

REQUEST FOR RECORDS DISPOSITION AUTHORITY		(LEAVE BLANK)	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>751-560-03 57</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 withdrawn 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 Office of Strategic Management and Analysis (SMA)			
4. NAME OF PERSON WITH WHOM TO CONFER Arthur McCune, Jr.	5. TELEPHONE 571/227-2076	DATE <i>7-8-03</i>	ARCHIVIST OF THE UNITED STATES <i>WITHDRAWN</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 <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, is not required; is attached; or has been requested.			
DATE 04/23/04	SIGNATURE OF AGENCY REPRESENTATIVE <i>Arthur K McCune Jr</i>		TITLE Records Management Officer
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 GRS OR SUPERSEDED JOB CITATION	10.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>WITHDRAWN</i> <i>7-8-03</i> <i>Agency</i>		

SMA – 1800 STRATEGIC MANAGEMENT AND ANALYSIS

This category is for specific disposition guidelines in connection with Transportation Security Administration records created by the Office of Strategic Management and Analysis.

Title	Description of Records	Disposition	Authority
<p>SMA 1800 STRATEGIC PLANNING DOCUMENTATION</p>	<p>The Service-wide strategic planning process includes the development of a strategic plan reflecting the business priorities set by top management; the implementation of this plan via business review performance measures; and the assessment of how organizational segments, as well as the agency as a whole, achieved a strategic plan. Records in this series include transportation scan study reports, papers describing emerging issues and incidents affecting transportation, strategic initiatives, graphs, charts, preliminary reports, internal correspondence, and text materials which document the entire planning and review process.</p>	<p><u>PERMANENT.</u> Cut off at the end of the fiscal year. Transfer to the Federal Records Center (FRC) when 3 years old. Transfer to NARA when 10 years old.</p>	
	<p>a. One copy of all published studies, papers, Service-wide strategic plans, annual operating plans, assessment reports, and any other published documents which relate to the Service-wide planning and review process.</p>		
	<p>b. All working papers, background information, including graphs, charts, internal correspondence, preliminary report information.</p>	<p>Destroy when obsolete or superseded, not to exceed 1 year.</p>	

SMA – 1800 STRATEGIC MANAGEMENT AND ANALYSIS

Title	Description of Records	Disposition	Authority
SMA 1800.1 CHRONOLOGICAL OR READING RECORDS	Extra copy of outgoing correspondence arranged in chronological order and maintained in any office solely for convenience of reference. Does not include copies of incoming correspondence, which should be filed in the Program Subject Correspondence File.	Destroy when 2 years old.	GRS 23/1
SMA 1800.2 PROGRAM SUBJECT CORRESPONDENCE FILES	Letters, memorandums, reports, and other correspondence reflecting the functions and activities within Strategic Management and Analysis.	Cut off at end of the fiscal year. Destroy in agency 3 years after cut off.	
SMA 1800.3 TSA BROADCAST E- MAIL MESSAGES	Copies of TSA Broadcast e-mail messages maintained at Headquarters for information purposes and filed chronologically by date of receipt.	Destroy when obsolete or superseded. Not to exceed 1 year.	
SMA 1800.4 AUTOMATION PROJECT FILES	These records document ongoing efforts to improve the design and structure of Transportation Security Administration (TSA) Manual. These records include correspondence, briefing papers, descriptions of technical issues, meeting minutes, procurement, planning documents, and functional requirements for the development of an automated prototype.	Cutoff at the end of the fiscal year. Transfer to Federal Records Center when 3 years old. Destroy when 5 years old.	
SMA 1800.5 ORGANIZATIONAL HISTORY FILES	This series encompasses three sub series of records that document organizational realignments and changes in functional responsibilities of		

SMA – 1800 ST1 LEGIC MANAGEMENT AND ANALYSIS

Title	Description of Records	Disposition	Authority
	<p>the agency. These records include reorganization studies or proposals initiated to design an efficient organizational framework most suited to carrying out the programs of TSA; final recommendations; implementation plans; descriptions of responsibilities assigned senior executive officers; and organizational charts reflecting regional boundaries, the geographic extent or limits of TSA programs and projects and organizational relationships and processes. Final published copy of organizational charts and functional statements is included in the IRM.</p>		
	<p>a. All final approved studies/recommendations, implementation plans, and related correspondence that reflect all organizational realignments and/or change the way TSA does business.</p>	<p><u>PERMANENT.</u> Cut off at the end of the fiscal year. Transfer to Federal Records Center when 3 years old. Offer to NARA when 10 years old.</p>	
	<p>b. All working drafts, published organization charts and functional statements for all changes. Organizational charts provide graphic illustrations and descriptions of the arrangement and administrative structure of the functional units of TSA. The functional statements provide</p>	<p>Cut off at the end of the fiscal year. Transfer to Federal Records Center when 5 years old. Destroy when 10 years old.</p>	

SMA – 1800 STRATEGIC MANAGEMENT AND ANALYSIS

Title	Description of Records	Disposition	Authority
SMA 1800.6 STRATEGIC PLAN	<p>descriptions of the responsibilities assigned to the senior executive officers of TSA at the Division level and above.</p> <p>The strategic plan defines the TSA mission statement and identifies the goals and objectives that guide the organization. The plan describes how the goals and objectives will be achieved including the identification of key factors that could significantly affect the achievement of the general goals and objectives.</p>	Cutoff at the end of fiscal year. Transfer to Federal Records Center when 3 years old. Destroy when 5 years old.	
SMA 1800.7 ADMINISTRATOR'S DIRECTION	The Administrator's Direction has been designed to communicate what the Administrator wants TSA to accomplish. It reflects near-term focus and standards.	Cutoff at the end of the fiscal year. Transfer to Federal Records Center when 3 years old. Destroy when 4 years old.	
SMA 1800.8 PERFORMANCE PLAN	The performance plan establishes the TSA performance goals that define the level of performance to be achieved on an annual basis. It describes the skills and technology and other resources required to meet the performance goals. In addition, it establishes performance indicators to be used in measuring outcomes.	Cutoff at end of the fiscal year. Transfer to Federal Records Center when 1 year old. Destroy when 3 years old.	
SMA 1800.8.1 Performance Report	The performance report identifies the success of achieving the performance goals of the fiscal year. It	Cutoff at end of the fiscal year. Transfer to Federal Records Center when 1 year old. Destroy when 3	

SMA – 1800 STRATEGIC MANAGEMENT AND ANALYSIS

Title	Description of Records	Disposition	Authority
	explains and describes, where a performance goal has not been met, why the goal was not met and the plans for achieving it.	years old.	
SMA 1800.9 WEEKLY REPORT TO THE DEPARTMENT OF HOMELAND SECURITY	A summary of the weekly activities of the different TSA offices including progress reports and future events.	Cutoff at the end of the end of the calendar year. Destroy when 1 year old.	
SMA 1800.10 ORGANIZATIONAL CHARTS	A visual representation of the organizational breakdown of each TSA office.	Cutoff every 2 years. Destroy when superseded.	
SMA 1800.11 FUNCTIONAL BREAKDOWN STRUCTURE	A detailed document that identifies all of the TSA processes by function. It is used in processing mapping and performance measurement development.	Cutoff at the end of 2 . fiscal years. Destroy when 2 years old.	
SMA 1800.12 INTERIM SEAL USAGE AND IDENTITY GUIDELINES	To ensure a consistent look in all TSA communications, the Interim Seal Usage and Identity Guidelines describe the application of TSA's identifying marks -- seal and name -- to official documentation and materials. The Guidelines also provide direction for the use of color and artwork	The Interim Seal Usage and Identity Guidelines are pending final approval from TSA leadership. It will remain in effect until TSA transfers to the pending Department of Homeland Security at which time it will be altered out of necessity since it reflects identification with the Department of Transportation.	