REQUEST FOR RECORDS DISPOSITION AUTHORITY

LEAVE BLANK (NARA use only)

JOB NUMBER N1-563-08-36

Date Received 8-18-08

To NATIONAL ARCHIVES & RECORDS ADMINISTRATION
8601 ADELPHI ROAD, COLLEGE PARK, MID 20740-6001

1 FROM (Agency or establishment)
Department of Homeland Security

2 MAJOR SUB DIVISION
National Protection and Programs Directorate

3 MINOR SUBDIVISION
Office of Infrastructure Protection

4 NAME OF PERSON WITH WHOM TO CONFER
Kathy Schultz

5 TELEPHONE
202-447-5075

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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

DATE 2/11/09

ARCHIVIST OF THE UNITED STATES Adrienne Thomas

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 5 page(s) are not needed now 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 the GAO Manual for Guidance of Federal Agencies,

☒ is not required ☐ is attached, or ☐ has been requested

DATE
8/11/08

SIGNATURE OF AGENCY REPRESENTATIVE
Kathleen A. Schultz

TITLE
Senior Records Officer

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1	**See attached sheet(s) for:** **Protected Critical Infrastructure Information Management System (PCIIMS)** **Outputs are covered by GRS 20**		

U.S. Department of Homeland Security
Headquarters Systems Schedules

National Protection and Programs Directorate

Protected Critical Infrastructure Information Management System (PCIIMS)

The Protected Critical Infrastructure Information (PCII) Program, part of the Department of Homeland Security's (DHS) Infrastructure Information Collection Division (IICD), is an information-protection tool that facilitates the sharing of critical infrastructure information (CII) between the private sector and government The PCII Management System (PCIIMS) is an Information Technology (IT) system and the means by which PCII submissions from the private sector will be cataloged and where PCII will be stored within the PCII Program Office

Agencies, companies, and organizations find the PCII Program through media, trade publications, and newsletters Submitters can submit CII for validation to the PCII Program Office by mailing, hand-delivering, sending via encrypted e-mail, or uploading the CII via a secure web site When the information is submitted, staff from the PCII Program review the data to ensure it meets the requirements of the CII Act Once the criteria are met the PCII Program validates the submission and places it as a read-only file in the PCIIMS

PCIIMS is currently operational in Initial Operating Capability Plus (IOC+) state and is comprised of three subsystems

- Workflow/Protected
- eSubmissions
- Metadata Repository

Program Administrative Support System (PASS) functionality will be integrated into PCIIMS The PASS IOC will provide tools and functionalities to aid the PCII Program Office as well as designated PCII Officers in the oversight and management of the PCII user community The PASS IOC will use a database server, an email server and a report server to carry out its functions The database server will store data collected by the PASS IOC When triggered, the email server will automatically send notices to user groups or individual users about various changes, deadlines and tasks requiring action or attention The report server will allow the generation of PASS IOC specific reports when called upon by a user or the system

Each PASS user will have an access controlled

- Registration Process
- Certification / Token
- PCII Authorized User Status Check
- Officer Contact
- User Report Capabilities

Each user group will have an access controlled

- Self Inspection / Report Tools (FOC capability)
- Training
- Electronic Document Repository

The Critical Infrastructure Information Act of 2002 specifically authorizes this collection The collection is done in accordance with the Final Rule, Procedures for Handling Critical Infrastructure Information (6 CFR 29)

NARA Job No. N1-563-08-36

~~**Input:**~~

~~Critical Infrastructure Information (CII) submissions - DO NOT MEET REQUIREMENTS~~
~~CII submissions received by DHS in all media and formats that do not meet the requirements for "Protected CII" contained in Section 214(e) of the Homeland Security Act of 2002~~

~~CII submissions consist of voluntarily submitted records or information concerning actual, potential, or threatened interference with, attack on, compromise of, or incapacitation of critical infrastructure or protected systems by physical or computer-based attack or other similar conduct (including the misuse of or unauthorized access to all types of communications and data transmission systems) that violates Federal, State, or local law, harms interstate commerce of the United States, or threatens public health or safety Submissions may identify and describe physical buildings, facilities or similar infrastructure, computers, computer systems, computer or communication networks, any component hardware or elements of computer systems, software programs, processing instructions, or information or data in transmission or storage devices in computer systems~~

~~**Disposition (Media Neutral):**~~
~~TEMPORARY Return to submitter if requested, or destroy within 30 calendar days of making the final non-protection determination in accordance with provision found in 6 CFR Part 29, or when no longer needed for current business, whichever is later~~

NOTE The section above has been struck-through because these records are already scheduled via NARA Job No N1-563-04-09 Item 1

Input:

1 Critical Infrastructure Information (CII) submissions - MEET REQUIREMENTS
CII submissions received by DHS in all media and formats that do meet the requirements for "Protected CII" contained in the CII Act of 2002

Each submission is sent as a complete unit The individual pieces of each submission are not divided and saved in different spaces Each CII submission comes as a complete non-divisible package This means that the PCII is not divisible from the contact information, and vice versa Contact information is not stored separately

The contact information and information regarding the critical infrastructure itself make up the submission Additionally, each entry requires a Certification Statement The Certification Statement certifies that the submitter believes the information meets the statutory requirements Each entry also contains an express statement from the submitter officially requesting that the CII be protected
The information can be mailed, hand-delivered, sent via encrypted e-mail, or uploaded via a secure web site to the PCIIMS DHS employees review the information contained in the submitting entity's PCIIMS submission form and the PCIIMS Certification Statement as it is inputted into the PCIIMS

Disposition: TEMPORARY Return to submitter or destroy within 30 days of a change in status from PCII to non-PCII

Master File / Data:

2 Workflow/Protected Subsystem

Assists the PCII Program Office (PO) in the processing, retrieval, and storage of PCII submissions The Workflow/Protected subsystem is an information management system and logs PCII submissions, after which they undergo a validation process

Submission data includes

• Contact information full name, business title, business e-mail address, and business telephone and fax number for the individual submitting the information

• Information regarding the critical infrastructure subject material (telecom, nuclear, chemical, commerce, etc), plans related to site (disaster, emergency response, security, buffer zone protection, etc), location of facility, site and asset vulnerabilities, blueprints, and any other information relevant to the protection of a facility

During processing, users have the ability to systematically generate letters to send to a submitter The system creates a log of such correspondence, in addition to allowing users to input their comments about a submission

a The following extracted PCII data

Submission Status
Type of Submission
- Express Statement
- Certification Statement
- Consent to Change Status

Submission Tracking Number
Date Submission Initiated
Date Submission Received
Date Submission Rejected/Status Change
Reason for Rejection/Status Change
Name of Individual Performing Rejection/Status Change
Primary Level Recipient Name
CI/KR Sector

Disposition: TEMPORARY Destroy 20 years after the PCII has changed status from PCII to non-PCII

b All other information

Disposition: TEMPORARY Cut off upon removal of "Protected CII" designation or submission package is obsolete, whichever is sooner Destroy or delete within 30 days of cutoff

Master File / Data:

3 Metadata Repository Subsystem

Inputs submission metadata records in the form of a standardized XML format The subsystem stores these metadata records and allows users to execute searches and generate reports on the data This subsystem is only accessible from a closed network within the PCII Program Office

a PCII metadata extracted for information validated as PCII Metadata includes submission status, type of submission, date submission received, submitter's contact information, brief description of the submission, and the location of the PCII

Disposition: TEMPORARY Destroy 20 years after the PCII has changed status from PCII to non-PCII

b PCII metadata extracted for information that is not validated as PCII Metadata includes submission status, type of submission, date submission received, primary level recipient name, CI/KR sector designator, date of rejection, and reason for rejection

Disposition: TEMPORARY Destroy 20 years after the PCII has changed status from PCII to non-PCII

c All other information

Disposition: TEMPORARY Cut off upon removal of "Protected CII" designation or submission package is obsolete, whichever is sooner Destroy or delete within 30 days of cutoff

Related Records:

4 Records related to processing Critical Infrastructure submissions (excluding tracking information relating to the PCII) Includes correspondence, emails, comments, and validation notes

Disposition: TEMPORARY Destroy 20 years after either the initial status determination of the associated submission or the PCII has changed status from PCII to non-PCII