

# RECORDS MANAGEMENT

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## 1. Purpose

This directive establishes Department of Homeland Security (DHS) policy regarding records management.

## 2. Scope

This directive applies to all DHS organizational elements serviced by the DHS Office of Administration. Until such time as the DHS Office of Administration establishes permanent, Department-wide policy regarding records management, all DHS organizational elements may continue in force their existing records management policies and procedures (including administrative support in this area from another Federal agency).

## 3. Authorities

This directive is governed by numerous Public Laws and regulations, such as:

- A. 44 U.S.C. Chapters 21, 29, 31, 33;
- B. The Paperwork Reduction Act, 44 U.S.C. 3501 *et seq.*;
- C. 18 U.S.C. Chapter 101;
- D. 36 C.F.R. parts 1220, 1222, 1224, 1226, 1228, 1230, 1232, 1234, and 1236

## 4. Definitions

A. **Records**: All recorded information, regardless of medium or format, made or received by DHS under Federal law or in connection with the transaction of public business, either preserved or appropriate for preservation because of their administrative, legal, fiscal or informational value. Records serve as organizational memory; they are of critical importance in ensuring that DHS continues to function effectively and efficiently.

B. **Permanent records**: Those records that NARA appraises as having sufficient value to warrant continued preservation by the Federal Government as part of the National Archives of the United States, because the records have continuing value as documentation of the organization and functions of DHS or because the records

document the nation's history by containing significant information on persons, things, problems, and conditions.

C. **Temporary records**: Those records that are designated for either immediate disposal or for disposal after a specified period of time or an event, in accordance with a NARA-approved Request for Records Disposition (SF 115) or the General Records Schedule. Temporary records may document DHS business processes or document legal rights of the government or the public, document government accountability, or contain information of administrative or fiscal value. Depending on the type of record, the retention period may range from immediate destruction to as long as 100 years.

D. **Unscheduled Records**: Those records whose final disposition has not been approved by NARA. Unscheduled records are potentially permanent and must be treated as if they are permanent.

E. **Personal papers**: Documentary materials of a private or nonpublic character that do not relate to, or have an effect upon, the conduct of agency business. Personal papers are excluded from the definition of Federal records and are not owned by the Government.

## 5. Responsibilities

The Under **Secretary for Management, through the DHS Office of Administration**, shall be responsible for all aspects of this directive.

## 6. Policy & Procedures

A. The attached publication establishes specific DHS policy and procedures for managing records effectively and efficiently throughout their life cycle. These procedures will help DHS successfully accomplish its mission, preserve official records in accordance with applicable statutory and regulatory requirements, and promote access to information by DHS staff and the public as appropriate.

B. Any questions or concerns regarding this directive should be addressed to the DHS Office of Administration.