

|   |   |   |  |
|---|---|---|--|
| <b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>  |   | (LEAVE BLANK)   |  |
| To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)<br>WASHINGTON, DC 20408  |   | JOB NUMBER <i>71-560-04-12</i>  |  |
| 1. FROM (Agency or establishment)<br><br>Department of Homeland Security  |   | <b>NOTIFICATION TO AGENCY</b><br><br>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 <input type="checkbox"/> disposition not approved <input type="checkbox"/> or <input type="checkbox"/> withdrawn <input type="checkbox"/> in column 10. |  |
| 2. MAJOR SUBDIVISION<br><br>Transportation Security Administration  |   |   |  |
| 3. MINOR SUBDIVISION<br><br>Office of Intelligence (INTEL)  |   |   |  |
| 4. NAME OF PERSON WITH WHOM TO CONFER<br><br>Arthur McCune, Jr.   | 5. TELEPHONE<br><br>571/227-2076                                      | DATE<br><br><i>6/12/07</i>  | ARCHIVIST OF THE UNITED STATES<br><br><i>Allen Vandy</i> |
| 6. AGENCY CERTIFICATION<br>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>6</u> 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,<br><br><input type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. |   |   |  |
| DATE<br><br>12/31/03  | SIGNATURE OF AGENCY REPRESENTATIVE<br><br><i>Arthur J. McCune Jr.</i> | TITLE <b>Records Management Officer</b>   |  |
| 7. Item No.   | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION                       | 9. GRS OR SUPERSEDED JOB CITATION   | 10. ACTION TAKEN (NARA USE ONLY)                         |

**\*\*See Attached\*\***

1300 – INTELLIGENCE

| NARA<br>ITEM | TSA CODE & ITEM              | DESCRIPTION   | DISPOSITION   |
|--------------|------------------------------|---|---|
| 1            | 1300.1<br>Intelligence Cases | <p>Consists of all-source information on persons, groups or organizations that pose a threat or were involved in an incident (i.e., involving the use of threats, force, or violence) targeting any mode of transportation. This may include the targeting of passengers involved in the use of any transportation conveyance, transportation facilities and its support structures, government facilities, commercial facilities rendering assistance to the traveling public, etc. May also contain original reports received from field offices of DHS, TSA and/or the Federal Aviation Administration (FAA), communications with Federal, state, tribal, and local agencies, aviation industry, transportation modalities, etc., comprised of photos, personal histories, statements of suspects, court documents, media and other reports, completed forms, official messages, pertinent Watch Log printouts/entries, faxes, and similar documents. Files may be in paper or electronic format and also includes the tracking systems associated with paper or electronic (digitized) version of files.</p> <p>These records contain sensitive security information that is controlled under the provision of 49 CFR Part 1520, and classified intelligence and law enforcement reporting.</p> <p>Series/system contains records that pre-date the establishment of TSA (November 19, 2001), which were in the custody of the FAA Headquarters, and were transferred to TSA under the Aviation Transportation Security Act (ATSA).</p> |   |
| 1.a.         | 1300.1.1                     | <p><b>Routine and Non Significant Case Files:</b> Case files containing information or allegations that are of an investigative nature. They include anonymous or vague allegations; matters referred to constituents or other agencies for handling; and support files providing general information that may prove useful in/for general operations; as well as those that are not significant for documenting major violations of criminal law.</p>  | <p><b>TEMPORARY.</b> Cut off at end of calendar year in which the case is closed. <b>Transfer</b> to FRC 5 years after cut off. <b>Destroy</b> 30 years after cutoff.</p> |
| 1.b.         | 1300.1.2                     | <p><b>Significant Case Files:</b> Records that are a result of an incident which creates national media attention, Congressional investigation, civil or criminal litigation, Government Accountability Office or</p>   | <p><b>PERMANENT.</b> Cut off at end of calendar year in which the case is closed. Transfer paper records to FRC 5 years after</p>   |

1300 – INTELLIGENCE

| NARA<br>ITEM | TSA CODE & ITEM                    | DESCRIPTION  | DISPOSITION  |
|--------------|------------------------------------|--|--|
|              |                                    | <p>Inspector General investigations, and/or substantive change in agency policy and procedures.</p> <p>Such as: FAA security and intelligence records associated with 9/11 whose custody is now with TSA.</p>  | <p>cutoff. Transfer paper to National Archives 30 years after cutoff. Transfer electronic records to National Archives for physical storage 5 years after cutoff. Transfer legal custody of electronic records to National Archives 30 years after cutoff.</p> |
| 1.c.         | 1300.1.3                           | <p><b>Working Files:</b> Files created and maintained during participation in an investigation that may include: drafts that are circulated for internal discussion; internal comments; reference copies; interim reports, final analyses; report copies; internal operating procedures and instructions; and other materials not considered part of the official file. May be in paper or electronic format.</p>  | <p><b>TEMPORARY.</b> Delete/destroy when no longer needed for operational purposes or no-later-than time of disposition action taken for Item 1300.1.1.</p>  |
| 2            | 1300.2<br>Government Watch List(s) | <p>Consists of lists such as the TSA No-Fly List, Selectee List, and the Cleared List. Comprised of initial all-source information on persons, groups or organizations that pose a threat or were involved in an incident (i.e., involving the use of threats, force, or violence) targeting civil aviation and/or other modes of transportation in a concise, chronological order.</p> <p>These records contain sensitive security information that is controlled under the provision of 49 CFR Part 1520, and classified intelligence and law enforcement reporting.</p> |  |
| 2.a.         | 1300.2.1                           | <p><b>Input:</b> Consists of exports from the interagency Terrorist Screening Center (TSC), which is managed by the Federal Bureau of Investigations (FBI).</p>  | <p><b>TEMPORARY.</b> Destroy/delete when data has been entered into the Master File and verified, or when no longer needed to support reconstruction of, or serve as a back up to, the Master file, whichever is later.</p>                                    |

1300 – INTELLIGENCE

| NARA ITEM | TSA CODE & ITEM                                       | DESCRIPTION  | DISPOSITION  |
|-----------|---|--|--|
| 2.b.      | 1300.2.2  | <b>Master File:</b> Consists of data elements such as names, aliases, dates of birth, passport and driver's license information, screening and cleared status, and other information related to organizations or individuals that pose a threat to modes of transportation.  | <b>TEMPORARY.</b><br><b>Destroy/delete</b> individual records 99 years after date of entry of 7 years after confirmation of the individual's death, which ever is sooner.  |
| 2.c.      | 1300.2.3  | <b>Output:</b> Consists of data provided to air carriers via the TSA Web Boards, screen shots, and via email.  | <b>TEMPORARY.</b><br><b>Destroy/delete</b> when superseded by each addition/change.  |
| 2.d.      | 1300.2.4  | <b>Documentation:</b> Data systems, specifications, file classification, codebooks, record layouts, user guides, outputs specifications and final reports (regardless of medium) relating to master file.  | <b>TEMPORARY.</b><br><b>Destroy/delete</b> 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. |
| 3         | 1300.3<br><i>Watch Logs</i>                           | Electronic intelligence logs comprised of information used to document, in a concise chronological order, communications and other activities during Watch Officers' shifts.   | <b>TEMPORARY.</b> Cut off at end of calendar year in which information is created/received.<br><b>Destroy/delete</b> 30 years after cutoff.  |
| 4         | 1300.4<br><i>Intelligence Reports and Assessments</i> | Published documents which include brief descriptions and actions taken on significant events that affect all modes of transportation. Documents inform senior audience, and other transportation stakeholders, of threats to civil aviation and other modes of transportation, including general incidents, information on terrorist groups, significant terrorist incidents, trends or patterns, overflight issues, Department of State travel warnings/public announcements, and suspicious incident reports. Information is gathered from the intelligence community, open sources, and other analytical research. These are published daily and weekly, in |  |

1300 – INTELLIGENCE

| NARA<br>ITEM | TSA CODE & ITEM  | DESCRIPTION   | DISPOSITION   |
|--------------|--|---|---|
|              |  | <p>electronic format.</p> <p>Consists of open-source reporting on transportation issues, current threats to transportation, concealed weapons and screening technology systems. May include reporting on persons, groups or organizations posing a threat to, or involved in, an incident (i.e., involving the use of threats, force, or violence) targeting transportation, comprised of photos, news reports, personal accounts, technical documents and other reports, completed forms, official messages, and similar documents. May include photos, personal accounts, and statements of suspects, court documents, media and incident reports, completed forms, official messages, and anything that could target transportation, such as new types of weapons that could show deficiencies in screening methods, and related documents.</p> <p>These records contain sensitive security information that is controlled under the provision of 49 CFR Part 1520, and classified intelligence and law enforcement reporting.</p> |   |
| 4.a.         | 1300.4.1   | Paper.  | <b>TEMPORARY.</b> Cut off at end of calendar year in which created. <b>Destroy</b> 15 years after cut off.                    |
| 4.b.         | 1300.4.2   | Electronic (including email and web postings).  | <b>TEMPORARY.</b> <b>Destroy/delete</b> when superseded or obsolete.  |
| 5            | <b>1300.5<br/>Information Circulars</b>                                | Provides the transportation community with information of interest in carrying out security duties. Information Circulars (ICs) are based upon information concerning threats to transportation and are created per threat for each area of transportation. ICs are used to advise the transportation community at the sensitive security information level of those threats or situations considered sufficiently serious and credible to warrant the consideration of extra vigilance and/or additional security measures.  | <b>TEMPORARY.</b> Cut off at end of calendar year in which IC expires or is cancelled. <b>Destroy</b> 15 years after cut off. |
| 6            | <b>1300.6<br/>Intelligence Briefings,<br/>Speeches, Addresses, and</b> | Statistical, narrative, and other reports or summaries, including supporting audiovisual materials, that are created to inform high-level officials of the agency   | <b>PERMANENT.</b> Cut off at end of calendar year. <b>Transfer</b> to FRC   |

1300 – INTELLIGENCE

| NARA<br>ITEM | TSA CODE & ITEM | DESCRIPTION  | DISPOSITION  |
|--------------|-----------------|--|--|
|              | <b>Comments</b> | (e.g., agency head and their senior advisors) on major issues confronting the agency in regards to transportation security. Information may be used to prepare such officials for hearings, press conferences, or major addresses. | 5 years after cut off.<br><b>Transfer</b> to NARA 30 years after cutoff. |