authorizations, benchmark reporting, etc.

With all programs, the agreement was that the background information needed to be maintained, but the Final Report should be maintained for a longer period.

12. Request for Assistance

i. We would like to get a better sense of the content of these records. Who are these requests coming from? What sort of analysis is done? How does DHS use this analysis?

This may be another we move to Records Common. The following have these: S&T/Readiness Operations Center (ROC), NPPD/CI/KR Partnership and Outreach Division/Infrastructure Coordination & Analysis Branch, OHA/National Biosurveillance Integration Center, OHA/Food, Agriculture and Veterinary Defense Division, OHA/Medical Readiness/Contingency Planning. The request could come from State and Local seeking assistance or opinion/assessment.

13. Situation Awareness Reports

i. These records sound like they may have permanent value. We would like to get a better sense of their content. What sort of information do they contain? How much can one learn about an incident from them? How unique is the information in them? Who exactly are they distributed to? How do recipients use the information in them? We would like to review (remotely or via a site visit).

You and I discussed these the other day. We may actually move this to the Records Common schedule as well. Any report that would contain information on a significant situation would be included in the Secretary's briefing books which are a permanent item. Components that have these are: I&A/Intelligence Watch and Warning, S&T/Readiness Operations Center (ROC), NPPD/Infrastructure Protection - CI/KR Contingency Planning & Incident Management Division/Incident Management, OHA/National Biosurveillance Integration Center, OHA/Medical Readiness/WMD Incident Coordination

Tammy Hudson

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NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - RE: S&T - N!-563-07-20**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 5/8/2008 10:24 AM  
**Subject:** RE: S&T - N!-563-07-20  
**CC:** "Ivan King" <Ivan.King@nara.gov>

---

Here's the update

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, May 08, 2008 9:27 AM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** RE: S&T - N!-563-07-20

Yes, that looks good.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/8/2008 9:20 AM >>>  
 Something more simple like this?

a. Significant Events - Final Report/Case Study

This item covers events that attract national media or Congressional attention.

PERMANENT. Cut off after completion or cancellation of study. Transfer to NARA 30 years after cutoff or when volume warrants, whichever is earliest.

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, May 08, 2008 9:07 AM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** RE: S&T - N!-563-07-20

Thank you, Tammy!

Could we revise the new Item 2a a bit? I'd like to exchange the paragraph describing the files maintained for each incident with a sentence describing the criteria for what is "significant."

Our expectation is that Item 2 only covers the final study reports. (In other words, what I saw on the DHS website at <http://www.safecomprogram.gov/SAFECON/library/interoperabilitycasestudies/>.) We are only looking to receive these reports as permanent records.



Perhaps we could exchange that paragraph with a sentence that reads, "This item covers events that attract national media or Congressional attention."

Let me know what you think.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/8/2008 7:54 AM >>>  
Attached is the updated schedule. I've sent the remaining questions on Item 1 to the program area and will forward as soon as I receive them.

Thanks

-tlh

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**Sent:** Wednesday, May 07, 2008 3:12 PM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** RE: S&T - NI-563-07-20

Tammy,

I've reviewed the updated schedule and the additional background material you provided us with. I have final recommendations for each of the remaining three items:

#### Item 1

- 1) Having now reviewed a bulletin and an assessment, we believe these records have permanent value. Let's move ahead with this schedule with Item 1 as permanent.
- 2) In the meantime, would it be possible for me to contact a SME by phone to find out some more information about these records for our appraisal report? (e.g., the topics they cover, how DHS decides what topics it will cover, the difference between bulletins and assessments, who reviews these reports and for what purpose, and the definition of "OIA" and "BKC.")
- 3) Please let me know whether DHS would ultimately transfer these records to NARA on paper or in electronic format. If they come to us electronically and exist as either scanned images or in PDF, we would need DHS to submit answers to some technical questions.
- 4) Please add wording to the item title and/or description that indicates this item applies to both Assessment Bulletins and Short Term Assessments.
- 5) Thank you for the numbers about projected annual accumulation (which appears to be about 7 of each type of report per year). Could you provide me with the current volume (in terms of what exists right now to-date)?
- 6) What year did DHS begin creating these reports?

#### Item 2

- 7) I believe part of Question 3 below is still unresolved:

We agree the bulk of these studies are temporary, however there are two studies relating to 9/11 and the DC snipers. These should be treated differently. Presumably the future DHS Catastrophic Event schedule would change the disposition of the 9/11 report to perm, however, it won't account for the DC snipers report. How do you think we should handle this? - Could we create a temp and a perm item, where the perm item identifies studies related to significant events?

Item 3

8) We recommend extending the retention period to 3 years. This will preclude asking for GAO's review of these program records. It will also ensure the records of each survey exist through the time the next survey is conducted (which we understand happens every 2 years).

Let me know if you have any questions.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 9:58 AM >>>  
Updated schedule

Tammy Hudson  
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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, April 14, 2008 9:32 AM  
**To:** Tammy <CTR> Hudson  
**Subject:** RE: S&T - N1-563-07-20

Yes, removing the Classification Guide item sounds like a good idea.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 9:28 AM >>>  
I've made most of the changes mentioned below but still have some items to follow on:

- Bulletins - will check on these questions
- Classification Guide - we have a Dept Wide schedule for Classification Management (N1-563-08-10) - that also has the same disposition. Suppose I'll have to look at that, but in the meantime, I think we can remove that from S&T and use the dept wide schedule item instead. Agree?

-tlh

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NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, March 20, 2008 4:40 PM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** Re: S&T - N1-563-07-20

Hi, Tammy.

I've looked over your comments and agree with your recommendations to move items to the Records Common to All schedule. Here are my remaining specific questions/comments:

1. Brochures, Pamphlets and Pubs. Agree to move.

2. Bulletins. Having reviewed one of these now, I think these records may have permanent value. The bulletin you sent me contains substantive information about how DHS carries out its core function. It also likely significantly impacted DHS policies and priorities. However, to be more certain I'd like to review a few more bulletins. Is this possible?

Also, can you tell me whether "Assessment Bulletins" are one type of bulletin out of many or whether all S&T bulletins are "Assessment" Bulletins? If the later is true, it may make sense to change the title from the generic "Bulletins" to "Assessment Bulletins". Also, do these bulletins always come out of the Biodefense Knowledge Center or do other DHS entities in S&T create them? Do you have a sense of the current volume of these bulletins and what the annual accumulation might be?

3. Case Studies. The SAFECOM site indicates these are all studies about interoperability. Would it make sense then to change the title from the generic "Case Studies" to "Interoperability Case Studies"? (This would cause less confusion if other S&T programs have other types of case studies.)

We agree the bulk of these studies are temporary, however there are two studies relating to 9/11 and the DC snipers. These should be treated differently. Presumably the future DHS Catastrophic Event schedule would change the disposition of the 9/11 report to perm, however, it won't account for the DC snipers report. How do you think we should handle this?

(As a side: regarding items that may have records that should change from temp to perm if they relate to Catastrophic Events, we should try to work together to build a list of the authorities that could be affected by the future Catastrophic Events schedule. This would be one of them.)

4. Classification Guide. I'm not sure I understand your response to my question 4i below. Could you clarify? Is it possible this is a Records Common to All item?

5. Compliance and Assessment Files. Agree to move.

6-7. Grant Files. Agree to move.

I do have one question regarding Item 6. When you said "these records" are working files, were you referring only to Item 7 or to both Item 6 and Item 7?

9. Newsletter. Agree to move.

10. Plume Models. Agree to drop.

11-13. Project Control Files, Request for Assistance, and Situation Awareness Reports. Agree to move.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/5/2008 7:28 AM >>>  
Julie/Ivan,

Please see the comments below:

1. Brochures, Pamphlets and Publications. This will be deleted - is on Records Common  
i. We recommend removing this item as it appears on the Records Common to All schedule.

2. Bulletins see attached - these are more of an intelligence type of notification (password to open is: **BKC10324**)

i. We'd like to get a better sense of the specific content of these records in order to understand why these publications wouldn't be covered by Item 1 (Brochures, Pamphlets and Publications) in the Records Common to All schedule. We would like to review (remotely or via a site visit).

### 3. Case Studies <http://www.safecomprogram.gov/SAFECON/library/interoperabilitycasestudies/>

i. We would like to get a better sense of the content of these studies. Why is S&T conducting them? What issues are they studying? What kind of technology and equipment is studied? How does DHS use the results? We would like to review (remotely or via a site visit).

### 4. Classification Guide

- i. Does this item represent the record version of the Classification Guide or only a copy maintained by a certain office? In other words, does S&T write the Guide for all of DHS to use (e.g., I&A), or is it some other entity? If it's some other entity, we recommend moving this item to that entity's schedule.
- ii. Our questions for this item relate to the proposed retention periods. How would one make the determination to either cut off when superseded or upon termination of the program? (This question is important as the two proposed retention periods could vary widely.) Is this instruction saying to cut off when superseded, or, if never superseded then upon termination of the program/office for which the guide was established?
- iii. Our understanding is these guides should be updated every five years. If this is the case, then the proposed 3-year retention period would mean the "one-previous" guide would be destroyed before the current guide is updated. Would it be useful to establish a retention period that allows agency staff to refer back to the current and "one-previous" guide while writing a new guide? If only to keep track of things that were inadvertently dropped or deleted from the current guide.

This is specific to that one program. I will modify the retention statement.

### 5. Compliance and Assessment Files this will be included in the OGC schedule - delete from S&T

- i. We would like to get a better sense of the content of these files. What kind of projects do these files relate to? How much information do they contain about the purpose and outcome of each project? We would like to review (remotely or via a site visit).
- ii. Does the cutoff, "review of project," essentially mean the records will be cut off when each compliance and assessment case file is completed or closed - because these files are created to review projects? Or does it mean something else entirely?

### 6. Grant Files / Grant Allocations

We would like to get a better sense of the content of these records.

- i. What types of records does this item cover? (e.g., Item 7 states it covers applications.)
- ii. Is this item actually restricted only to a certain type of DHS grant, or will it cover all DHS grants? In other words, does DHS only give grants for "Training, Exercise and Research" and "the use of SOPs for improving emergency response communications and interoperability"? If not, please consider writing a more broadbased description. Also, can you provide us with documentation that describes the grants DHS gives/funds?

### 7. Grant Files / Grant Case Files (Copy)

- i. What is the implication of including "copy" in this item's title? Does this mean these are non-record or that these are copies of records maintained elsewhere - but they serve as records for S&T? If so, please explain this in the description - and how these records relate to the actual Grant Case File maintained elsewhere (e.g., how much of or which of the documents within the file is unique info and how much is copy)?
- ii. Depending on the answer to these question about how unique the information is in these files, we may need to review them via a site visit. (Sometimes grant case files are considered permanent, depending on the significance of the information in them.)

These records are not the actual Grant files, but rather working files, copies of the originals and associated documentation. The personnel using these records feel it is important to maintain them for as long as the program it applies to is active. The Record copy is maintained by the Federal Emergency Management Agency (FEMA).

### 6 & 7. Grant Files

- i. Can these two items be combined and just called "Grant Files"?
- ii. What is the rationale behind the 5-year retention period?

Maybe we should consider this and move it to the Records Common schedule - there are several components that have this listed in the inventory (S&T, OHA, NPPD, etc)

#### Grant Project Files

Files containing correspondence, memoranda and letters, study reports, and other unsolicited items received for consideration for a grant or cooperative agreement that is later approved.

TEMPORARY. Cut off at end of fiscal year when grant or agreement is finalized. Destroy or delete 3 years after cutoff or when no longer needed, whichever is sooner.

9. Newsletter Records Common (item 6) - will delete from S&T. I will send samples with the Records Common items.

i. If this is a publication, would it be covered by Item 1 on the Records Common to All (RCTA) schedule? If not, why? Also if it isn't covered by Item 1 on the RCTA schedule, how could RCTA Item 1 be revised to explain what publications it doesn't cover?

ii. If these records remain a separate item on this schedule, we would like to get a better sense of the content of these newsletters. If we could review samples remotely, that would be great. Otherwise, we could include in a site visit.

10. Plume Models This should not have been included in the SF 115 - will delete

i. Please do not apply GRS 18 Item 28 to these records (or any other exercise/emergency ops test files) if they are program-related. The intent of this item and other items in GRS 18 is to help dispose of records associated with an agency's own emergency planning records, etc. In other words, it covers plans to protect the life and property of agencies - which is admin-related - rather than national emergency planning records which is program-related.

ii. Why would these records be part of an investigative or project file? Why are they created?

iii. I recommend dropping this item from the schedule as it does not contain a request for approval of a proposed disposition instruction.

#### 11. Project Control Files

i. We would like to get a better sense of the content of these files. What kind of projects do these files relate to? How much information do they contain about the purpose and outcome of each project? We would like to review (remotely or via a site visit).

This may be another we move to Records Common. This record type is in DNDO, OHA, S&T and NPPD.

Here are a couple examples of how it fits:

US-VISIT - A country comes to them and wants assistance in implementing equipment or programs (such as the US 10 fingerprinting program). This file would contain any of the correspondence, authorizations, agreements, project updates, etc.

S&T - somebody proposes a device that can detect chemicals. S&T may authorize and fund the project using BPA/Grant funding. As with above, the file would contain correspondence, authorizations, benchmark reporting, etc.

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i. These records sound like they may have permanent value. We would like to get a better sense of their content. What sort of information do they contain? How much can one learn about an incident from them? How unique is the information in them? Who exactly are they distributed to? How do recipients use the information in them? We would like to review (remotely or via a site visit).

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

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**Science and Technology Directorate**

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The Directorate for Science and Technology (S&T Directorate) is the primary research and development arm of DHS.

The S&T Directorate, in partnership with the private sector, national laboratories, universities, and other government agencies (domestic and foreign), helps push the innovation envelope and drive development and the use of high technology in support of homeland security. The Directorate is focusing on enabling its customers—the DHS components—and their customers, including Border Patrol agents, Coast Guardsmen, airport baggage screeners, Federal Air Marshals, and state, local, and Federal emergency responders, as well as the many others teamed and committed to the vital mission of securing the Nation.

To reach its goals, the S&T Directorate is:

- Creating a customer-focused, output-oriented, full-service science and technology management organization that is consistent with its enabling legislation
- Incorporating lessons learned since the start-up of DHS to sharpen its focus on executing mission-oriented programs
- Providing leadership and resources to develop the intellectual basis that is essential to future mission success

The Directorate has six primary divisions that address critical homeland security needs—spanning basic research through advanced technology development and transition.

- Explosives Division focuses on the detection, mitigation, and response to explosives such as improvised explosive devices and suicide bombers.
  - Chemical and Biological Division conducts analyses for better characterization and prioritization of the threat, develops detection systems to provide early warning of a possible attack so as to minimize exposure and speed treatment of victims, conducts forensic analyses to support attribution, and works with federal partners who have lead responsibilities in decontamination and restoration, agrodefense, and food security.
  - Border and Maritime Security Division develops, evaluates, and demonstrates technologies and tools for better securing our land and maritime ports of entry.
  - Command, Control, & Interoperability Division focuses on operable and interoperable communications for emergency responders, security and integrity of the Internet, and development of automated capabilities that “connect-the-dots” to recognize potential threats.
  - Human Factors Division applies the social and behavioral sciences to improve detection, analysis, and understanding of threats posed by individuals, groups, and radical movements; to support the preparedness, response and recovery of communities impacted by catastrophic events; and to advance national security by integrating human factors into homeland security technologies.
  - Infrastructure/Geophysical Division focuses on identifying and mitigating the vulnerabilities of the 17 critical infrastructure and key assets that keep our society and economy functioning.
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**U.S. Department of Homeland Security  
Headquarters Records Schedules**

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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 Bulletins/Short Term Assessments**

Scientific publications that are produced periodically to provide a technical assessment and characteristics on CBRNE relevant to homeland security.

**Disposition:**

PERMANENT. Cutoff at end of calendar year in which bulletin is produced, or when obsolete. Transfer to NARA 10 years after cutoff.

**2    Interoperability Case Studies**

Studies conducted on the technology or equipment; typically include a cost/benefit analysis, including an analysis of the efficiency and effectiveness, lessons learned, guidance and summary reports

**Disposition:**

a. Significant Events - Final Report/Case Study  
This item covers events that attract national media or Congressional attention.

PERMANENT. Cut off after completion or cancellation of study. Transfer to NARA 30 years after cutoff or when volume warrants, whichever is earliest.

b. All Other  
TEMPORARY. Cut off after completion or cancellation of study.

Instructions: Review case when 10 years old and determine if information is still relevant, accurate, and useful. If material is no longer valuable, destroy or delete immediately. If the Case Study contains information warranting continued retention it will be re-authorized using the current date as the cutoff.



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

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**3 National Interoperability Baseline Survey**

The study was designed to assess the five critical elements—governance; policies, practices, and procedures; technology; training and exercises; and usage—that determine an organization's capacity for interoperability. These five critical elements of interoperability, as codified by the SAFECOM program in 2004 and published as the "Interoperability Continuum", were developed in partnership with the public safety community and used as a starting point in the development of the survey questions for the study.

Results are reported in the SAFECOM Baseline Searchable Database System

**Disposition:**

TEMPORARY. Destroy or delete 3 years after date survey completed or date results reported/published, whichever is later.

**Julie Hunsaker - RE: S&T - NI-563-07-20**

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**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 5/8/2008 10:39 AM  
**Subject:** RE: S&T - NI-563-07-20  
**CC:** King, Ivan

---

I think we've got it! We'll move ahead with this version.

Thank you!

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/8/2008 10:20 AM >>>  
Here's the update

Tammy Hudson  
DHS Records Management - Contractor  
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Let me know what you think.

Julie

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Thanks

-tlh

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Tammy,

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Julie

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Updated schedule

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**To:** Tammy <CTR> Hudson  
**Subject:** RE: S&T - N1-563-07-20

Yes, removing the Classification Guide item sounds like a good idea.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 9:28 AM >>>  
I've made most of the changes mentioned below but still have some items to follow on:

- Bulletins - will check on these questions
- Classification Guide - we have a Dept Wide schedule for Classification Management (N1-563-08-10) - that also has the same disposition. Suppose I'll have to look at that, but in the meantime, I think we can remove that from S&T and use the dept wide schedule item instead. Agree?

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, March 20, 2008 4:40 PM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King

**Subject:** Re: S&T - NI-563-07-20

Hi, Tammy.

I've looked over your comments and agree with your recommendations to move items to the Records Common to All schedule. Here are my remaining specific questions/comments:

1. Brochures, Pamphlets and Pubs. Agree to move.

2. Bulletins. Having reviewed one of these now, I think these records may have permanent value. The bulletin you sent me contains substantive information about how DHS carries out its core function. It also likely significantly impacted DHS policies and priorities. However, to be more certain I'd like to review a few more bulletins. Is this possible?

Also, can you tell me whether "Assessment Bulletins" are one type of bulletin out of many or whether all S&T bulletins are "Assessment" Bulletins? If the later is true, it may make sense to change the title from the generic "Bulletins" to "Assessment Bulletins". Also, do these bulletins always come out of the Biodefense Knowledge Center or do other DHS entities in S&T create them? Do you have a sense of the current volume of these bulletins and what the annual accumulation might be?

3. Case Studies. The SAFECOM site indicates these are all studies about interoperability. Would it make sense then to change the title from the generic "Case Studies" to "Interoperability Case Studies"? (This would cause less confusion if other S&T programs have other types of case studies.)

We agree the bulk of these studies are temporary, however there are two studies relating to 9/11 and the DC snipers. These should be treated differently. Presumably the future DHS Catastrophic Event schedule would change the disposition of the 9/11 report to perm, however, it won't account for the DC snipers report. How do you think we should handle this?

(As a side: regarding items that may have records that should change from temp to perm if they relate to Catastrophic Events, we should try to work together to build a list of the authorities that could be affected by the future Catastrophic Events schedule. This would be one of them.)

4. Classification Guide. I'm not sure I understand your response to my question 4i below. Could you clarify? Is it possible this is a Records Common to All item?

5. Compliance and Assessment Files. Agree to move.

6-7. Grant Files. Agree to move.

I do have one question regarding Item 6. When you said "these records" are working files, were you referring only to Item 7 or to both Item 6 and Item 7?

9. Newsletter. Agree to move.

10. Plume Models. Agree to drop.

11-13. Project Control Files, Request for Assistance, and Situation Awareness Reports. Agree to move.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/5/2008 7:28 AM >>>  
Julie/Ivan,

Please see the comments below:

1. Brochures, Pamphlets and Publications This will be deleted - is on Records Common

i. We recommend removing this item as it appears on the Records Common to All schedule.

2. Bulletins see attached - these are more of an intelligence type of notification (password to open is: **BKC10324**)

i. We'd like to get a better sense of the specific content of these records in order to understand why these publications wouldn't be covered by Item 1 (Brochures, Pamphlets and Publications) in the Records Common to All schedule. We would like to review (remotely or via a site visit).

3. Case Studies <http://www.safecomprogram.gov/SAFECON/library/interoperabilitycasestudies/>

i. We would like to get a better sense of the content of these studies. Why is S&T conducting them? What issues are they studying? What kind of technology and equipment is studied? How does DHS use the results? We would like to review (remotely or via a site visit).

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i. Does this item represent the record version of the Classification Guide or only a copy maintained by a certain office? In other words, does S&T write the Guide for all of DHS to use (e.g., I&A), or is it some other entity? If it's some other entity, we recommend moving this item to that entity's schedule.

ii. Our questions for this item relate to the proposed retention periods. How would one make the determination to either cut off when superseded or upon termination of the program? (This question is important as the two proposed retention periods could vary widely.) Is this instruction saying to cut off when superseded, or, if never superseded then upon termination of the program/office for which the guide was established?

iii. Our understanding is these guides should be updated every five years. If this is the case, then the proposed 3-year retention period would mean the "one-previous" guide would be destroyed before the current guide is updated. Would it be useful to establish a retention period that allows agency staff to refer back to the current and "one-previous" guide while writing a new guide? If only to keep track of things that were inadvertently dropped or deleted from the current guide.

This is specific to that one program. I will modify the retention statement.

5. Compliance and Assessment Files this will be included in the OGC schedule - delete from S&T

i. We would like to get a better sense of the content of these files. What kind of projects do these files relate to? How much information do they contain about the purpose and outcome of each project? We would like to review (remotely or via a site visit).

ii. Does the cutoff, "review of project," essentially mean the records will be cut off when each compliance and assessment case file is completed or closed - because these files are created to review projects? Or does it mean something else entirely?

#### 6. Grant Files / Grant Allocations

We would like to get a better sense of the content of these records.

i. What types of records does this item cover? (e.g., Item 7 states it covers applications.)

ii. Is this item actually restricted only to a certain type of DHS grant, or will it cover all DHS grants? In other words, does DHS only give grants for "Training, Exercise and Research" and "the use of SOPs for improving emergency response communications and interoperability"? If not, please consider writing a more broadbased description. Also, can you provide us with documentation that describes the grants DHS gives/funds?

#### 7. Grant Files / Grant Case Files (Copy)

i. What is the implication of including "copy" in this item's title? Does this mean these are non-record or that these are copies of records maintained elsewhere - but they serve as records for S&T? If so, please explain this in the description - and how these records relate to the actual Grant Case File maintained elsewhere (e.g., how much of or which of the documents within the file is unique info and how much is copy)?

ii. Depending on the answer to these question about how unique the information is in these files, we may need to review them via a site visit. (Sometimes grant case files are considered permanent, depending on the significance of the information in them.)

These records are not the actual Grant files, but rather working files, copies of the originals and

associated documentation. The personnel using these records feel it is important to maintain them for as long as the program it applies to is active. The Record copy is maintained by the Federal Emergency Management Agency (FEMA).

#### 6 & 7. Grant Files

- i. Can these two items be combined and just called "Grant Files"?
- ii. What is the rationale behind the 5-year retention period?

Maybe we should consider this and move it to the Records Common schedule - there are several components that have this listed in the inventory (S&T, OHA, NPPD, etc)

#### Grant Project Files

Files containing correspondence, memoranda and letters, study reports, and other unsolicited items received for consideration for a grant or cooperative agreement that is later approved.

TEMPORARY. Cut off at end of fiscal year when grant or agreement is finalized. Destroy or delete 3 years after cutoff or when no longer needed, whichever is sooner.

9. Newsletter Records Common (item 6) - will delete from S&T. I will send samples with the Records Common items.

- i. If this is a publication, would it be covered by Item 1 on the Records Common to All (RCTA) schedule? If not, why? Also if it isn't covered by Item 1 on the RCTA schedule, how could RCTA Item 1 be revised to explain what publications it doesn't cover?
- ii. If these records remain a separate item on this schedule, we would like to get a better sense of the content of these newsletters. If we could review samples remotely, that would be great. Otherwise, we could include in a site visit.

10. Plume Models This should not have been included in the SF 115 - will delete

- i. Please do not apply GRS 18 Item 28 to these records (or any other exercise/emergency ops test files) if they are program-related. The intent of this item and other items in GRS 18 is to help dispose of records associated with an agency's own emergency planning records, etc. In other words, it covers plans to protect the life and property of agencies - which is admin-related - rather than national emergency planning records which is program-related.
- ii. Why would these records be part of an investigative or project file? Why are they created?
- iii. I recommend dropping this item from the schedule as it does not contain a request for approval of a proposed disposition instruction.

#### 11. Project Control Files

- i. We would like to get a better sense of the content of these files. What kind of projects do these files relate to? How much information do they contain about the purpose and outcome of each project? We would like to review (remotely or via a site visit).

This may be another we move to Records Common. This record type is in DNDO, OHA, S&T and NPPD.

Here are a couple examples of how it fits:

US-VISIT - A country comes to them and wants assistance in implementing equipment or programs (such as the US 10 fingerprinting program). This file would contain any of the correspondence, authorizations, agreements, project updates, etc.

S&T - somebody proposes a device that can detect chemicals. S&T may authorize and fund the project using BPA/Grant funding. As with above, the file would contain correspondence, authorizations, benchmark reporting, etc.

With all programs, the agreement was that the background information needed to be maintained, but the Final Report should be maintained for a longer period.

#### 12. Request for Assistance

i. We would like to get a better sense of the content of these records. Who are these requests coming from? What sort of analysis is done? How does DHS use this analysis?

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#### 13. Situation Awareness Reports

i. These records sound like they may have permanent value. We would like to get a better sense of their content. What sort of information do they contain? How much can one learn about an incident from them? How unique is the information in them? Who exactly are they distributed to? How do recipients use the information in them? We would like to review (remotely or via a site visit).

You and I discussed these the other day. We may actually move this to the Records Common schedule as well. Any report that would contain information on a significant situation would be included in the Secretary's briefing books which are a permanent item. Components that have these are: I&A/Intelligence Watch and Warning, S&T/Readiness Operations Center (ROC), NPPD/Infrastructure Protection - CI/KR Contingency Planning & Incident Management Division/Incident Management, OHA/National Biosurveillance Integration Center, OHA/Medical Readiness/WMD Incident Coordination

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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)



**Julie Hunsaker - RE: S&T - N!-563-07-20**

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**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 5/8/2008 10:48 AM  
**Subject:** RE: S&T - N!-563-07-20

---

Yeah! Finally!!

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, May 08, 2008 10:39 AM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** RE: S&T - N!-563-07-20

I think we've got it! We'll move ahead with this version.

Thank you!

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/8/2008 10:20 AM >>>  
 Here's the update

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, May 08, 2008 9:27 AM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** RE: S&T - N!-563-07-20

Yes, that looks good.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/8/2008 9:20 AM >>>  
 Something more simple like this?

a. Significant Events - Final Report/Case Study

This item covers events that attract national media or Congressional attention.

PERMANENT. Cut off after completion or cancellation of study. Transfer to NARA 30 years after cutoff or when volume warrants, whichever is earliest.

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, May 08, 2008 9:07 AM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** RE: S&T - N!-563-07-20

Thank you, Tammy!

Could we revise the new Item 2a a bit? I'd like to exchange the paragraph describing the files maintained for each incident with a sentence describing the criteria for what is "significant."

Our expectation is that Item 2 only covers the final study reports. (In other words, what I saw on the DHS website at <http://www.safecomprogram.gov/SAFECON/library/interoperabilitycasestudies/>.) We are only looking to receive these reports as permanent records.

Perhaps we could exchange that paragraph with a sentence that reads, "This item covers events that attract national media or Congressional attention."

Let me know what you think.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/8/2008 7:54 AM >>>  
 Attached is the updated schedule. I've sent the remaining questions on Item 1 to the program area and will forward as soon as I receive them.

Thanks

-tlh

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, May 07, 2008 3:12 PM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** RE: S&T - N!-563-07-20

Tammy,

I've reviewed the updated schedule and the additional background material you provided us with. I have final recommendations for each of the remaining three items:

Item 1

- 1) Having now reviewed a bulletin and an assessment, we believe these records have permanent value. Let's move ahead with this schedule with Item 1 as permanent.
- 2) In the meantime, would it be possible for me to contact a SME by phone to find out some more information

about these records for our appraisal report? (e.g., the topics they cover, how DHS decides what topics it will cover, the difference between bulletins and assessments, who reviews these reports and for what purpose, and the definition of "OIA" and "BKC.")

3) Please let me know whether DHS would ultimately transfer these records to NARA on paper or in electronic format. If they come to us electronically and exist as either scanned images or in PDF, we would need DHS to submit answers to some technical questions.

4) Please add wording to the item title and/or description that indicates this item applies to both Assessment Bulletins and Short Term Assessments.

5) Thank you for the numbers about projected annual accumulation (which appears to be about 7 of each type of report per year). Could you provide me with the current volume (in terms of what exists right now to-date)?

6) What year did DHS begin creating these reports?

#### Item 2

7) I believe part of Question 3 below is still unresolved:

We agree the bulk of these studies are temporary, however there are two studies relating to 9/11 and the DC snipers. These should be treated differently. Presumably the future DHS Catastrophic Event schedule would change the disposition of the 9/11 report to perm, however, it won't account for the DC snipers report. How do you think we should handle this? - Could we create a temp and a perm item, where the perm item identifies studies related to significant events?

#### Item 3

8) We recommend extending the retention period to 3 years. This will preclude asking for GAO's review of these program records. It will also ensure the records of each survey exist through the time the next survey is conducted (which we understand happens every 2 years).

Let me know if you have any questions.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 9:58 AM >>>  
Updated schedule

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, April 14, 2008 9:32 AM  
**To:** Tammy <CTR> Hudson  
**Subject:** RE: S&T - N1-563-07-20

Yes, removing the Classification Guide item sounds like a good idea.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 9:28 AM >>>  
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**Sent:** Thursday, March 20, 2008 4:40 PM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** Re: S&T - NI-563-07-20

Hi, Tammy.

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6-7. Grant Files. Agree to move.

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9. Newsletter. Agree to move.

10. Plume Models. Agree to drop.

11-13. Project Control Files, Request for Assistance, and Situation Awareness Reports. Agree to move.

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You and I discussed these the other day. We may actually move this to the Records Common schedule as well. Any report that would contain information on a significant situation would be included in the Secretary's briefing books which are a permanent item. Components that have these are: I&A/Intelligence Watch and Warning, S&T/Readiness Operations Center (ROC), NPPD/Infrastructure Protection - CI/KR Contingency Planning & Incident Management Division/Incident Management, OHA/National Biosurveillance Integration Center, OHA/Medical Readiness/WMD Incident Coordination

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - RE: S&T - N!-563-07-20**

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**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 5/8/2008 10:49 AM  
**Subject:** RE: S&T - N!-563-07-20

---

Yes, it is cause for some celebration! I'll let you know how things go from here.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/8/2008 10:47 AM >>>  
 Yeah! Finally!!

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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, May 08, 2008 10:39 AM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** RE: S&T - N!-563-07-20

I think we've got it! We'll move ahead with this version.

Thank you!

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/8/2008 10:20 AM >>>  
 Here's the update

Tammy Hudson  
 DHS Records Management - Contractor  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, May 08, 2008 9:27 AM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** RE: S&T - N!-563-07-20

Yes, that looks good.

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/8/2008 9:20 AM >>>  
 Something more simple like this?

a. Significant Events - Final Report/Case Study  
 This item covers events that attract national media or Congressional attention.



PERMANENT. Cut off after completion or cancellation of study. Transfer to NARA 30 years after cutoff or when volume warrants, whichever is earliest.

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---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, May 08, 2008 9:07 AM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** RE: S&T - NI-563-07-20

Thank you, Tammy!

Could we revise the new Item 2a a bit? I'd like to exchange the paragraph describing the files maintained for each incident with a sentence describing the criteria for what is "significant."

Our expectation is that Item 2 only covers the final study reports. (In other words, what I saw on the DHS website at <http://www.safecomprogram.gov/SAFECON/library/interoperabilitycasestudies/>.) We are only looking to receive these reports as permanent records.

Perhaps we could exchange that paragraph with a sentence that reads, "This item covers events that attract national media or Congressional attention."

Let me know what you think.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 5/8/2008 7:54 AM >>>  
Attached is the updated schedule. I've sent the remaining questions on Item 1 to the program area and will forward as soon as I receive them.

Thanks

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, May 07, 2008 3:12 PM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** RE: S&T - NI-563-07-20

Tammy,

I've reviewed the updated schedule and the additional background material you provided us with. I have final recommendations for each of the remaining three items:

Item 1

- 1) Having now reviewed a bulletin and an assessment, we believe these records have permanent value. Let's move ahead with this schedule with Item 1 as permanent.
- 2) In the meantime, would it be possible for me to contact a SME by phone to find out some more information about these records for our appraisal report? (e.g., the topics they cover, how DHS decides what topics it will cover, the difference between bulletins and assessments, who reviews these reports and for what purpose, and the definition of "OIA" and "BKC.")
- 3) Please let me know whether DHS would ultimately transfer these records to NARA on paper or in electronic format. If they come to us electronically and exist as either scanned images or in PDF, we would need DHS to submit answers to some technical questions.
- 4) Please add wording to the item title and/or description that indicates this item applies to both Assessment Bulletins and Short Term Assessments.
- 5) Thank you for the numbers about projected annual accumulation (which appears to be about 7 of each type of report per year). Could you provide me with the current volume (in terms of what exists right now to-date)?
- 6) What year did DHS begin creating these reports?

Item 2

7) I believe part of Question 3 below is still unresolved:

We agree the bulk of these studies are temporary, however there are two studies relating to 9/11 and the DC snipers. These should be treated differently. Presumably the future DHS Catastrophic Event schedule would change the disposition of the 9/11 report to perm, however, it won't account for the DC snipers report. How do you think we should handle this? - Could we create a temp and a perm item, where the perm item identifies studies related to significant events?

Item 3

8) We recommend extending the retention period to 3 years. This will preclude asking for GAO's review of these program records. It will also ensure the records of each survey exist through the time the next survey is conducted (which we understand happens every 2 years).

Let me know if you have any questions.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 9:58 AM >>>  
Updated schedule

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Monday, April 14, 2008 9:32 AM  
**To:** Tammy <CTR> Hudson  
**Subject:** RE: S&T - N1-563-07-20

Yes, removing the Classification Guide item sounds like a good idea.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 4/14/2008 9:28 AM >>>  
I've made most of the changes mentioned below but still have some items to follow on:

- Bulletins - will check on these questions
- Classification Guide - we have a Dept Wide schedule for Classification Management (N1-563-08-10) -

that also has the same disposition. Suppose I'll have to look at that, but in the meantime, I think we can remove that from S&T and use the dept wide schedule item instead. Agree?

-tlh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Thursday, March 20, 2008 4:40 PM  
**To:** Tammy <CTR> Hudson  
**Cc:** Ivan King  
**Subject:** Re: S&T - NI-563-07-20

Hi, Tammy.

I've looked over your comments and agree with your recommendations to move items to the Records Common to All schedule. Here are my remaining specific questions/comments:

1. Brochures, Pamphlets and Pubs. Agree to move.

2. Bulletins. Having reviewed one of these now, I think these records may have permanent value. The bulletin you sent me contains substantive information about how DHS carries out its core function. It also likely significantly impacted DHS policies and priorities. However, to be more certain I'd like to review a few more bulletins. Is this possible?

Also, can you tell me whether "Assessment Bulletins" are one type of bulletin out of many or whether all S&T bulletins are "Assessment" Bulletins? If the later is true, it may make sense to change the title from the generic "Bulletins" to "Assessment Bulletins". Also, do these bulletins always come out of the Biodefense Knowledge Center or do other DHS entities in S&T create them? Do you have a sense of the current volume of these bulletins and what the annual accumulation might be?

3. Case Studies. The SAFECOM site indicates these are all studies about interoperability. Would it make sense then to change the title from the generic "Case Studies" to "Interoperability Case Studies"? (This would cause less confusion if other S&T programs have other types of case studies.)

We agree the bulk of these studies are temporary, however there are two studies relating to 9/11 and the DC snipers. These should be treated differently. Presumably the future DHS Catastrophic Event schedule would change the disposition of the 9/11 report to perm, however, it won't account for the DC snipers report. How do you think we should handle this?

(As a side: regarding items that may have records that should change from temp to perm if they relate to Catastrophic Events, we should try to work together to build a list of the authorities that could be affected by the future Catastrophic Events schedule. This would be one of them.)

4. Classification Guide. I'm not sure I understand your response to my question 4i below. Could you clarify? Is it possible this is a Records Common to All item?

5. Compliance and Assessment Files. Agree to move.

6-7. Grant Files. Agree to move.

I do have one question regarding Item 6. When you said "these records" are working files, were you referring only to Item 7 or to both Item 6 and Item 7?

9. Newsletter. Agree to move.

10. Plume Models. Agree to drop.

11-13. Project Control Files, Request for Assistance, and Situation Awareness Reports. Agree to move.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 3/5/2008 7:28 AM >>>  
Julie/Ivan,

Please see the comments below:

1. Brochures, Pamphlets and Publications. This will be deleted - is on Records Common

i. We recommend removing this item as it appears on the Records Common to All schedule.

2. Bulletins see attached - these are more of an intelligence type of notification (password to open is: **BKC10324**)

i. We'd like to get a better sense of the specific content of these records in order to understand why these publications wouldn't be covered by Item 1 (Brochures, Pamphlets and Publications) in the Records Common to All schedule. We would like to review (remotely or via a site visit).

3. Case Studies <http://www.safecomprogram.gov/SAFECOM/library/interoperabilitycasestudies/>

i. We would like to get a better sense of the content of these studies. Why is S&T conducting them? What issues are they studying? What kind of technology and equipment is studied? How does DHS use the results? We would like to review (remotely or via a site visit).

4. Classification Guide

i. Does this item represent the record version of the Classification Guide or only a copy maintained by a certain office? In other words, does S&T write the Guide for all of DHS to use (e.g., I&A), or is it some other entity? If it's some other entity, we recommend moving this item to that entity's schedule.

ii. Our questions for this item relate to the proposed retention periods. How would one make the determination to either cut off when superseded or upon termination of the program? (This question is important as the two proposed retention periods could vary widely.) Is this instruction saying to cut off when superseded, or, if never superseded then upon termination of the program/office for which the guide was established?

iii. Our understanding is these guides should be updated every five years. If this is the case, then the proposed 3-year retention period would mean the "one-previous" guide would be destroyed before the current guide is updated. Would it be useful to establish a retention period that allows agency staff to refer back to the current and "one-previous" guide while writing a new guide? If only to keep track of things that were inadvertently dropped or deleted from the current guide.

This is specific to that one program. I will modify the retention statement.

5. Compliance and Assessment Files this will be included in the OGC schedule - delete from S&T

i. We would like to get a better sense of the content of these files. What kind of projects do these files relate to? How much information do they contain about the purpose and outcome of each project? We would like to review (remotely or via a site visit).

ii. Does the cutoff, "review of project," essentially mean the records will be cut off when each compliance and assessment case file is completed or closed - because these files are created to review projects? Or does it mean something else entirely?

6. Grant Files / Grant Allocations

We would like to get a better sense of the content of these records.

i. What types of records does this item cover? (e.g., Item 7 states it covers applications.)

ii. Is this item actually restricted only to a certain type of DHS grant, or will it cover all DHS grants? In other

words, does DHS only give grants for "Training, Exercise and Research" and "the use of SOPs for improving emergency response communications and interoperability"? If not, please consider writing a more broadbased description. Also, can you provide us with documentation that describes the grants DHS gives/funds?

#### 7. Grant Files / Grant Case Files (Copy)

- i. What is the implication of including "copy" in this item's title? Does this mean these are non-record or that these are copies of records maintained elsewhere - but they serve as records for S&T? If so, please explain this in the description - and how these records relate to the actual Grant Case File maintained elsewhere (e.g., how much of or which of the documents within the file is unique info and how much is copy)?
- ii. Depending on the answer to these question about how unique the information is in these files, we may need to review them via a site visit. (Sometimes grant case files are considered permanent, depending on the significance of the information in them.)

These records are not the actual Grant files, but rather working files, copies of the originals and associated documentation. The personnel using these records feel it is important to maintain them for as long as the program it applies to is active. The Record copy is maintained by the Federal Emergency Management Agency (FEMA).

#### 6 & 7. Grant Files

- i. Can these two items be combined and just called "Grant Files"?
- ii. What is the rationale behind the 5-year retention period?

Maybe we should consider this and move it to the Records Common schedule - there are several components that have this listed in the inventory (S&T, OHA, NPPD, etc)

#### Grant Project Files

Files containing correspondence, memoranda and letters, study reports, and other unsolicited items received for consideration for a grant or cooperative agreement that is later approved.

TEMPORARY. Cut off at end of fiscal year when grant or agreement is finalized. Destroy or delete 3 years after cutoff or when no longer needed, whichever is sooner.

9. Newsletter Records Common (item 6) - will delete from S&T. I will send samples with the Records Common items.

- i. If this is a publication, would it be covered by Item 1 on the Records Common to All (RCTA) schedule? If not, why? Also if it isn't covered by Item 1 on the RCTA schedule, how could RCTA Item 1 be revised to explain what publications it doesn't cover?
- ii. If these records remain a separate item on this schedule, we would like to get a better sense of the content of these newsletters. If we could review samples remotely, that would be great. Otherwise, we could include in a site visit.

10. Plume Models This should not have been included in the SF 115 - will delete

- i. Please do not apply GRS 18 Item 28 to these records (or any other exercise/emergency ops test files) if they are program-related. The intent of this item and other items in GRS 18 is to help dispose of records associated with an agency's own emergency planning records, etc. In other words, it covers plans to protect the life and property of agencies - which is admin-related - rather than national emergency planning records which is program-related.
- ii. Why would these records be part of an investigative or project file? Why are they created?
- iii. I recommend dropping this item from the schedule as it does not contain a request for approval of a proposed disposition instruction.

#### 11. Project Control Files

- i. We would like to get a better sense of the content of these files. What kind of projects do these files relate to? How much information do they contain about the purpose and outcome of each project? We would like to

review (remotely or via a site visit).

This may be another we move to Records Common. This record type is in DNDO, OHA, S&T and NPPD.

Here are a couple examples of how it fits:

US-VISIT - A country comes to them and wants assistance in implementing equipment or programs (such as the US 10 fingerprinting program). This file would contain any of the correspondence, authorizations, agreements, project updates, etc.

S&T - somebody proposes a device that can detect chemicals. S&T may authorize and fund the project using BPA/Grant funding. As with above, the file would contain correspondence, authorizations, benchmark reporting, etc.

With all programs, the agreement was that the background information needed to be maintained, but the Final Report should be maintained for a longer period.

## 12. Request for Assistance

i. We would like to get a better sense of the content of these records. Who are these requests coming from? What sort of analysis is done? How does DHS use this analysis?

This may be another we move to Records Common. The following have these: S&T/Readiness Operations Center (ROC), NPPD/CI/KR Partnership and Outreach Division/Infrastructure Coordination & Analysis Branch, OHA/National Biosurveillance Integration Center, OHA/Food, Agriculture and Veterinary Defense Division, OHA/Medical Readiness/Contingency Planning. The request could come from State and Local seeking assistance or opinion/assessment.

## 13. Situation Awareness Reports

i. These records sound like they may have permanent value. We would like to get a better sense of their content. What sort of information do they contain? How much can one learn about an incident from them? How unique is the information in them? Who exactly are they distributed to? How do recipients use the information in them? We would like to review (remotely or via a site visit).

You and I discussed these the other day. We may actually move this to the Records Common schedule as well. Any report that would contain information on a significant situation would be included in the Secretary's briefing books which are a permanent item. Components that have these are: I&A/Intelligence Watch and Warning, S&T/Readiness Operations Center (ROC), NPPD/Infrastructure Protection - CI/KR Contingency Planning & Incident Management Division/Incident Management, OHA/National Biosurveillance Integration Center, OHA/Medical Readiness/WMD Incident Coordination

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Ivan King" <Ivan.King@nara.gov>  
**Date:** 6/24/2008 8:05:25 AM  
**Subject:** RE: DHS-Science and Technology (S&T) Program Records -N1-563-07-20

I'm checking with the program and will let you know.

I've also forwarded Julies previous question along.

-tjh

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
tammy.hudson@associates.dhs.gov

-----Original Message-----

From: Ivan King [mailto:Ivan.King@nara.gov]  
Sent: Friday, June 20, 2008 5:54 PM  
To: Hudson, Tammy  
Cc: Julie Hunsaker  
Subject: DHS-Science and Technology (S&T) Program Records -N1-563-07-20

Hi, Tammy.

Can you provide me with a POC (point of contact) or SME (subject matter expert) for Item 1 - Assessment Bulletins/Short Term Assessments?

Thank you,

Ivan

Ivan King  
Archives Specialist, NWML  
National Archives and Records Administration  
Life Cycle Management Division  
8601 Adelphi Road  
College Park, MD 20740  
Office - (301) 837-3030  
Fax - (301) 837-3697  
Ivan.King@nara.gov

**CC:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>

**From:** Larry Baume  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 9/1/2006 6:19:28 AM  
**Subject:** Re: FW: Status of Inquiry at NARA about GRS references for HSPD-12 working group SORNS

Hi Kathy,

I'm not involved in DHS projects any longer, and am not serving as a "coordinator" for NARA. That all came about before DHS was ever formed, and I guess my involvement was never reviewed or changed as DHS organized and the RM program began. I'm certainly glad to forward anything I receive to Julie Hunsaker for her review.

Julie should respond to your question, and I'll call you on Tuesday.

Thanks,

Larry

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 08/31/06 15:46 PM >>>  
Larry,

Do you know who at NARA worked with the group for the HSPD-12? The system is going to become operational soon so they need to schedule the system for the Privacy Impact Assessment at DHS. This morning I interviewed the program office in Security responsible for the system.

It appears that someone at NARA suggested GRS dispositions, but they do not really fit and I want to get it right, especially since the authority comes from a Homeland Security Presidential Directive.

Thanks for any assistance.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

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---

From: eric\_m.\_stout@hud.gov [mailto:eric\_m.\_stout@hud.gov]  
Sent: Thursday, August 31, 2006 3:37 PM  
To: Schultz, Kathy  
Subject: RE: Status of Inquiry at NARA about GRS references for HSPD-12 working group SORNs

Eric Stout  
HSPD-12 Team (and PIV Certifying Agent)  
HUD's Office of Security and Emergency Planning  
Rm. 6282, 451 7th St., SW, Washington DC 20410  
202-708-0614 ext. 6261  
fax: 202-401-8354

----- Forwarded by Eric M. Stout/CIO/HHQ/HUD on 08/31/2006 03:36 PM  
-----

"Bernstein, Maya (HHS/OS)" <Maya.Bernstein@hhs.gov>

02/07/2006 02:22 PM

To: "eric\_m.\_stout@hud.gov" <eric\_m.\_stout@hud.gov>,  
"Harvey, Lynn" <Lynn.Harvey@rrb.gov>  
cc: "Kendall, Deborah A - Washington, DC"  
<deborah.a.kendall@usps.gov>, "Kleederman, Eva"  
<Eva\_Kleederman@omb.eop.gov>, Heidi.Boyd@osd.pentagon.mil, "Schaul,  
Joyce" <Joyce.Schaul@ssa.gov>, Mark.Becker.ctr@osd.pentagon.mil,  
mary.b.frazier@census.gov, mbtoomey@opm.gov, miller-miriam@dol.gov,  
nadine\_craft@hud.gov, plick.joseph@dol.gov  
Subject: RE: Status of Inquiry at NARA about GRS  
references for HSPD-12 working group SORNs

I haven't heard anything further about this since we turned over our draft to OMB. At that point, NARA said that the language we had in the drafts was ok by them, for now, and they'd eventually look into it further, right?

Maya A. Bernstein, J.D.  
Privacy Policy  
U.S. Dept of Health and Human Services  
200 Independence Avenue, SW  
Washington, DC 20201  
202.690.5896

maya.bernstein@hhs.gov <mailto:maya.bernstein@hhs.gov>

-----Original Message-----

From: eric\_m.\_stout@hud.gov [mailto:eric\_m.\_stout@hud.gov]

Sent: Tuesday, February 07, 2006 1:39 PM

To: Harvey, Lynn

Cc: Kendall, Deborah A - Washington, DC; Kleederman, Eva;

Heidi.Boyd@osd.pentagon.mil; Schaul, Joyce;

Mark.Becker.ctr@osd.pentagon.mil; mary.b.frazier@census.gov; Bernstein,

Maya (HHS/OS); mbtoomey@opm.gov; miller-miriam@dol.gov;

nadine\_craft@hud.gov; plick.joseph@dol.gov

Subject: Re: Status of Inquiry at NARA about GRS references for HSPD-12 working group SORNs

How did all of this conclude? Did we hear from NARA about the use of either General Records Schedule 11 or 18? Any specific guidance on retention period for the PIV Request Form, the identity source documents, and the SF-85, etc.?

"Harvey, Lynn" <Lynn.Harvey@rrb.gov>

12/02/2005 04:30 PM

To: <eric\_m.\_stout@hud.gov>, "Kleederman, Eva" <Eva\_Kleederman@omb.eop.gov>, <miller-miriam@dol.gov>, <mbtoomey@opm.gov>, "Kendall, Deborah A - Washington, DC" <deborah.a.kendall@usps.gov>, "Schaul, Joyce" <Joyce.Schaul@ssa.gov>, <mary.b.frazier@census.gov>, <maya.bernstein@hhs.gov>, <plick.joseph@dol.gov>, <Heidi.Boyd@osd.pentagon.mil>, <Mark.Becker.ctr@osd.pentagon.mil>, <nadine\_craft@hud.gov>

cc:

Subject: Status of Inquiry at NARA about GRS references for HSPD-12 working group SORNs

We have talked with NARA and the GRS decision has been assigned. We will get a status update on Wednesday next.

.....  
Lynn Harvey  
Chief Privacy Officer  
U.S. Railroad Retirement Board <<http://www.rrb.gov/>>  
312 751-4869

**CC:** Julie.hunsaker@nara.gov

**From:** Julie Hunsaker  
**To:** Kathy.Schultz@DHS.GOV  
**Date:** 10/27/2006 4:34:18 PM  
**Subject:** Re: FW: Status of Inquiry at NARA about GRS references for HSPD-12 working group SORNs

Kathy,

I just wanted to let you know that I've looked into how NARA will handle scheduling HSPD-12 records. We plan to add these records to the General Records Schedule. While we are not close to finalizing the project, we have created a preliminary draft of proposed GRS items which we are currently circulating internally.

Julie

>>> Larry Baume 9/1/2006 6:19 AM >>>  
Hi Kathy,

I'm not involved in DHS projects any longer, and am not serving as a "coordinator" for NARA. That all came about before DHS was ever formed, and I guess my involvement was never reviewed or changed as DHS organized and the RM program began. I'm certainly glad to forward anything I receive to Julie Hunsaker for her review.

Julie should respond to your question, and I'll call you on Tuesday.

Thanks,

Larry

>>> "Schultz, Kathy" <[Kathy.Schultz@DHS.GOV](mailto:Kathy.Schultz@DHS.GOV)> 08/31/06 15:46 PM >>>  
Larry,

Do you know who at NARA worked with the group for the HSPD-12? The system is going to become operational soon so they need to schedule the system for the Privacy Impact Assessment at DHS. This morning I interviewed the program office in Security responsible for the system.

It appears that someone at NARA suggested GRS dispositions, but they do not really fit and I want to get it right, especially since the authority comes from a Homeland Security Presidential Directive.

Thanks for any assistance.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

DHS Core Values: Integrity, Vigilance, and Respect

---

From: [eric.m.stout@hud.gov](mailto:eric.m.stout@hud.gov) [mailto:[eric.m.stout@hud.gov](mailto:eric.m.stout@hud.gov)]  
Sent: Thursday, August 31, 2006 3:37 PM  
To: Schultz, Kathy  
Subject: RE: Status of Inquiry at NARA about GRS references for HSPD-12 working group SORNs

Eric Stout  
HSPD-12 Team (and PIV Certifying Agent)  
HUD's Office of Security and Emergency Planning  
Rm. 6282, 451 7th St., SW, Washington DC 20410  
202-708-0614 ext. 6261  
fax: 202-401-8354

----- Forwarded by Eric M. Stout/CIO/HHQ/HUD on 08/31/2006 03:36 PM  
-----

"Bernstein, Maya (HHS/OS)" <[Maya.Bernstein@hhs.gov](mailto:Maya.Bernstein@hhs.gov)>

02/07/2006 02:22 PM

To: "[eric.m.stout@hud.gov](mailto:eric.m.stout@hud.gov)" <[eric.m.stout@hud.gov](mailto:eric.m.stout@hud.gov)>,  
"Harvey, Lynn" <[Lynn.Harvey@rrb.gov](mailto:Lynn.Harvey@rrb.gov)>  
cc: "Kendall, Deborah A - Washington, DC"  
<[deborah.a.kendall@usps.gov](mailto:deborah.a.kendall@usps.gov)>, "Kleederman, Eva"  
<[Eva.Kleederman@omb.eop.gov](mailto:Eva.Kleederman@omb.eop.gov)>, [Heidi.Boyd@osd.pentagon.mil](mailto:Heidi.Boyd@osd.pentagon.mil), "Schaul,  
Joyce" <[Joyce.Schaul@ssa.gov](mailto:Joyce.Schaul@ssa.gov)>, [Mark.Becker.ctr@osd.pentagon.mil](mailto:Mark.Becker.ctr@osd.pentagon.mil),  
[mary.b.frazier@census.gov](mailto:mary.b.frazier@census.gov), [mbtoomey@opm.gov](mailto:mbtoomey@opm.gov), [miller-miriam@dol.gov](mailto:miller-miriam@dol.gov),  
[nadine.craft@hud.gov](mailto:nadine.craft@hud.gov), [plick.joseph@dol.gov](mailto:plick.joseph@dol.gov)

Subject: RE: Status of Inquiry at NARA about GRS references for HSPD-12 working group SORNs

I haven't heard anything further about this since we turned over our draft to OMB. At that point, NARA said that the language we had in the

drafts was ok by them, for now, and they'd eventually look into it further, right?

Maya A. Bernstein, J.D.  
Privacy Policy  
U.S. Dept of Health and Human Services  
200 Independence Avenue, SW  
Washington, DC 20201  
202.690.5896  
[maya.bernstein@hhs.gov](mailto:maya.bernstein@hhs.gov) <<mailto:maya.bernstein@hhs.gov>>

-----Original Message-----

From: [eric.m.stout@hud.gov](mailto:eric.m.stout@hud.gov) [<mailto:eric.m.stout@hud.gov>]  
Sent: Tuesday, February 07, 2006 1:39 PM  
To: Harvey, Lynn  
Cc: Kendall, Deborah A - Washington, DC; Kleederman, Eva;  
[Heidi.Boyd@osd.pentagon.mil](mailto:Heidi.Boyd@osd.pentagon.mil); Schaul, Joyce;  
[Mark.Becker.ctr@osd.pentagon.mil](mailto:Mark.Becker.ctr@osd.pentagon.mil); [mary.b.frazier@census.gov](mailto:mary.b.frazier@census.gov); Bernstein, Maya (HHS/OS); [mbtoomey@opm.gov](mailto:mbtoomey@opm.gov); [miller-miriam@dol.gov](mailto:miller-miriam@dol.gov);  
[nadine\\_craft@hud.gov](mailto:nadine_craft@hud.gov); [plick.joseph@dol.gov](mailto:plick.joseph@dol.gov)  
Subject: Re: Status of Inquiry at NARA about GRS references for HSPD-12 working group SORNs

How did all of this conclude? Did we hear from NARA about the use of either General Records Schedule 11 or 18? Any specific guidance on retention period for the PIV Request Form, the identity source documents, and the SF-85, etc.?

"Harvey, Lynn" <[Lynn.Harvey@rrb.gov](mailto:Lynn.Harvey@rrb.gov)>

12/02/2005 04:30 PM

To: <[eric.m.stout@hud.gov](mailto:eric.m.stout@hud.gov)>, "Kleederman, Eva" <[Eva.Kleederman@omb.eop.gov](mailto:Eva.Kleederman@omb.eop.gov)>, <[miller-miriam@dol.gov](mailto:miller-miriam@dol.gov)>, <[mbtoomey@opm.gov](mailto:mbtoomey@opm.gov)>, "Kendall, Deborah A - Washington, DC" <[deborah.a.kendall@usps.gov](mailto:deborah.a.kendall@usps.gov)>, "Schaul, Joyce" <[Joyce.Schaul@ssa.gov](mailto:Joyce.Schaul@ssa.gov)>, <[mary.b.frazier@census.gov](mailto:mary.b.frazier@census.gov)>, <[maya.bernstein@hhs.gov](mailto:maya.bernstein@hhs.gov)>, <[plick.joseph@dol.gov](mailto:plick.joseph@dol.gov)>, <[Heidi.Boyd@osd.pentagon.mil](mailto:Heidi.Boyd@osd.pentagon.mil)>, <[Mark.Becker.ctr@osd.pentagon.mil](mailto:Mark.Becker.ctr@osd.pentagon.mil)>, <[nadine\\_craft@hud.gov](mailto:nadine_craft@hud.gov)>

cc:

Subject: Status of Inquiry at NARA about GRS references for HSPD-12 working group SORNs

We have talked with NARA and the GRS decision has been assigned. We will

get a status update on Wednesday next.

.....  
Lynn Harvey  
Chief Privacy Officer  
U.S. Railroad Retirement Board <<http://www.rrb.gov/>>  
312 751-4869

**CC:** Logan, Wilda

**From:** Joseph Suster  
**To:** Hunsaker, Julie  
**Date:** 10/27/2006 4:16:52 PM  
**Subject:** Fwd: Re: FW: Status of Inquiry at NARA about GRS references for HSPD-12 working group SORNs

Julie,

OMB made the same inquiry last December. We agree and have begun work. There is a preliminary draft of proposed GRS items currently circulating within NR for comment. We are not close to formal scheduling yet, but these potential records have our attention.

Joe

>>> Julie Hunsaker 10/27/2006 2:56 PM >>>

Joe,

We received an inquiry from the DHS Records Officer regarding the disposition authority for HSPD-12 records. Do you think these records would be good candidates for inclusion in the GRS?

Julie

**CC:** Weber, David; Wilson, Galen; Yeazel, Marybelle



**From:** "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>, "Schultz, Kathy" <Kathy.Schultz@DHS.GOV>  
**Date:** 10/30/2006 7:45:16 AM  
**Subject:** RE: FW: Status of Inquiry at NARA about GRS references forHSPD-12 working group SORNs

Julie,

Thank you for the update. I discovered this same information from Marc Wolfe when I called to see how GSA was handling the records. (I attended an FEA workshop and learned that GSA would take the lead in developing a system which other agencies can use if they are not developing their own.)

I will advise the Privacy Office of this issue so that the HSPD-12 PIA will state that a government wide schedule will be forthcoming.

Thanks again.

Kathy Schultz  
Senior Records Officer  
Department of Homeland Security  
(202) 447-5075

DHS Core Values: Integrity, Vigilance, and Respect

-----Original Message-----

From: Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
Sent: Friday, October 27, 2006 4:34 PM  
To: Schultz, Kathy  
Cc: Wilda Logan  
Subject: Re: FW: Status of Inquiry at NARA about GRS references forHSPD-12 working group SORNs

Kathy,

I just wanted to let you know that I've looked into how NARA will handle scheduling HSPD-12 records. We plan to add these records to the General Records Schedule. While we are not close to finalizing the project, we have created a preliminary draft of proposed GRS items which we are currently circulating internally.

Julie

>>> Larry Baume 9/1/2006 6:19 AM >>>  
Hi Kathy,

I'm not involved in DHS projects any longer, and am not serving as a "coordinator" for NARA. That all came about before DHS was ever formed, and I guess my involvement was never reviewed or changed as DHS organized and the RM program began. I'm certainly glad to forward anything I receive to Julie Hunsaker for her review.

Julie should respond to your question, and I'll call you on Tuesday.

Thanks,

Larry

>>> "Schultz, Kathy" <Kathy.Schultz@DHS.GOV> 08/31/06 15:46 PM >>>  
Larry,

Do you know who at NARA worked with the group for the HSPD-12? The system is going to become operational soon so they need to schedule the system for the Privacy Impact Assessment at DHS. This morning I interviewed the program office in Security responsible for the system.

It appears that someone at NARA suggested GRS dispositions, but they do not really fit and I want to get it right, especially since the authority comes from a Homeland Security Presidential Directive.

Thanks for any assistance.

Kathy

Kathy Schultz

Senior Records Officer

Department of Homeland Security

(202) 447-5075

DHS Core Values: Integrity, Vigilance, and Respect

---

From: eric\_m.\_stout@hud.gov [mailto:eric\_m.\_stout@hud.gov]  
Sent: Thursday, August 31, 2006 3:37 PM  
To: Schultz, Kathy  
Subject: RE: Status of Inquiry at NARA about GRS references for HSPD-12 working group SORNs

Eric Stout  
HSPD-12 Team (and PIV Certifying Agent)  
HUD's Office of Security and Emergency Planning  
Rm. 6282, 451 7th St., SW, Washington DC 20410  
202-708-0614 ext. 6261  
fax: 202-401-8354

----- Forwarded by Eric M. Stout/CIO/HHQ/HUD on 08/31/2006 03:36 PM

"Bernstein, Maya (HHS/OS)" <Maya.Bernstein@hhs.gov>

02/07/2006 02:22 PM

To: "eric\_m.\_stout@hud.gov" <eric\_m.\_stout@hud.gov>,  
"Harvey, Lynn" <Lynn.Harvey@rrb.gov>  
cc: "Kendall, Deborah A - Washington, DC"  
<deborah.a.kendall@usps.gov>, "Kleederman, Eva"  
<Eva\_Kleederman@omb.eop.gov>, Heidi.Boyd@osd.pentagon.mil, "Schaul,  
Joyce" <Joyce.Schaul@ssa.gov>, Mark.Becker.ctr@osd.pentagon.mil,  
mary.b.frazier@census.gov, mbtoomey@opm.gov, miller-miriam@dol.gov,  
nadine\_craft@hud.gov, plick.joseph@dol.gov  
Subject: RE: Status of Inquiry at NARA about GRS  
references for HSPD-12 working group SORNs

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Privacy Policy  
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200 Independence Avenue, SW  
Washington, DC 20201  
202.690.5896  
maya.bernstein@hhs.gov <mailto:maya.bernstein@hhs.gov>

-----Original Message-----

From: eric\_m.\_stout@hud.gov [mailto:eric\_m.\_stout@hud.gov]  
Sent: Tuesday, February 07, 2006 1:39 PM  
To: Harvey, Lynn  
Cc: Kendall, Deborah A - Washington, DC; Kleederman, Eva;  
Heidi.Boyd@osd.pentagon.mil; Schaul, Joyce;  
Mark.Becker.ctr@osd.pentagon.mil; mary.b.frazier@census.gov;  
Bernstein,  
Maya (HHS/OS); mbtoomey@opm.gov; miller-miriam@dol.gov;

nadine\_craft@hud.gov; plick.joseph@dol.gov  
Subject: Re: Status of Inquiry at NARA about GRS references for  
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12/02/2005 04:30 PM

To: <eric\_m.\_stout@hud.gov>, "Kleederman, Eva"  
<Eva\_Kleederman@omb.eop.gov>, <miller-miriam@dol.gov>,  
<mbtoomey@opm.gov>, "Kendall, Deborah A - Washington, DC"  
<deborah.a.kendall@usps.gov>, "Schaul, Joyce" <Joyce.Schaul@ssa.gov>,  
<mary.b.frazier@census.gov>, <maya.bernstein@hhs.gov>,  
<plick.joseph@dol.gov>, <Heidi.Boyd@osd.pentagon.mil>,  
<Mark.Becker.ctr@osd.pentagon.mil>, <nadine\_craft@hud.gov>

cc:

Subject: Status of Inquiry at NARA about GRS references  
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We have talked with NARA and the GRS decision has been assigned. We  
will  
get a status update on Wednesday next.

.....  
Lynn Harvey  
Chief Privacy Officer  
U.S. Railroad Retirement Board <<http://www.rrb.gov/>>  
312 751-4869

CC: "Wilda Logan" <Wilda.logan@nara.gov>

## Julie Hunsaker - RE: HSPD-12 & S&T

---

**From:** Julie Hunsaker  
**To:** Hudson, Tammy <CTR>  
**Date:** 7/17/2007 3:48 PM  
**Subject:** RE: HSPD-12 & S&T

---

Tammy,

Unfortunately I haven't had a chance to take a good look at the S&T info yet. I will try and get that done by the end of the week.

Regarding the HSPD-12 GRS, I'm not sure when it's going to be published, but I would prepare for a fair amount of time to go by. A number of people are/will be involved in developing and vetting it before its finalized. In the meantime, DHS should preserve these records.  
 Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 7/13/2007 10:39 AM >>>  
 Have you had a chance to look at the other S&T info?

Also, on the HSPD-12 schedule. I know you don't have any control over it, but do you know when the GRS for this is going to be published? What should we do in the meantime for this system?

Tammy Hudson  
 Contractor - DHS Records Management  
 NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

---

**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Friday, June 29, 2007 5:30 PM  
**To:** Tammy <CTR> Hudson  
**Cc:** Schultz, Kathy  
**Subject:** Re: HSPD-12

Hi, Tammy.

I consulted with my supervisor to confirm that HSPD-12 records are not covered by the GRS. I will submit a proposal to our GRS team to create a GRS item for HSPD-12 records. (Though, I believe they may have already started working on creating a GRS item for these records.)

I'll be out of the office all next week. I'm sorry I didn't get a chance to give you feedback about the additional S&T draft 115s, but I will take a look at them when I get back.

Have a nice weekend and July 4th holiday!  
 Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 6/28/2007 1:34 PM >>>  
 Julie,

Attached is a schedule we drafted for our HSPD-12 program. It's all GRS, but I wasn't sure if you wanted to review it.

Marc Wolfe at GSA reviewed and approved - wasn't sure if we needed to do anything else.

Tammy

Tammy Hudson  
Contractor - DHS Records Management  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**Julie Hunsaker - HSPD-12**

---

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/28/2007 1:36 PM  
**Subject:** HSPD-12

---

Julie,

Attached is a schedule we drafted for our HSPD-12 program. It's all GRS, but I wasn't sure if you wanted to review it.

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Tammy Hudson  
Contractor - DHS Records Management  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

**U.S. Department of Homeland Security  
Headquarters Offices  
Office of Security, Training and Operations Security Division**

**Personal Identity Verification Management System (PIV)**

Homeland Security Presidential Directive 12 (HSPD-12), issued on August 27, 2004, required the establishment of a standard for identification of Federal Government employees and contractors. HSPD-12 directs the use of a common identification credential for both logical and physical access to federally controlled facilities and information systems. This initiative is intended to enhance security, increase efficiency, reduce identity fraud, and protect personal privacy.

The National Institute of Standards and Technology (NIST) was asked to produce a standard for secure and reliable forms of identification. In response, NIST published Federal Information Processing Standard Publication 201 (FIPS 201), Personal Identity Verification (PIV) of Federal Employees and Contractors, issued on February 25, 2005. The credential is for physical and logical access, and other applications as determined by the individual agencies.

As required by FIPS 201, the Department of Homeland Security (DHS) will collect biographic and biometric information from the PIV Applicant in order to: (i) conduct the PIV background investigation; (ii) complete the identity proofing and registration process; (iii) create a data record in the PIV Identity Management System (IDMS); and (iv) issue a PIV card.

DHS collects fingerprints and background check paperwork from applicants; submitting each set of information to OPM. Fingerprint card are submitted to the FBI in order to conduct the fingerprint checks. The FBI provides the results (no match or match with criminal record reference) of the check to OPM who then provides them to DHS along with their own background check results. Once DHS receives the results of the background check a Personnel Security Assistant, the individual validating the receipt of the background check, authorizes the issuance of a credential in the vetting database Personnel Security Activities Management System (PSAMS). The authorization and the required data to proceed with the card issuance process are transferred to the PIV Identity Management System (IDMS) which manages the issuance of the PIV credential. Any information regarding the background investigation is retained in PSAMS, not in IDMS or on the PIV card itself.

These disposition instructions are media neutral; they apply regardless of the media or format of the records unless otherwise noted.

**1. Inputs**

The IDMS is used during the registration process to create the PIV Applicant's pre-enrollment and enrollment record, manage and maintain this information throughout the PIV card lifecycle, and, verify, authenticate and revoke PIV cardholder access to federal resources. A unique identifier is assigned during registration and used to represent the individual's identity and associated attributes stored in the system. Information collected includes: date of birth, social security number (SSN), organizational affiliation (e.g., agency name), employee affiliation (e.g., contractor, active duty, civilian), fingerprints (10), biometric identifiers (2 fingerprints), digital color photograph, digital signature 2, telephone numbers, address history, signed PIV request, signed SF 85 or equivalent, copies of identity source documents.

Data is entered into the system via key, infrared scan, digital camera image and electronic migration and is transmitted from the IDMS, PSAMS (Physical Security Access Management System), CMS and IAFIS (Integrated Automated Fingerprint Identification System).

- a. Non-Electronic documents or forms.



**Disposition: (GRS 18, Item 22)** Security Investigations and other security process tracking documentation with additional detail are maintained in hard copy form outside the system by the Office of Security.

- b. Electronic Records entered into the system during an update process.

**Disposition: TEMPORARY.** Delete when the data has been entered into the master file or database and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.

## 2. Master File / Data

Information in the system consists of biographic and biometric information. The data is used to initiate a background investigation to determine if an individual meets the requirements to be issued a PIV card. Once the background investigation is complete and reviewed by an independent third party, the decision is made to create and issue the PIV credential. Data fields include full name; Social Security Number; date of birth; current address; digital signature; digital color photograph; fingerprints; biometric identifiers (two fingerprints); organization/office assignment; employee affiliation; telephone number(s); copies of identity source documents. Each applicant (record) is assigned an individual PIN (personal identity number).

**Disposition: GRS 18, Item 22a.** Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable.

## 3. Outputs

The system itself has no output. A PIV card is issued upon successful completion of the background investigation and the identity proofing and registration process, and successful completion of the enrollment process. Biometrics are used during PIV card issuance to verify PIV Applicant identity and complete activation of the card.

In accordance with HSPD-12, PIV Cards are deactivated within 18 hours of cardholder separation, loss of card, or expiration and are destroyed by cross-cut shredding no later than 90 days after deactivation.

- Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property, dining room and visitors passes, and other identification credentials.

**Disposition: GRS 11, Item 4a.** Destroy credentials 3 months after return to issuing office.

- Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.

- a. For areas under maximum security.

**Disposition: GRS 18, Item 17a.** Destroy 5 years after final entry or 5 years after date of document, as appropriate.

- b. For other areas.

**Disposition: GRS 18, Item 17b.** Destroy 2 years after final entry or 2 years after date of document, as appropriate.

## Additional GRS Items:

### 4. System Documentation:

Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications and other system documentation.

**Disposition: GRS 20, Item 11a.** Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

### 5. Vital records Backup: Duplicate copy of the master file kept in the event of an emergency to ensure the continued operation of the Federal government.

- a. File identical to records scheduled for transfer to the National Archives.

**Disposition: GRS 20, Item 8a.** Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied.

- b. File identical to records authorized for disposal in a NARA-approved records schedule.

**Disposition: GRS 20, Item 8b.** Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

### 6. System Backups: Duplicate copies of the database files, kept to prevent loss of data in the event of a system crash. Backups are made according to a documented schedule, with ad hoc "baseline" configuration backups made as needed to document specific software configurations.

- a. File identical to records scheduled for transfer to the National Archives.

**Disposition: GRS 20, Item 8a.** Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied.

- b. File identical to records authorized for disposal in a NARA-approved records schedule.

**Disposition: GRS 20, Item 8b.** Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

### 7. User account Information: Records related to user identification, profiles, authorizations, security logs, passwords and end user agreements. Excludes: Records relating to electronic signatures.

**Disposition: GRS 24, Item 6a.** Destroy/delete inactive file 6 years after user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later.

### 8. Audit Trail Files: Audit trail files consist of data generated during the creation of a master file or database used to validate a master file or database during a processing cycle. Audit files are retained to create a management audit trail for and to ensure the quality of data (quality control). They can aid in recreating or documenting changes in a

master file or database for legal admissibility or other purposes by validating that the system is operating as it is designed to (authentication).

**Disposition: GRS 20, Item 1c.** Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.

- 9. Help Desk Telephone Logs and Reports:** Records used to document requests for technical assistance and responses to these requests as well as to collect information on the use of computer equipment for program delivery, security, or other purposes. These records are needed to monitor user problems and equipment use, to compile monthly and annual statistics, and for reference for planning, management analysis, and other administrative purposes. These records may exist in paper or electronic form.

- a. Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.

**Disposition: GRS 24, Item 10a.** Destroy/delete 1 year after record is superseded or obsolete.

- b. Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.

**Disposition: GRS 24, Item 10b.** Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later.

- 10. Software Review Files:** Records related to the review and recommendations for software for agency use. These records include vendor information, manuals, software reviews, and related material.

**Disposition: GRS 24, Item 1a.** Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

- 11. Network Usage Files:** Electronic files or automated logs created to monitor network usage. These records may be needed for summary reports, system audits, system security, or other purposes. Includes: site visit reports, trouble reports, service histories, correspondence and memoranda.

- a. Workload schedules, run reports, and schedules of maintenance and support activities.

**Disposition: GRS 24, Item 8a.** Destroy/delete when 1 year old.

- b. Problem reports and related decision documents relating to the software infrastructure of the network or system.

**Disposition: GRS 24, Item 8b.** Destroy/delete 1 year after problem is resolved.

- c. Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports.

**Disposition: GRS 24, Item 8c.** Destroy/delete when 3 years old.

**From:** Joseph Suster  
**To:** Hunsaker, Julie  
**Date:** 9/5/2007 3:40:40 PM  
**Subject:** Re: HSPD-12 Records

Julie,

John Stewart and I have reservations about GRS 18/22 being used as disposition justification for both proposed DHS items 1 (inputs) and 2 (master file), plus some additional questions. At this point in our research, we do not agree with Marc Wolfe's contention (which apparently influenced DHS) that everything HSPD-12 related is covered under the current GRS. We would be glad to discuss our reservations with you in detail via telecon. I am visiting my staff in Dayton tomorrow and Friday, but available to confer all next week.

Joe

>>> Julie Hunsaker 9/4/2007 7:37 AM >>>  
Joe,

Could I confirm something with you regarding HSPD-12 records? I'd like to find out whether the draft schedule DHS put together for HSPD-12 records conflicts with the draft the GRS team is working on for HSPD-12 records. My sense from conversations I've had here at headquarters is that we would agree all the records on the attached draft 115 can be covered by the GRS — except the item for the master file. Do you agree? If you do agree, I'll clarify what I told DHS on 6/29 (see below) to ensure they understand that the only "HSPD-12 records that are not covered by the GRS" are the masterfiles.

Julie

>>> Julie Hunsaker 6/29/2007 5:29 PM >>>

Hi, Tammy.

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**CC:** Brewer, Laurence; Logan, Wilda; Stewart, John; Weber, David

**U.S. Department of Homeland Security  
Headquarters Offices  
Office of Security, Training and Operations Security Division**

**Personal Identity Verification Management System (PIV)**

Homeland Security Presidential Directive 12 (HSPD-12), issued on August 27, 2004, required the establishment of a standard for identification of Federal Government employees and contractors. HSPD-12 directs the use of a common identification credential for both logical and physical access to federally controlled facilities and information systems. This initiative is intended to enhance security, increase efficiency, reduce identity fraud, and protect personal privacy.

The National Institute of Standards and Technology (NIST) was asked to produce a standard for secure and reliable forms of identification. In response, NIST published Federal Information Processing Standard Publication 201 (FIPS 201), Personal Identity Verification (PIV) of Federal Employees and Contractors, issued on February 25, 2005. The credential is for physical and logical access, and other applications as determined by the individual agencies.

As required by FIPS 201, the Department of Homeland Security (DHS) will collect biographic and biometric information from the PIV Applicant in order to: (i) conduct the PIV background investigation; (ii) complete the identity proofing and registration process; (iii) create a data record in the PIV Identity Management System (IDMS); and (iv) issue a PIV card.

DHS collects fingerprints and background check paperwork from applicants; submitting each set of information to OPM. Fingerprint card are submitted to the FBI in order to conduct the fingerprint checks. The FBI provides the results (no match or match with criminal record reference) of the check to OPM who then provides them to DHS along with their own background check results. Once DHS receives the results of the background check a Personnel Security Assistant, the individual validating the receipt of the background check, authorizes the issuance of a credential in the vetting database Personnel Security Activities Management System (PSAMS). The authorization and the required data to proceed with the card issuance process are transferred to the PIV Identity Management System (IDMS) which manages the issuance of the PIV credential. Any information regarding the background investigation is retained in PSAMS, not in IDMS or on the PIV card itself.

These disposition instructions are media neutral; they apply regardless of the media or format of the records unless otherwise noted.

**1. Inputs**

The IDMS is used during the registration process to create the PIV Applicant's pre-enrollment and enrollment record, manage and maintain this information throughout the PIV card lifecycle, and, verify, authenticate and revoke PIV cardholder access to federal resources. A unique identifier is assigned during registration and used to represent the individual's identity and associated attributes stored in the system. Information collected includes: date of birth, social security number (SSN), organizational affiliation (e.g., agency name), employee affiliation (e.g., contractor, active duty, civilian), fingerprints (10), biometric identifiers (2 fingerprints), digital color photograph, digital signature 2, telephone numbers, address history, signed PIV request, signed SF 85 or equivalent, copies of identity source documents.

Data is entered into the system via key, infrared scan, digital camera image and electronic migration and is transmitted from the IDMS, PSAMS (Physical Security Access Management System), CMS and IAFIS (Integrated Automated Fingerprint Identification System).

- a. Non-Electronic documents or forms.

*Note*  
~~Disposition:~~ (GRS 18, Item 22) Security Investigations and other security process tracking documentation with additional detail are maintained in hard copy form outside the system by the Office of Security.

- b. Electronic Records entered into the system during an update process.

*GRS?*  
**Disposition:** TEMPORARY. Delete when the data has been entered into the master file or database and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.

## 2. Master File / Data

*what does this cover?  
in terms of  
systems or  
portions thereof*

Information in the system consists of biographic and biometric information. The data is used to initiate a background investigation to determine if an individual meets the requirements to be issued a PIV card. Once the background investigation is complete and reviewed by an independent third party, the decision is made to create and issue the PIV credential. Data fields include full name; Social Security Number; date of birth; current address; digital signature; digital color photograph; fingerprints; biometric identifiers (two fingerprints); organization/office assignment; employee affiliation; telephone number(s); copies of identity source documents. Each applicant (record) is assigned an individual PIN (personal identity number).

**Disposition:** GRS 18, Item 22a. Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable.

## 3. Outputs

The system itself has no output. A PIV card is issued upon successful completion of the background investigation and the identity proofing and registration process, and successful completion of the enrollment process. Biometrics are used during PIV card issuance to verify PIV Applicant identity and complete activation of the card.

In accordance with HSPD-12, PIV Cards are deactivated within 18 hours of cardholder separation, loss of card, or expiration and are destroyed by cross-cut shredding no later than 90 days after deactivation.

- Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property, dining room and visitors passes, and other identification credentials.

**Disposition:** GRS 11, Item 4a. Destroy credentials 3 months after return to issuing office.

- Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.

- a. For areas under maximum security.

**Disposition:** GRS 18, Item 17a. Destroy 5 years after final entry or 5 years after date of document, as appropriate.

- b. For other areas.

**Disposition:** GRS 18, Item 17b. Destroy 2 years after final entry or 2 years after date of document, as appropriate.

## Additional GRS Items:

### 4. System Documentation:

Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications and other system documentation.

**Disposition: GRS 20, Item 11a.** Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

### 5. Vital records Backup: Duplicate copy of the master file kept in the event of an emergency to ensure the continued operation of the Federal government.

- a. File identical to records scheduled for transfer to the National Archives.

**Disposition: GRS 20, Item 8a.** Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied.

- b. File identical to records authorized for disposal in a NARA-approved records schedule.

**Disposition: GRS 20, Item 8b.** Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

### 6. System Backups: Duplicate copies of the database files, kept to prevent loss of data in the event of a system crash. Backups are made according to a documented schedule, with ad hoc "baseline" configuration backups made as needed to document specific software configurations.

- a. File identical to records scheduled for transfer to the National Archives.

**Disposition: GRS 20, Item 8a.** Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied.

- b. File identical to records authorized for disposal in a NARA-approved records schedule.

**Disposition: GRS 20, Item 8b.** Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

### 7. User account Information: Records related to user identification, profiles, authorizations, security logs, passwords and end user agreements. Excludes: Records relating to electronic signatures.

**Disposition: GRS 24, Item 6a.** Destroy/delete inactive file 6 years after user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later.

### 8. Audit Trail Files: Audit trail files consist of data generated during the creation of a master file or database used to validate a master file or database during a processing cycle. Audit files are retained to create a management audit trail for and to ensure the quality of data (quality control). They can aid in recreating or documenting changes in a

master file or database for legal admissibility or other purposes by validating that the system is operating as it is designed to (authentication).

**Disposition: GRS 20, Item 1c.** Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.

- 9. Help Desk Telephone Logs and Reports:** Records used to document requests for technical assistance and responses to these requests as well as to collect information on the use of computer equipment for program delivery, security, or other purposes. These records are needed to monitor user problems and equipment use, to compile monthly and annual statistics, and for reference for planning, management analysis, and other administrative purposes. These records may exist in paper or electronic form.

- a. Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.

**Disposition: GRS 24, Item 10a.** Destroy/delete 1 year after record is superseded or obsolete.

- b. Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.

**Disposition: GRS 24, Item 10b.** Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later.

- 10. Software Review Files:** Records related to the review and recommendations for software for agency use. These records include vendor information, manuals, software reviews, and related material.

**Disposition: GRS 24, Item 1a.** Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

- 11. Network Usage Files:** Electronic files or automated logs created to monitor network usage. These records may be needed for summary reports, system audits, system security, or other purposes. Includes: site visit reports, trouble reports, service histories, correspondence and memoranda.

- a. Workload schedules, run reports, and schedules of maintenance and support activities.

**Disposition: GRS 24, Item 8a.** Destroy/delete when 1 year old.

- b. Problem reports and related decision documents relating to the software infrastructure of the network or system.

**Disposition: GRS 24, Item 8b.** Destroy/delete 1 year after problem is resolved.

- c. Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports.

**Disposition: GRS 24, Item 8c.** Destroy/delete when 3 years old.



## Julie Hunsaker - Would Appreciate Your Opinion

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**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 6/18/2008 3:16:43 PM  
**Subject:** Would Appreciate Your Opinion

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Hello Julie. I have a small favor to ask. Several of our Headquarters staff are moving to other floors in our building. They are asking the OIG's Office of Counsel questions about preserving records. Many of the questions are complex and would best be addressed in a formal policy. But for now, I've drafted a "quick and dirty" email that our Counsel can issue to employees that explains basically "hey you can't destroy anything until we have fully established the OIG's Records Management Program."

Shown below is what I've come up with. If you have time, I would appreciate if you could take a quick look at this and confirm the accuracy of what I'm saying. In particular, I want to ensure that my examples of "non-records" are accurate.

Feel free to make any edits that you think are needed.

P.S. Normally, I'd go through Kathy Schultz. But she's getting ready to go on annual leave. And so I'm not sure that she will have time to look at this. Thanks in advance.

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### DRAFT EMAIL TO ALL OIG EMPLOYEES

I would like to clarify some important points about preserving records since several questions were raised at the recent OIG Planning Conference.

The OIG Office of Administration is currently working with senior OIG management, the Department, and the National Archives and Records Administration to establish an OIG Records Program. **Until this program is fully developed, all work papers/working files, correspondence (paper or electronic) must be properly stored, preserved and available for easy retrieval. These materials must not be deleted or otherwise destroyed. The only exceptions are the "non-record" material listed below:**

Exceptions:

1. Duplicates/Identical Copies of Documents—**provided** they are exact or mirror images of the official file copy and **do not** contain any unique information or substantive annotations.
2. Documents or informational materials excluded from the legal definition of records. These include the following materials:
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Michelle Adler, in the Office of Administration's Planning and Compliance Division, is the OIG's Records Officer. At a later date, the Office of Administration will issue formal guidance on retention

times for OIG administrative, investigative, audit, inspection and legal records, as well as electronic mail. Should you have any questions about records management, please contact Michelle Adler by phone at (202) 254-4068 or email at [Michelle.Adler@dhs.gov](mailto:Michelle.Adler@dhs.gov).

## Julie Hunsaker - Re: Would Appreciate Your Opinion

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**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 6/18/2008 4:33:08 PM  
**Subject:** Re: Would Appreciate Your Opinion

---

Hi, Michelle.

Happy to help. The information in your email is accurate. I suppose the only caveats are records that fall under the GRS . . . and the Investigative Records the DHS OIG has already scheduled. These can be disposed of now according to approved schedules. But whether you take it to that level of detail is up to you. It may be more confusing than helpful. I think the gist of your message covers the basics.

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/18/2008 3:16 PM >>>

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## Julie Hunsaker - Re: Would Appreciate Your Opinion

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**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** <Julie.Hunsaker@nara.gov>  
**Date:** 6/18/2008 8:23 PM  
**Subject:** Re: Would Appreciate Your Opinion

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Thanks. I was debating about being more specific on the admin and investigative stuff. I will rethink this. Meanwhile, I'd like to call you in the morning. Some additional questions have come up. I will call you around 8:30. Of course, if you are busy. I will understand.

---

**From:** Julie Hunsaker  
**To:** Michelle Adler  
**Sent:** Wed Jun 18 16:33:08 2008  
**Subject:** Re: Would Appreciate Your Opinion

Hi, Michelle.

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## Julie Hunsaker - Re: Would Appreciate Your Opinion

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**From:** Julie Hunsaker  
**To:** Adler, Michelle  
**Date:** 6/19/2008 8:19:16 AM  
**Subject:** Re: Would Appreciate Your Opinion

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Good morning, Michelle.

Unfortunately, I'm leaving in a few minutes to go offsite for a potentially all-day meeting. I'll give you a call when I get back and see if I can find you.

Julie

>>> "Adler, Michelle" <michelle.adler@dhs.gov> 6/18/2008 8:22 PM >>>

Thanks. I was debating about being more specific on the admin and investigative stuff. I will rethink this. Meanwhile, I'd like to call you in the morning. Some additional questions have come up. I will call you around 8:30. Of course, if you are busy. I will understand.

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**Julie Hunsaker - RE: FW: Request for NARA OIG's Draft Schedule**

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**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 1/10/2007 9:53 AM  
**Subject:** RE: FW: Request for NARA OIG's Draft Schedule

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I did receive it.

Thanks again

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, January 10, 2007 9:29 AM  
**To:** Tammy <CTR> Hudson  
**Subject:** RE: FW: Request for NARA OIG's Draft Schedule

Good morning, Tammy.

I just tried to fax the schedule over to you, but I didn't get a report back letting me know whether the fax was successful. Let me know if you haven't received it and I'll try again.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 1/10/2007 8:29 AM >>>  
202-447-5780

Thanks!

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Tuesday, January 09, 2007 3:45 PM  
**To:** Tammy <CTR> Hudson  
**Subject:** Re: FW: Request for NARA OIG's Draft Schedule

Yes, I'll track it down and can fax it over to you. What's your fax number?

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 1/9/2007 9:05 AM >>>  
Julie,

Can you help with this?

Thanks!

Tammy

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**From:** Adler, Michelle [mailto:michelle.adler@dhs.gov]  
**Sent:** Tuesday, January 09, 2007 9:03 AM  
**To:** Hudson, Tammy <CTR>  
**Subject:** Request for NARA OIG's Draft Schedule

Hi. Today's *Federal Register* shows that the National Archives' Office of Inspector General is asking for public comment on a draft schedule for its investigative case files and case tracking system. I obviously do not want to comment, but would be very interested in getting a copy just to compare it with the one I did. If possible, I would appreciate if you contact Julie and ask her to obtain a copy for me. Here's more information identifying the schedule:

National Archives and Records Administration, Office of Inspector General  
Job Number: N1-64-07-1

Thanks in advance.

Michelle Adler  
Phone: (202) 254-4068  
Fax: (202) 254-4305

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER N1-064-07- 1	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 10-31-2006	
1. FROM (Agency or establishment) National Archives & Records Administration (NARA)		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.	
2. MAJOR SUBDIVISION Office of Inspector General (OIG)			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER  Ross Weiland (OIG)	5. TELEPHONE NUMBER  (301) 837-2941	DATE	ARCHIVIST OF THE UNITED STATES
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 1 page are not needed now for the business for 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 of 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 OCT 30 2006	SIGNATURE OF AGENCY REPRESENTATIVE 		TITLE NARA Records Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See attached for descriptions of and dispositions for OIG Investigative Case Files (item 1208 in the NARA Records Schedule).		

**Attachment to Standard Form 115  
(OIG) Investigative Case Files  
(October 30, 2006)**

**File No. 1208 – Investigative Case Files:** Case files developed during investigations of known or alleged fraud and abuse and irregularities and violations of laws and regulations. Cases relate to agency programs and operations administered or financed by the agency, and to agency personnel, contractors, and other persons having a relationship with the agency. Complaint and investigative files may consist of memorandums of interview or activity, reports of investigation, and related documents, such as correspondence, notes, attachments, and working papers.

**Item 1. File no. 1208-1 – Complaint Files.** Records contain information or allegations which are of an investigative nature, and may or may not relate or lead to an investigation. Files include: anonymous or vague allegations not warranting an investigation, matters referred to other NARA units or Federal agencies for handling, and support information for the initiation of an investigation.

**Proposed Disposition:** TEMPORARY. Destroy complaint file 10 years after “closed final” date. [Supersedes previous disposition instructions: “Cut off annually. Destroy when 15 years old. (N1-64-00-4, item 2a)”]

**Item 2. File no. 1208-2 – Investigative Case Files.**

**a. File no. 1208-2a** – Case files EXCEPT those that are covered under file no. 1208-2b.\*

**Proposed Disposition:** TEMPORARY. Destroy investigative file 20 years after “closed final” date. [Supersedes previous disposition instructions: “Place in inactive file when case is closed. Cut off inactive file at the end of the fiscal year. Destroy 15 years after cutoff. (N1-64-00-4, item 2b)”]

**b. File no. 1208-2b** – Case files relating to unrecovered and alienated holdings.\*

**Proposed Disposition:** TEMPORARY. Destroy investigative file 20 years after “closed final” date *only if* potential of recovery no longer exists.

\* Significant case files (i.e., those that result in national media attention, congressional investigation, and/or substantive changes in agency policy or procedure) are *not* covered by this schedule. Contact the NARA Records Officer to submit an SF 115 to NWML. (NARA will determine the disposition on a case-by-case basis.)

**Item 3. File no. 1208-3** – Case Management and Tracking System (CMTS).

**a. File no. 1208-3a** – CMTS data.

**Proposed Disposition:** TEMPORARY. Delete data when no longer needed.

**b. File no. 1208-3b** – CMTS-generated reports.

**Proposed Disposition:** TEMPORARY. Destroy/delete when no longer needed.

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-056-08-1</i>	
1. FROM (Agency or establishment) Department of Treasury		Date Received <i>11/15/08</i>	
2. MAJOR SUB DIVISION Treasury Inspector General for Tax Administration		NOTIFICATION TO AGENCY	
3. MINOR SUB DIVISION Assistant Inspector General for Audit/Investigation		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 Carolyn Lee	5. TELEPHONE 202-622-5924	DATE	ARCHIVIST OF THE UNITED STATES
<p>6. AGENCY CERTIFICATION</p> <p>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 _____ 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 of the GAO Manual for Guidance of Federal Agencies,</p> <p><input type="checkbox"/> is not required      <input type="checkbox"/> is attached; or      <input type="checkbox"/> has been requested.</p>			
DATE <i>10/22/07</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Monica Marco</i>		TITLE <i>Director, Information Services</i>
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>Treasury Inspector General for Tax Administration (TIGTA)</p> <p>The Treasury Inspector General for Tax Administration was established in January 1999 in accordance with the Internal Revenue Service Restructuring and Reform Act of 1998 (RRA 98) to provide independent oversight of Internal Revenue Service (IRS) activities. TIGTA's focus is entirely on tax administration issues. TIGTA conducts and supervises independent and objective audits and investigations relating to IRS programs and operations. TIGTA informs the Secretary of Treasury and the Congress of problems and the progress made in resolving them. <i>This is a media neutral schedule. These items supersede the corresponding items in job 01-56-01-5.</i></p> <p style="text-align: right; font-size: 2em;"><i>Stamp</i></p>		

1. **Audit and Inspections and Evaluations products and related correspondence:** Electronic and hard copy final reports and related correspondence, memoranda, Annual Memo on Management and Performance Challenges Facing the Internal Revenue Service, Inspector General Testimony Before the Congress and other Office of Audit product-related documents maintained on the Integrity Data System, Office of Audit Knowledge Management Website, Office of Audit Homepage and TIGTA internet site, as well as hard-copy versions of final reports issued by the former IRS Inspection Service.

**Disposition.** Temporary. Cut off files at the end of fiscal year. Destroy five years after cut off or when no longer needed whichever is longer.

~~(NEW)~~

2. **Carry-forward work paper files:** Electronic and hard copy information that has been accumulated during current and past inspections, evaluations or audits and will be used in future inspections, evaluations or audits and/or for knowledge transfer purposes. Information may consist of reference information, including inspection, evaluation or audit plans and associated revisions, as well as final reports and other related documents that have continuing value after the inspection, evaluation or audit work has been completed. Additions of new material and deletions of non-essential items are made as periodically. *Files are carried forward when needed longer than the normal retention (see item 3).*

**Disposition.** Temporary. Destroy on-site when information is no longer needed.

~~(NEW)~~

3. **Work papers and related correspondence:** Electronic and hard copy documents which relate to inspections, evaluations or audits of a particular office, activity or function for a specific period, as well as special studies and/or investigations conducted by the Office of Audit or jointly with other organizations. Documentation includes, but is not limited to, analyses, interview records, audit plans, discussion draft reports, draft reports, memoranda, as well as taxpayer confirmation letters and replies. Also includes work papers prepared in support of the Annual Memo on Management and Performance Challenges Facing the Internal Revenue Service, Office of Audit's input to the TIGTA Semiannual Report to the Congress, Inspector General Testimony Before the Congress and other Office of Audit product-related documents.

**Disposition.** Temporary. Cut off files at end of fiscal year.

- a) Inspection, evaluation or audit plans and approved plan revisions maintained on the Integrity Data System.

**Disposition.** Temporary. Destroyed three years after cut off or ~~when no longer needed~~ *move to carry-forward files (item 2).*

- b) All other work papers destroy three years after end of fiscal year in which the report was issued.

Note: Work papers may be kept on site for the three-year period or sent to the Federal Records Center (FRC) one year after cut off due to local storage limitations.

**Disposition.** Temporary. Destroyed three after end of fiscal years in which the report was issued.

~~(NEW)~~

4. **Annual Audit Plans:** Electronic and hard copy including related work papers and correspondence

**Disposition.** Temporary. Cut off files at the end of fiscal year. Destroy 3 years after the end of the relevant fiscal year or when no longer needed whichever is later.

Note: Annual Audit Plans maintained on the TIGTA Internet site and Office of Audit Homepage can be destroyed when no longer needed.

~~(NEW)~~

**Julie Hunsaker - RE: Scheduling question**

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**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Julie Hunsaker" <Julie.Hunsaker@nara.gov>  
**Date:** 10/24/2007 9:35 AM  
**Subject:** RE: Scheduling question

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I agree. I'll make sure I have all the background before it's submitted.

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, October 24, 2007 9:25 AM  
**To:** Tammy <CTR> Hudson  
**Subject:** RE: Scheduling question

Yes, that wording works. Of course, the accompanying issue is the rationale behind such a long retention period. Please ask the program office to give you a detailed explanation which you can provide us with the 115. We may, in turn, recommend a shorter retention period - but we would need more information about the records and the retention rationale before I could say anything definitive.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 10/24/2007 9:21 AM >>>  
Then I think this will work: Cut off upon termination of the system. Destroy or delete at cutoff.

That's what I had, but wanted to check with you first.

Thanks!

Tammy Hudson  
DHS Records Management - Contractor  
NAC 2, Room 2207 E (202) 282-8562  
[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)

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**From:** Julie Hunsaker [mailto:Julie.Hunsaker@nara.gov]  
**Sent:** Wednesday, October 24, 2007 9:19 AM  
**To:** Tammy <CTR> Hudson  
**Subject:** Re: Scheduling question

Hi, Tammy.

The removal of the data from the system wouldn't be part of the disposition instruction. The disposition instruction only instructs agencies how to ultimately dispose of the records (either by destruction or transfer to NARA). So, the removal of the data from the system can be an internal DHS policy, but the proposed disposition instruction would be something like,

"Cut off when system ends. [there's got to be a better way of saying that, but nothing's coming to me right now.] Destroy/delete upon cutoff."

Feel free to give me a call if you have questions. I'll be at my desk for a few more minutes.

Julie

>>> "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov> 10/24/2007 9:09 AM >>>  
Julie,

I have a system where they want to remove the data from the system in 10 years, but maintain the removed information separately for either the life of the system or as a permanent record. How would I word that in the schedule? (it's a biosurveillance system)

-tlh

Tammy Hudson  
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[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)



## **Julie Hunsaker - Your Proposed Draft SF-115 for DHS OIG Audit/Inspection Reports**

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**From:** "Adler, Michelle" <michelle.adler@dhs.gov>  
**To:** <Julie.Hunsaker@nara.gov>  
**Date:** 6/9/2008 10:33 AM  
**Subject:** Your Proposed Draft SF-115 for DHS OIG Audit/Inspection Reports

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Hi. I showed both your initial and revised drafts to Kim Hurley. Kim confirmed what I suspected: one cannot make a neat or clear distinction between reports that involve DHS core functions vs. those that concern the Department's economy and efficiency. Also, my suggestion to use "mission effectiveness" versus core functions resulted in confusion too. So I'm sensing that that there isn't simple/easy "buzz words" to convey the "core functions" concept. More importantly, Kim explained that the three bullets you saw in the OIG's Annual Plan **ARE NOT** separate and distinct categories. She wisely noted that a report concerning economy and efficiency could also have underlying themes related to DHS' ability to meet its core functions. For example, on Thursday, you told me that the attached OIG report on the Coast Guard National Security Cutter should be temporary because it concerned contract overruns. But Coast Guard has several cutter contracts that involved large \$ amounts and will last about 25 years. So if CG doesn't have effective acquisitions for their cutters, one could argue that CG cannot perform its mission.

Kim will arrive in the office of 11:00 am. Ideally, I'd like all 3 of us to get on the phone, but I'm not sure what her schedule is like. So please stay tuned. I may be calling you around 11:15 so we can discuss this further.

**From:** "Hudson, Tammy <CTR>" <Tammy.Hudson@associates.dhs.gov>  
**To:** "Andrea Loiselle" <Andrea.Pugsley@nara.gov>  
**Date:** Wed, Feb 20, 2008 10:37 AM  
**Subject:** FW: Office of Multimedia Liaison Records Schedule

fyi

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

tammy.hudson@associates.dhs.gov

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From: Hudson, Tammy <CTR>  
Sent: Wednesday, February 20, 2008 7:48 AM  
To: Ferguson, Bobbie  
Cc: Adamoli, Joe  
Subject: Office of Multimedia Liaison Records Schedule

Bobbie,

Last year the Public Affairs staff met with representatives from the DHS Records Management Program. The purpose was to identify the records used by your programs and determine the most appropriate Records Schedules to apply to them.

Below is a Record Schedule listing along with a proposed retention which was submitted to NARA for registration for the Multimedia Liaison records.

#### Multimedia Project Files

Agreements and support documentation (e.g., film and television requests, questionnaires, scripts, reports, and correspondence) for non-governmental, entertainment-oriented motion picture/video projects including, but not limited to, documentaries, books, web games, movies, television programs, and other types of medial related projects requesting the use of the DHS name, seal and insignia, and any other Departmental assistance in the production of a multimedia project.

a. Approved requests

TEMPORARY. Cutoff at completion of project. Destroy or delete 6 years from cutoff.

b. Rejected requests

TEMPORARY. Destroy or delete 1 year from date of denial.

NARA has some questions on the record information and would like to contact you. Please provide a day, time and phone number that would be convenient for you. I don't think this will take more than 15 minutes; they just have a couple brief questions.

Let me know if you have any questions.

Thanks!

Tammy

Tammy Hudson

DHS Records Management - Contractor

NAC 2, Room 2207 E (202) 282-8562

[tammy.hudson@associates.dhs.gov](mailto:tammy.hudson@associates.dhs.gov)