

Part 9 - Records of Senior Officials and Political Appointees

<u>ED/RDS</u> <u>ITEM</u> <u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSAL</u> <u>AUTHORITY</u>
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OFFICE OF THE SECRETARY

1. Correspondence Files.

- a. Subject Files of the Secretary of Education. Consists of all correspondence and administrative files which document the formulation of national education policy, and the establishment, direction and review of the primary mission of the Department created and received by the Secretary of Education. This also includes, but it is not limited to, activity reports, courtesy letters, issuances by the Secretary concerning government-wide activities, and other correspondence and reports signed and received by the Secretary. Files are arranged by subject matter and related file codes.

Disposition: **PERMANENT**. Cut off files at end of calendar year. Retire to the Washington National Records Center one year after cutoff. Transfer to the National Archives and Records Administration 10 years after cutoff.

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Item 1a

- b. General Correspondence. Routine letters received from such sources as the White House, governors, presidents of corporations, and educational institutions, where the responses are prepared and signed by program officials and not by the Office of the Secretary. No paper copies are maintained by the Office of the Secretary. If signed by the Secretary, apply disposition instructions in item 1a.

Disposition: Transfer incoming letter to appropriate program office for response, signature, and disposition of record. *Program office*: dispose of record in accordance with disposition instructions cited in Departmental records retention schedule covering correspondence files of offices below the level of the Offices of the Secretary, Deputy Secretary and Under Secretary.

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- c. Citizens Mail. This is also referred to as "bulk mail" or "BK." Citizens mail sent directly to the Office of the Secretary, and forwarded for response to appropriate program office. No paper

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copies are maintained by the Office of the Secretary, unless the response is signed by the Secretary.

Disposition: Transfer incoming letter to appropriate program office for response, signature, and disposition of record. *Program office*: dispose of record in accordance with disposition instructions cited in Departmental records retention schedule covering correspondence files of offices below the level of the Offices of the Secretary, Deputy Secretary and Under Secretary.

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- d. White House Bulk Mail. This is also referred to as "WB." All citizens mail received and forwarded by the White House to the Office of the Secretary for response by Department of Education program offices. No paper copies are maintained by the Office of the Secretary, unless the response is signed by the Secretary.

Disposition: Transfer incoming letter to appropriate program office for response, signature, and disposition of record. *Program office*: dispose of record in accordance with disposition instructions cited in Departmental records retention schedule covering correspondence files of offices below the level of the Offices of the Secretary, Deputy Secretary, and Under Secretary.

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- e. Congressional Correspondence. Contains copies of congressional correspondence received from the Congress on behalf of constituents such as governors, presidents of corporations, educational institutions, and the general public in which the responses are prepared and signed by the Secretary of Education. No paper copies are maintained by the Office of the Secretary, unless the response is signed by the Secretary.

Disposition: Transfer incoming letter to appropriate program office for response, signature, and disposition of record. *Program office*: dispose of record in accordance with disposition instructions cited in Departmental records retention schedule covering correspondence files of offices below the level of the Offices of the Secretary, Deputy Secretary, and Under Secretary.

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<u>ED/RDS ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSAL AUTHORITY</u>
2.	<p>Control Correspondence Management System.</p> <p>Electronic imaging system used to maintain scanned images of all incoming correspondence, responses with the Secretary's signature, and a limited number of enclosures.</p> <p><u>Disposition:</u> TEMPORARY. Delete when no longer needed for reference.</p>	<p>NARA Job No. NI-441-97-1 Item 2</p>
3.	<p>Reference Copies of Speeches.</p> <p>Additional copies of final speeches maintained as separate files in the Office of the Secretary for reference purposes.</p> <p><u>Disposition:</u> TEMPORARY. Destroy when no longer needed for reference.</p>	<p>NARA Job No. NI-441-97-1 Item 3</p>
4.	<p>Briefing Books and Daily Schedules for the Secretary of Education.</p> <p>a. <u>Briefing Books and Schedules.</u> Secretary of Education's daily official schedule, talking points, accepted invitations, travel agenda, handouts or informational material, annotated speeches, final copies of speeches, handwritten notes and comments, lists of meeting attendees, information that the Secretary should be made aware of, and other records that prepare the Secretary in his/her daily function as the head official of the Department. A courtesy copy of the Deputy Secretary's daily schedule is included in the briefing books.</p> <p><u>Disposition:</u> PERMANENT. Cut off files at end of calendar year. Retire to the Washington National Records Center one year after cutoff. Transfer to the National Archives and Records Administration 10 years after cutoff. {The disposition instructions supersede NC-12-75-1, item 1a [ED/RDS Part 9, item 2a] and NC-12-75-1, item 4 [ED/RDS Part 12, item 1a]}</p>	<p>NARA Job No. NI-441-97-1 Item 4a</p>

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<u>ED/RDS ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSAL AUTHORITY</u>
b.	<u>Declined Invitations.</u>	
	<u>Disposition:</u> TEMPORARY. Destroy when 6 months old.	NARA Job No. NI-441-97-1 Item 4b
c.	<u>Working Calendars.</u>	
	1) Pencil-written government-issue or commercial calendars maintained for administrative use, such as for the preparation of the daily schedule in the briefing book.	
	<u>Disposition:</u> TEMPORARY. Cut off at end of calendar year. Destroy when no longer needed for reference or one year after cutoff, whichever is later.	NARA Job No. NI-441-97-1 Item 4c(1)
	2) Electronic Calendars - scheduling information created in electronic form and then printed out in final form and placed in the briefing books.	
	<u>Disposition:</u> TEMPORARY. Delete electronic version when 2 years old.	NARA Job No. NI-441-97-1 Item 4c(2)
CHIEF OF STAFF, EXECUTIVE SECRETARIAT AND SPECIAL ASSISTANTS, OFFICE OF THE SECRETARY		
5.	Subject Files. Files pertaining to Presidential and Departmental initiatives and copies of information sent from Departmental program offices.	
	<u>Disposition:</u> TEMPORARY. Destroy when no longer needed for reference or when superseded.	NARA Job No. NI-441-97-1 Item 5
6.	Departmental Manuals and Reports. Reports (including team reports), plans, guidebooks, booklets, or manuals produced out of the Office of the Secretary pertaining to Presidential and Departmental initiatives.	

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<u>ED/RDS ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSAL AUTHORITY</u>
a.	<u>Working Papers.</u> Notes, drafts, and similar records generated during the creation of the final product. Also included are notes and comments to manuals, guides, and reports created and distributed by program offices.	
	<u>Disposition:</u> TEMPORARY. Destroy upon verification against publication or when no longer needed for reference, whichever is later.	NARA Job No. NI-441-97-1 Item 6a
b.	<u>Manuals and Reports.</u>	
	<u>Disposition:</u> PERMANENT. Cutoff at end of calendar year. Transfer to the National Archives and Records Administration one year after cutoff.	NARA Job No. NI-441-97-1 Item 6b
7.	Administrative Records. Staff memoranda that provide the staff with routine administrative information.	
	<u>Disposition:</u> TEMPORARY. Cutoff at end of calendar year. Destroy one year after cutoff.	NARA Job No. NI-441-97-1 Item 7
OFFICE OF THE DEPUTY SECRETARY		
8.	Briefing Books and Daily Schedules for the Deputy Secretary.	
a.	<u>Briefing Books and Schedules.</u> Deputy Secretary's daily official schedule, talking points, accepted invitations, travel agenda, handouts or informational material, annotated speeches, final speeches, handwritten notes and comments, lists of meeting attendees, information that the Deputy Secretary should be made aware of, and other records that prepare the Deputy Secretary in his/her daily function as one of the head officials of the Department. A courtesy copy of the Secretary's daily schedule is included in the Deputy Secretary's briefing books.	

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Disposition: **PERMANENT**. Cut off files at end of calendar year. Retire to the Washington National Records Center one year after cutoff. Transfer to the National Archives and Records Administration 10 years after cutoff. {The disposition instructions supersede NC-12-75-1, item 1a [ED/RDS Part 9, item 2a] and NC-12-75-1, item 4 [ED/RDS Part 12, item 1a]}.

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Item 8a

b. Working Calendars.

1) Pencil-written government-issue or commercial calendars maintained for administrative use, such as for the preparation of the daily schedule in the briefing book.

Disposition: **TEMPORARY**. Cut off at end of calendar year. Destroy when no longer needed for reference or one year after cutoff, whichever is later.

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Item 8b(1)

2) Electronic Calendars. Scheduling information created in electronic form and then printed out in final form and placed in the briefing books.

Disposition: **TEMPORARY**. Delete electronic version when 2 years old.

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NI-441-97-1
Item 8b(2)

9. **Chronological Files**. Correspondence, consisting both of correspondence signed by the Deputy Secretary and **copies** of correspondence (both incoming and outgoing) referred to program offices for preparation of response and signature by program officials.

a. Copies of incoming letters and outgoing responses by program officials, maintained in the Office of the Deputy Secretary.

1) Program Office. Dispose of records in accordance with disposition instructions cited in Departmental records retention schedule covering correspondence files of offices below the level

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	<p>of the Offices of the Secretary, Deputy Secretary and Under Secretary.</p> <p>2) <u>Office of the Deputy Secretary</u>. Copies of correspondence responded to and signed by appropriate program offices.</p> <p><u>Disposition: TEMPORARY</u>. Cut off files at end of calendar year. Destroy one year after cutoff.</p>	<p>NARA Job No. NI-441-97-1 Item 9a</p>
b.	<p><u>Correspondence received and responses signed</u> by Deputy Secretary, including declined invitations, letters of appreciation, and other non-program related information.</p> <p><u>Disposition: TEMPORARY</u>. Cut off files at end of calendar year. Destroy two years after cutoff.</p>	<p>NARA Job No. NI-441-97-1 Item 9b</p>
c.	<p><u>Official Correspondence</u> received and responses signed by the Deputy Secretary, pertaining to the policies, directions, and mission of the Office of the Deputy and the Department of Education.</p> <p><u>Disposition: PERMANENT</u>. Cut off files at the end of the calendar year. Retire to the Washington National Records Center one year after cutoff. Transfer to the National Archives and Records Administration 10 years after cutoff.</p>	<p>NARA Job No. NI-441-97-1 Item 9c</p>
10.	<p>Reference Copies of Speeches. Additional copies of speeches maintained as separate files in the Office of the Deputy Secretary for reference purposes. Final speech is placed in briefing book.</p> <p><u>Disposition: TEMPORARY</u>. Cut off files at the end of the calendar year. Destroy one year after cutoff.</p>	<p>NARA Job No. NI-441-97-1 Item 10</p>

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11. **Subject Files.** Files pertaining to Presidential and Departmental initiatives and copies of information sent from Departmental program offices.

Disposition: **TEMPORARY.** Destroy when no longer needed for reference or when superseded.

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12. **Departmental Manuals and Reports.** Reports (including team reports), plans, guidebooks, booklets, or manuals produced out of the Office of the Deputy Secretary pertaining to Presidential and Departmental initiatives.

- a. Working Papers. Notes, drafts, and similar records generated during the creation of the final product. Also included are notes and comments to manuals, guides, and reports created and distributed by program offices.

Disposition: **TEMPORARY.** Destroy upon verification against publication or when no longer needed for reference, whichever is later.

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Item 12a

- b. Manuals and Reports.

Disposition: **PERMANENT.** Cut off at end of calendar year. Transfer to the National Archives and Records Administration one year after cutoff.

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Item 12b

13. **Administrative Records.** Staff memoranda that provide the staff with routine administrative information.

Disposition: **TEMPORARY.** Cut off at end of calendar year. Destroy one year after cutoff.

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14.	Correspondence Files. Routine correspondence, such as public inquiries, received in the Office of the Deputy Secretary and answered by the staff of the Chief of Staff, pertaining to issues that are not program-specific or that do not require response from a program office.	NARA Job No. N1-441-97-1 Item 14
	<u>Disposition:</u> TEMPORARY. Cut off at end of calendar year. Destroy one year after cutoff.	
OFFICE OF THE UNDER SECRETARY		
15.	Annual Report to Congress.	NARA Job No. NI-441-97-1 Item 15
	<u>Disposition:</u> PERMANENT. Transfer to the National Archives and Records Administration at the end of the calendar year.	
16.	Budget Records. File copies of budget estimates prepared or consolidated in formally organized budget office of the Department, comprised of appropriation language sheets, budget justifications, narrative statements, and related schedules and data.	NARA Job No. NI-441-97-1 Item 16a
	a. <u>Record Copy.</u>	
	<u>Disposition:</u> PERMANENT. Cut off files at the end of each budget year. Transfer to the National Archives and Records Administration 4 years after cutoff. {These disposition instructions supersede NC-12-75-1, item 1a [ED/RDS Part 3, item 2a]}	
	b. <u>Budget Background Records.</u> Cost statements, rough data and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget office.	

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	<u>Disposition:</u> TEMPORARY. Cut off files upon completion of preparation of the final budget records. Destroy 1 year after the close of the fiscal year covered by the budget. {GRS 5, item 2}	NARA Job No. NI-441-97-1 Item 16b
17.	Budget Hearing Records. Briefing materials and exhibits created as a result of meetings before Congressional budget committees. (Includes testimonies given by ED, but not published reports by Congress.)	
	<u>Disposition:</u> PERMANENT. Cut off files at the end of each budget year. Transfer to the National Archives and Records Administration 4 years after cutoff.	NARA Job No. NI-441-97-1 Item 17
18.	Chronological Files. Correspondence, consisting both of that signed by the Under Secretary and copies of correspondence (both incoming and outgoing) referred to program offices for preparation of responses and signature by program officials.	
	<p>a. <u>Copies of incoming letters and outgoing responses</u> by program officials, maintained in the Office of the Under Secretary.</p> <p>1) <u>Program Office.</u> Dispose of records in accordance with disposition instructions cited in Departmental records retention schedule covering correspondence files of offices below the level of the Offices of the Secretary, Deputy Secretary, and Under Secretary.</p> <p>2) <u>Office of the Under Secretary.</u> Copies of correspondence responded to and signed by appropriate program offices.</p>	
	<u>Disposition:</u> TEMPORARY. Cut off files at end of calendar year. Destroy one year after cutoff.	NARA Job No. NI-441-97-1 Item 18a
	b. <u>Official correspondence received and responses signed</u> by the Under Secretary, that document the formulation of the Department's policies and budget, and establish the directions and the review of the primary missions of the Department of Education.	

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	<p><u>Disposition:</u> PERMANENT. Cut off files at the end of the calendar year. Retire to the Washington National Records Center one year after cutoff. Transfer to the National Archives and Records Administration 10 years after cutoff.</p>	<p>NARA Job No. NI-441-97-1 Item 18b</p>
19.	<p>Policy Records. Manuals, guides, reports, notices, and other records that document the establishment of Departmental policy, both within the Department, such as personnel policy, and without.</p> <p>a. <u>Working Papers.</u> Notes, drafts, and similar records that lead up to the creation of the final product.</p> <p><u>Disposition:</u> TEMPORARY. Destroy upon verification against final product.</p> <p>b. <u>Manuals, Guides, Reports, and Notices.</u></p> <p><u>Disposition:</u> PERMANENT. Cut off at end of calendar year. Transfer to the National Archives and Records Administration one year after cutoff.</p>	<p>NARA Job No. NI-441-97-1 Item 19a</p> <p>NARA Job No. NI-441-97-1 Item 19b</p>
20.	<p>Speeches.</p> <p><u>Disposition:</u> PERMANENT. Cut off at end of calendar year. Transfer to the National Archives and Records Administration 2 years after incumbent Under Secretary leaves office.</p>	<p>NARA Job No. NI-441-97-1 Item 20</p>
21.	<p>Electronic Calendars. - - RESERVED</p>	<p>NARA Job No. NI-441-97-1 Item 21</p>

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22.	ASSISTANT SECRETARIES	
	<p>Assistant Secretaries. Those portions of the general correspondence and administrative files which document supervision and evaluation of program areas of each Assistant Secretaryship, including narrative and statistical reports which are consolidated at the Deputy level.</p>	
	<p><u>Disposition:</u> PERMANENT. Cut off at end of calendar year. Retire to the Federal Records Center one year after cutoff. Transfer to the National Archives and Records Administration 2 years after incumbent Assistant Secretary leaves office.</p>	<p>NARA Job No. NC-12-75-1 Item 2a</p>