REQUEST FOR RECORDS DISPOSITION AUTHORITY

LEAVE BLANK (NARA use only)

JOB NUMBER *N/-563-08-23*

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

Date Received *7/3/08*

1. FROM (Agency or establishment)	NOTIFICATION TO AGENCY
Department of Homeland Security	

2. MAJOR SUB DIVISION

Office of Operations Coordination

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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
Kathy Schultz	**202-447-5075**	*2-4-09*	*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 __**2**__ 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	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
6/30/08	*Kathleen A. Schultz*	**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 GRS OR SUPERSEDED JOB CITATION	10.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: **System schedule for National Operations Center (NOC) Senior Watch Officer (SWO)/Tracker Logs** Inputs & **Outputs covered by GRS 20**		

STANDARD FORM 115 (REV. 3-91)
PRESCRIBED BY NARA 36 CFR 1228

U.S. Department of Homeland Security
Headquarters Systems Schedules

Operations Coordination, Office of

National Operations Center (NOC) Senior Watch Officer (SWO)/Tracker Logs

6 U.S.C. Section 121(d) of the Homeland Security Act of 2002 requires the Department of Homeland Security to access, receive, and analyze law enforcement information, intelligence information, and other information from agencies of the Federal Government, State and local government agencies (including law enforcement agencies), and private sector entities, and to integrate such information in order to:
a) Identify and assess the nature and scope of terrorist threats to the homeland
b) Detect and identify threats of terrorism against the homeland
c) Understand such threats in light of actual and potential vulnerabilities of the homeland

The HSC Katrina Report further directed to DHS the mission to establish a "National Information and Knowledge Management System and a National Reporting System". The NOC is the primary national-level hub for domestic situational awareness, common operational picture, information fusion, information sharing, communications, and coordination pertaining to the prevention of terrorist attacks and domestic incident management. The NOC is the primary conduit for the White House Situation Room and the DHS Leadership for domestic situational awareness and depending on nexus some international items are reported as well. The NOC facilitates information sharing and operational coordination with other Federal, State, local, tribal, and private sector operation centers.

Purpose of the System: The SWO/Tracker logs maintain summaries, source documents, and files for all events, incidents, and/or case files the NOC monitors or provides support to. The SWO/Tracker logs perform this function for the Senior Watch Officer (SWO) and Assistant Senior Watch Officer (ASWO) while working closely with the DHS Secretary's Intelligence Analyst, Infrastructure Analysis (IA) Analyst, DHS Secretary's Briefing Staff, Law Enforcement (LE) agency representatives, and other watch standers.

Master File / Data:
1. SWO Log
Electronic files that maintain real-time situational awareness, and documents all intelligence threats and real-world incidents or events being monitored by the NOC.

Disposition:
TEMPORARY. Cut off at the end of the calendar year in which case/event closed. Destroy 20 years after cutoff, or when superseded, obsolete, or no longer needed for the conduct of agency business, which ever is later.

2. Incident Tracking Index (Master Tracker Log)
Logs, summaries, source documents, and files for all events, incidents, and/or case files the NOC monitors or provides support for.

a. Phase Two or Phase Three Events.
A Phase 2 Event is:
1. An event meeting any of the four criteria outlined in Homeland Security Presidential Directive-5.
2. Man made events and natural disasters; chemical, biological, radiological, nuclear, explosive, and cyber events; floods, fires, and tsunamis; and other events causing loss of life and large scale evacuations (likely leading to a Presidential Directive Decision) and requiring significant Federal involvement.
3. An event significantly impacting the U.S. critical infrastructure and industrial accidents occurring in densely populated areas.
4. A credible threat with a possible/actual terrorist nexus and U.S. homeland security implications.

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5. A National Security Special Event whose public safety, threat, complexity, or other attributes require extensive Federal information sharing, interagency support, and incident management preparedness.

A Phase 3 Event is:
1. An event so catastrophic that the Federal Government must assume the highest level of operational posturing and activity.
2. A domestic event with a confirmed terrorist nexus.

Date Span: 2005 – present
Volume of Sample Case File (Hurricane Katrina): about 350 MB
Annual Accumulation: Unknown
Year of First Transfer to the National Archives: 2010

Disposition:
PERMANENT. Cut off at the end of the calendar year in which case/event closed. Transfer to the National Archives 5 years after cutoff.

b. All Other Events.

Disposition:
TEMPORARY. Cut off at the end of the calendar year in which case/event closed. Destroy 20 years after cutoff, or when superseded, obsolete, or no longer needed for the conduct of agency business, which ever is later.

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