

REQUEST FOR RECORDS DISPOSITION AUTHORITY		(LEAVE BLANK)	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>NI-560-05-1</i>	
1. FROM (Agency or establishment) Department of Homeland Security		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 <input type="checkbox"/> disposition not approved <input type="checkbox"/> or <input type="checkbox"/> withdrawn <input type="checkbox"/> in column 10.	
2. MAJOR SUBDIVISION Transportation Security Administration			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER A. Lawan Jackson	5. TELEPHONE 571/227-2068	DATE <i>6/23/06</i>	ARCHIVIST OF THE UNITED STATES <i>Allen W. ...</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 7 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 Government Accountability 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 09/22/04	SIGNATURE OF AGENCY REPRESENTATIVE <i>Bamy D Walters</i>		TITLE Director, Office of Information Management Programs
7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See Attached		
<i>Agency NR NUMD NUMW NUMS</i>			

CODE & ITEM	DESCRIPTION	DISPOSITION	AUTHORITY
<p>33000 General Records</p>			
<p>3300.0.1 Unscheduled</p>	<p>Comprised of <u>programmatic records</u>, as defined by the program office's scope and responsibilities, that are maintained by the program office and not otherwise covered by an approved Records Disposition Schedule. Programmatic records are defined as unique records generated or maintained for record or information by a specific program office.</p> <p>NOTE: Typically used when new programs are developed that result in the creation of records not covered elsewhere by an approved disposition authority.</p>	<p>Contact the Office of Information Management Programs to schedule unscheduled records.</p>	<p>DO NOT DESTROY</p> <p><i>Action needed to request disposition authority.</i></p>
<p>3300.0.2 Scheduled</p>	<p>Comprised of <u>administrative records</u> relating 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.</p> <p>NOTE: Office administrative records described above are records retained by an originating office as its record of initiation of an action, request, or response to requests for information. This item may be applied only to separate administrative records containing such records as copies of documents submitted to the Transportation Security Operations Center.</p>	<p>Destroy when 2 years old.</p>	<p>GRS 23/1</p>
<p>3300.1 Transportation</p>			

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CODE & ITEM DESCRIPTION DISPOSITION AUTHORITY

Security-Readiness			
3300.1.1	<p>Incident Management: A standardized system for response to needs for guidance, resources, security, intelligence, and public information from the Federal government to regions, States, tribal areas, and localities directly affected by natural or manmade catastrophic events, and defined in the National Incident Management System (NIMS) and National Response Plan (NRP). DHS and all its component agencies are assigned responsibilities under the NIMS.</p>		
1. 2.	<p><u>3300.1.1-a Incident Management Guidance.</u> Working copies managed by DHS, Homeland Security Presidential Directives, DHS and component Manuals and instructions, DHS Management Directives.</p> <p><u>3300.1.1-b Incident Management Plans.</u> Correspondence and records, including partial and complete plans, related to the generation, evaluation, and refinement of formal TSA plans for Incident response and Incident Management. May include notes and memoranda from Readiness Division attendance/participation at planning meetings, seminars, working groups, and other external forums. "Plans" includes any draft or final plans in which TSA resources play a central or supporting role for incident response or Incident Management, from National to the local level.</p>	<p>Destroy when superseded or when no longer needed.</p> <p>PERMANENT. Cut off at the end of fiscal year. Transfer to FRC 3 years after cut off. Transfer to NARA 10 years after cut off.</p>	<p>DO NOT DESTROY</p> <p><i>Pending NARA approval of disposition.</i></p> <p>DO NOT DESTROY</p> <p><i>Pending NARA approval of disposition.</i></p>
3300.2.2	<p>Exercises: Exercises are simulated emergency events staged to explore, define, adapt, rehearse, evaluate and improve individual and organization response.</p>		
3.	<p><u>3300.2.2-a TSA Internal Exercises.</u> Exercises planned, conducted, and substantially funded with TSA resources for TSA personnel such as correspondence, meeting agendas, notes, plans, objectives, schedules, and after-action review (AAR) records. Participants may include any</p>	<p>Destroy when 2 years old.</p>	<p>DO NOT DESTROY</p> <p><i>Pending NARA approval of disposition</i></p>

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4.	<p>elements of TSA HQs, the TSOC, foreign liaison personnel, Transportation Incident Management Group Transportation Statistics Annual Reports (TSARs), FSDs inspectors, and TSA local staff. (Other agency reps may participate in support of TSA exercises or as a secondary training audience, but TSA remains the focus of the exercise. (These files may include records of simultaneous exercises by other agencies that share events, a scenario, or a timeline, but are supported with non-TSA funds.)</p> <p>3300.2.2-b Multi-Agency Exercises. Exercises with TSA participation that are sponsored, scheduled and/or funded outside TSA. Includes TSA participation in DHS-sponsored National exercises which include correspondence, meeting agendas, notes, plans, objectives, schedules and after-action-review (AAR) records. These files may also include records of coordinated multi-agency scenario-based training or analysis, in which TSA shares a venue, scenario, and timeline with one or more external agencies (.e.g., Federal Emergency Management Administration (FEMA), Federal Aviation Administration (FAA), Immigration and Customs Enforcement (ICE), Department of Defense (DoD) to achieve independent but related training objectives.</p>	<p>Destroy when 3 years old.</p>	<p>DO NOT DESTROY</p> <p><i>Pending NARA approval of disposition</i></p>
5.	<p>3300.2.2-c Exercise Lessons Learned. Documentation in any form reflecting discovery or evaluation of process improvements. These files will address the processes of improving TSA participation in and conduct of training or analytical exercises, as well as lessons learned in the conduct of TSA core missions and functions that may be incorporated in exercise scenarios. Lessons learned affecting overall performance in response to Incidents of National Significance or tasks assigned under the Stafford Act are normally to be recorded in the DHS/FEMA-sponsored Lessons Learned Information Sharing (LLIS.gov).</p>	<p>Cut off at end of fiscal year. Destroy 5 years after cut off.</p>	<p>DO NOT DESTROY</p> <p><i>Pending NARA approval of disposition</i></p>

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3300.3 Operations			
6. 3300.3.1	Watch Logs: Consists of initial all-source information on persons, groups or organizations that pose a threat or were involved in an incident (involving the use of threats, force, or violence). Documents also include event trackers and all daily watch log forms of communication. Shift summary reports.	Cut off at end of fiscal year. Destroy 5 years after cut off.	DO NOT DESTROY <i>Pending NARA approval of disposition.</i>
7. 3300.3.2	Daily Operations and Incident Records: All documentation associated with a specific minor incident, including notes, shift supervisor statements, and actions conducted.	Cut off at end of fiscal year. Destroy after 2 years.	DO NOT DESTROY <i>Pending NARA approval of disposition.</i>
8. 3300.3.4	Major Incident Records: Includes reports and records related to incidents that involved a terrorist, explosion, or other event that causes significant loss of life or property. Also included are cases that result in national and/or regional media attention, have public and/or Congressional interests, and cases that lead to substantive change in agency policies and procedures.	PERMANENT. Cut off at end of fiscal year in which the investigation is closed. Transfer to the FRC in 5-year blocks when the oldest record in block is retained 5 years after cutoff. Transfer to the National Archives in 5-year blocks when oldest record in block is retained 10 years after cutoff.	DO NOT DESTROY <i>Pending NARA approval of disposition.</i>
9. 3300.3.5	Voice Recordings: These recordings document the incoming/outgoing calls from the TSOC Watch Floor. All recordings are classified as Sensitive Security Information (SSI). Recordings are recorded on a wave file and stored on the server at the TSOC facility. 3300.3.5-a Non-documentary Records: Recordings DO NOT document an incident.	Destroy when 14 days old.	DO NOT DESTROY <i>Pending NARA approval of disposition.</i>

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11.

3300.3.5-b Documentary Records:
Recordings document an incident.

3300.3.5-b(1) Non-Investigative Record:
Includes any recordings NOT needed as evidence in an investigation.

3300.3.5-b(2) Investigative Record:
Includes any recordings needed as evidence in an investigation.

Destroy 14 days after date of recording or date of determination, whichever is later.

PERMANENT. Cut off voice recording at end of fiscal year in which investigation is closed. Transfer with associated Major Incident case file (Item No. 3300.3.4) to the NARA. At time of transfer, NARA and TSA will determine the media format in which the records will be transferred. (Note: Archival format standards are defined in 36 CFR 1228.266(c).

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3300.3.6

Video Recordings: Includes (TSOC) teleconferences and video images generated by monitoring cameras in surveillance operations.

3300.3.6-a TSOC-Generated, Acquired, Sponsored, or Gathered Videos: Includes recordings that document incidents, events, and activities. Major incidents are scheduled in 3300.3.6-b.

Note: These records do not include video records of high level incidents.

3300.3.6-b Major Incidents: Includes reports and records related to incidents that involved a terrorist, explosion, or other event that causes significant loss of life or property.

Cut off at end of fiscal year. **Transfer** to FRC 3 years after cutoff. **Destroy** when 15 years old.

PERMANENT. Cut off video recording at end of fiscal year in which investigation is closed. Transfer with associated Major Incident case file (Item No. 3300.3.4) to the NARA. At time of

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	<p><u>3300.3.6 - Recordings that document routine meetings and award presentations and teleconference meetings.</u></p>	<p>transfer, NARA and TSA will determine the media format in which the records will be transferred. (Note: Archival format standards are defined in 36 CFR 1228.266(d).</p> <p>Destroy when 2 years old.</p>	<p>GRS-21/20</p>
<p>14. 3300.3.7</p>	<p><u>Findings Aids and Production Documentation</u> for identification, retrieval, or use of major incident audiovisual records.</p>	<p>PERMANENT. Cut off audiovisual finding aids at end of fiscal year in which investigation is closed. Transfer with associated Major Incident case file (Item No. 3300.3.4) to the NARA. At time of transfer, NARA and TSA will determine the media format in which the records will be transferred. (Note: Archival format standards are defined in 36 CFR 1228.266(e).</p>	<p>DO NOT DESTROY</p> <p><i>Pending NARA approval of disposition.</i></p>
<p>3300.4 Emergency Preparedness</p>	<p>Documents related to emergency preparedness plan, including Incident Response Plan, and Continuity of Operations Plan. This includes coordination and working papers.</p>	<p>Cut off annually after records become obsolete, are superseded, or no longer needed. Transfer to records center 2 years after cut off. Destroy 5 years after cut off.</p>	<p>N1-560-03-7 Item-10</p>
<p>3300.5 Electronic Mail and Word Processing System</p>			
<p>15. 3300.5.1</p>	<p>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</p>	<p>Destroy/delete within 180 days after the recordkeeping copy has been produced.</p>	<p>DO NOT DESTROY</p> <p><i>Pending NARA</i></p>

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	hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.		<i>approval of disposition.</i>
16. 3300.6.1	Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. Destroy/delete when dissemination, revision, or updating is completed.	Destroy/delete when dissemination, revision, or updating is completed.	DO NOT DESTROY <i>Pending NARA approval of disposition.</i>