

## Part 9 – Records of Senior Officials and Political Appointees

ED/RDS ITEM NO.	DESCRIPTION OF RECORDS	DISPOSAL AUTHORITY
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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 cut off. Transfer to the National Archives and Records Administration (NARA) 10 years after cut off.

ED/RDS, Part 9, Item 1a  
(N1-441-97-1, 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:** TEMPORARY. 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.

ED/RDS, Part 9, Item 1b  
(N1-441-97-1, Item 1b)

- c. Citizen's Mail. This is also referred to as "bulk mail" or "BK." Citizen's mail sent directly to the Office of the Secretary, and forwarded for response to appropriate program office. No paper copies are maintained by the Office of the Secretary, unless the response is signed by the Secretary.

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**Disposition:** TEMPORARY. 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.

ED/RDS, Part 9, Item 1c  
(N1-441-97-1, Item 1c)

- 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:** TEMPORARY. 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.

ED/RDS, Part 9, Item 1d  
(N1-441-97-1, Item 1d)

- 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:** TEMPORARY. 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.

ED/RDS, Part 9, Item 1e  
(N1-441-97-1, Item 1b)

### 2. Control Correspondence Management System.

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Electronic imaging system used to maintain scanned images of all incoming correspondence, responses with the Secretary's signature, and a limited number of enclosures.

**Disposition:** TEMPORARY. Delete when no longer needed for reference.

ED/RDS, Part 9, Item 2  
(N1-441-97-1, Item 2)

### 3. Reference Copies of Speeches.

Additional **copies** of final speeches maintained as separate files in the Office of the Secretary for reference purposes.

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

ED/RDS, Part 9, Item 3  
(N1-441-97-1, Item 3)

### 4. Briefing Books and Daily Schedules for the Secretary of Education.

- a. Briefing Books and Schedules. 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.

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

ED/RDS, Part 9, Item 4a  
(N1-441-97-1, Item 4a)

- b. Declined Invitations.

**Disposition:** TEMPORARY. Destroy when 6 months old.

ED/RDS, Part 9, Item 4b

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(N1-441-97-1, Item 4b)

c. 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 cut off, whichever is later.

ED/RDS, Part 9, Item 4c.1  
(N1-441-97-1, 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.

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

ED/RDS, Part 9, Item 4c.2  
(N1-441-97-1, 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.

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

ED/RDS, Part 9, Item 5  
(N1-441-97-1, 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.

- 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.

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

ED/RDS, Part 9, Item 6a  
(N1-441-97-1, Item 6a)

b. Manuals and Reports.

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

ED/RDS, Part 9, Item 6b  
(N1-441-97-1, Item 6b)

7. **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 cut off.

ED/RDS, Part 9, Item 7  
(N1-441-97-1, Item 7)

### OFFICE OF THE DEPUTY SECRETARY

8. **Briefing Books and Daily Schedules for the Deputy Secretary.**

a. Briefing Books and Schedules. 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.

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

ED/RDS, Part 9, Item 8a  
(N1-441-97-1, Item 8a)

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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 cut off, whichever is later.

ED/RDS, Part 9, Item 8b.1  
(N1-441-97-1, 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.

ED/RDS, Part 9, Item 8b.2  
(N1-441-97-1, 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.

**Disposition:** TEMPORARY. 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.

ED/RDS, Part 9, Item 9a(1)  
(N1-441-97-1, Item 9a)

- 2) Office of the Deputy Secretary. **Copies** of the correspondence responded to and signed by appropriate program offices.

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

ED/RDS, Part 9, Item 9a(2)  
(N1-441-97-1, Item 9a)

- b. Correspondence received and responses signed by Deputy Secretary, including declined invitations, letters of appreciation,

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and other non-program related information.

**Disposition:** TEMPORARY. Cut off files at end of calendar year. Destroy two years after cut off.

ED/RDS, Part 9, Item 9b  
(N1-441-97-1, Item 9b)

- c. Official Correspondence 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.

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

ED/RDS, Part 9, Item 9c  
(N1-441-97-1, Item 9c)

- 10. 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.

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

ED/RDS, Part 9, Item 10  
(N1-441-97-1, Item 10)

### CHIEFS OF STAFF AND SPECIAL ASSISTANTS, OFFICE OF THE DEPUTY SECRETARY

- 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.

ED/RDS, Part 9, Item 11  
(N1-441-97-1, Item 11)

- 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.

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- 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.

ED/RDS, Part 9, Item 12a  
(N1-441-97-1, Item 12a)

- b. Manuals and Reports.

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

ED/RDS, Part 9, Item 12b  
(N1-441-97-1, 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 cut off.

ED/RDS, Part 9, Item 13  
(N1-441-97-1, Item 13)

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.

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

ED/RDS, Part 9, Item 14  
(N1-441-97-1, Item 14)

### OFFICE OF THE UNDER SECRETARY

15. **Annual Report to Congress.**

**Disposition:** TEMPORARY. Transfer to the National Archives and Records Administration at the end of the calendar year.

ED/RDS, Part 9, Item 15  
(N1-441-97-1, Item 15)



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- 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.

a. Record Copy.

**Disposition:** PERMANENT. Cut off files at the end of each budget year. Transfer to the National Archives and Records Administration 4 years after cut off. {These disposition instructions supersede NC-12-75-1, item 1a [ED/RDS Part 3, item 2a]}

ED/RDS, Part 9, Item 16a  
(N1-441-97-1, Item 16a)

- b. Budget Background Records. 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.

**Disposition:** 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}

ED/RDS, Part 9, Item 16b  
(N1-441-97-1, 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.)

**Disposition:** PERMANENT. Cut off files at the end of each budget year. Transfer to the National Archives and Records Administration 4 years after cut off.

ED/RDS, Part 9, Item 17  
(N1-441-97-1, 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.

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

- 1) Program Office. TEMPORARY.

**Disposition:** TEMPORARY. 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. ED/RDS, Part 9, Item 18a(1) (N1-441-97-1, Item 18a(1))

- 2) Office of the Deputy Secretary. **Copies** of the correspondence responded to and signed by appropriate program offices.

**Disposition:** TEMPORARY. Cut off files at end of calendar year. Destroy one year after cut off. ED/RDS, Part 9, Item 18a(2) (N1-441-97-1, Item 18a(2))

- b. Official correspondence received and responses signed 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.

**Disposition:** PERMANENT. Cut off files at the end of the calendar year. Retire to the Washington National Records Center one year after cut off. Transfer to the National Archives and Records Administration 10 years after cut off. ED/RDS, Part 9, Item 18b (N1-441-97-1, Item 18b)

- 19. 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.

- a. Working Papers. Notes, drafts, and similar records that lead up to the creation of the final product.

**Disposition:** TEMPORARY. Destroy upon verification against final product. ED/RDS, Part 9, Item 19a (N1-441-97-1, Item 19a)

- b. Manuals, Guides, Reports, and Notices.

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

ED/RDS, Part 9, Item 19b  
(N1-441-97-1, Item 19b)

### 20. Speeches.

**Disposition:** PERMANENT. Cut off at end of calendar year. Transfer to the National Archives and Records Administration (NARA) 2 years after incumbent Under Secretary leaves office.

ED/RDS, Part 9, Item 20  
(N1-441-97-1, Item 20)

### 21. Electronic Calendars. -- RESERVED

ED/RDS, Part 9, Item 21  
(N1-447-97-1, Item 21:  
WITHDRAWN)

## ASSISTANT SECRETARY

### 22. 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.

**Disposition:** PERMANENT. Cut off at end of calendar year. Retire to the Federal Records Center one year after cut off. Transfer to the National Archives and Records Administration (NARA) 10 years after incumbent Assistant Secretary leaves office.

ED/RDS, Part 9, Item 22  
(NC-12-75-1, Item 2a)

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[ PROPOSED ITEMS ]

[ *The following proposed schedules have not yet been approved. No disposition is currently authorized.* ]

### CORRESPONDENCE FILES

This schedule covers the correspondence files created and maintained at the Assistant Secretary, Deputy Assistant Secretary, Director, and Branch levels within the U.S. Department of Education. This schedule also updates ED/RDS, Part 9, item 9, General Correspondence and Administrative Records of Assistant Secretaries, in the agency’s records disposition manual.

**23. Assistant- and Deputy Assistant-level Official Correspondence.**

- a. Correspondence Files of the Assistant and Deputy Assistant Secretary. Correspondence that documents the formulation of national education policy, and the establishment of directions and the review of the primary missions of the Department of Education.

**Disposition:** PERMANENT. Cut off files at the end of the calendar year. Retire to the Federal Records Center 4 years after cut off. Transfer to the National Archives 10 years after cut off. {Supersedes NC-12-75-1, item 2a and N1-12-89-2, item 1a}

**Pending NARA Approval**  
ED/RDS, Part 9, Item 23a

- b. Routine Administrative Correspondence and Memoranda.

**Disposition:** TEMPORARY. Cut off files at the end of the calendar year. Destroy one year after cut off.

**Pending NARA Approval**  
ED/RDS, Part 9, Item 23b

**24. Director- and Branch-level Official Correspondence.**

Correspondence received in the offices of the Assistant Secretaries and Deputy Assistant Secretaries, but answered, and official copy

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maintained, at the Director and Branch levels. These records relate to the administration of program activities and not to high-level decision-making functions.

EXCEPTION: Correspondence created and received in the functions of the Assistant Secretary for Legislation and Congressional Affairs, Office of Public Affairs, and the Office of the General Counsel is found in the agency records disposition manual for the retention of correspondence files of these office.

a. Official Copies maintained at Director and Branch levels.

**Disposition:** PERMANENT. Cut off files at the end of the calendar year. Retire to the Federal Records Center 2 years after cut off.

**Pending NARA Approval**  
ED/RDS, Part 9, Item 24a

b. Informational Copies maintained by the Assistant Secretaries and Deputy Assistant Secretaries.

**Disposition:** TEMPORARY. Cut off files at the end of the calendar year. Destroy one year after cut off.

**Pending NARA Approval**  
ED/RDS, Part 9, Item 24b