

|  |   |   |  |
|--|---|---|--|
| <b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>   |   | (LEAVE BLANK)   |  |
| To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)<br>WASHINGTON, DC 20408   |   | JOB NUMBER <i>NI-560-03-7</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disposition request, including amendments, is approved except for items that may be marked disposition not approved or withdrawn in column 10. |  |
| 2. MAJOR SUBDIVISION<br><br>Transportation Security Administration   |   |   |  |
| 3. MINOR SUBDIVISION<br><br>Office of Aviation Operations (Field Operations Records)   |   |   |  |
| 4. NAME OF PERSON WITH WHOM TO CONFER<br><br>Arthur McCune, Jr.  | 5. TELEPHONE<br><br>571/227-2076                                  | DATE<br><i>4/22/05</i>  | ARCHIVIST OF THE UNITED STATES<br><i>Allen Weinstein</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 checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. |   |   |  |
| DATE<br>05/11/04   | SIGNATURE OF AGENCY REPRESENTATIVE<br><i>Arthur L. McCune Jr.</i> |   | TITLE<br>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 GRS OR SUPERSEDED JOB CITATION   | 10.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)                         |
|  | <b>**See Attached**</b>   |   |  |
| <i>cc Agency, NR, NWMD, NWMA</i>   |   |   |  |

**AVOP 400—AVIATION OPERATIONS**

This category is for specific disposition guidelines in connection with Transportation Security Administration records created by **Aviation Operations (FIELD)**

| Item | Title   | Description of Records  | Disposition   | Auth-<br>ority |
|------|---|---|---|----------------|
| 1    | <b>AVOP 400.1</b><br>GENERAL<br>CORRESPONDENCE<br>FILES             | General material and correspondence relating to a Aviation Operations too broad in scope to be filed under one of the specific subjects below. Records can include routine committee, conference, and other meeting files such as agendas, minutes, etc.  | Cut off at end of fiscal year.<br><b>Destroy 2 years</b> after cut off.   |                |
| 2    | <b>AVOP 400.2</b><br>ORGANIZATION,<br>AUTHORITIES, AND<br>FUNCTIONS | Correspondence, memorandums, manuals, directives, organization charts, delegation orders and other records which establish or describe the organization and structure of Aviation Operations, including delegation of authority and the roles of offices and positions within the agency.         | <b>PERMANENT.</b><br>Cut off at the end of fiscal year.<br>Transfer to records center 3 years after cutoff.<br><del>Offer to NARA</del> 10 years after cutoff.<br><i>Transfer</i> |                |
|      | <b>AVOP 400.3</b><br>UNASSIGNED                                     |   |   |                |
|      | <b>AVOP 400.4</b><br>UNASSIGNED                                     |   |   |                |
| 3.   | <b>AVOP 400.5</b><br>COMMUNICATIONS<br>AND CUSTOMER<br>SERVICE      | Correspondence, memorandums, directives, reports, and other records from FOIA, Public Affairs, Media Relations, customer surveys, etc. Reports include information on field office operations to and from management. Records can consist of customer complaints, compliments, and similar items. | Cut off <sup><i>annually</i></sup> when obsolete or issue is completed.<br><b>Destroy 3 years</b> after cutoff.   |                |
|      | <b>AVOP 400.6</b><br>UNASSIGNED                                     |   |   |                |

**AVOP 400—AVIATION OPERATIONS**

| <b>Item</b> | <b>Title</b>  | <b>Description of Records</b>  | <b>Disposition</b>  | <b>Auth-<br/>ority</b> |
|-------------|---|--|---|------------------------|
|             | <b>AVOP 400.7<br/>UNASSIGNED</b>  |  |   |                        |
| 4           | <b>AVOP 400.8<br/>COORDINATION<br/>WITH<br/>GOVERNMENT<br/>AGENCIES</b>                         | Coordination can include DHS, other Federal agencies, state and local governments, foreign governments, etc. Records consist of correspondence, directives, reports and other documents dealing with interactions between this Field Office and other government agencies. Records may be filed by name of agency beginning with the Department of Homeland Security and then by the components of this agency. Other files may be arranged alphabetically. Records do not include agreements made for services with these entities. | Cut off at end of fiscal year when no longer needed. Transfer to records center 2 years after cutoff.<br><b>Destroy 7 years after cutoff.</b> |                        |
| 5           | <b>AVOP 400.9<br/>COORDINATION<br/>WITH<br/>STAKEHOLDERS</b>                                    | Correspondence, memorandums, directives, reports and other records documenting AVOP's coordination with airport authorities, air carriers, and other aviation security stakeholders.   | Cut off at end of fiscal year. Transfer to records center 2 years after cutoff.<br><b>Destroy 7 years after cutoff.</b>                       |                        |
|             | <b>AVOP 400.10<br/>UNASSIGNED</b>   |  |   |                        |
|             | <b>AVOP 400.11<br/>UNASSIGNED</b>   |  |   |                        |
|             | <b>AVOP 400.12<br/>UNASSIGNED</b>   |  |   |                        |
| 6           | <b>AVOP 400.13<br/>COORDINATION<br/>WITH FOREIGN<br/>(NON-<br/>GOVERNMENT)<br/>STAKEHOLDERS</b> | Correspondence, directives, reports and other documents dealing with interactions between this Field Office and air carriers, airport authorities (when not local government), vendors, passenger groups, and others. Records can include passenger counts, safety information and related. Records do not include agreements made for services with these entities.   | Cut off at end of fiscal year when no longer needed. Transfer to records center 2 years after cutoff.<br><b>Destroy 7 years after cutoff.</b> |                        |

AVOP 400—AVIATION OPERATIONS

| Item | Title   | Description of Records  | Disposition   | Auth-<br>ority |
|------|---|---|---|----------------|
| 7    | AVOP 400.14<br>MANAGEMENT<br>SYSTEMS  | Documents related to the administration of AVOP management systems. Records include information technology management files.  | Cut off at end of fiscal year when no longer needed. Transfer to records center 2 years after cutoff.<br><b>Destroy</b> 7 years after cutoff.                                 |                |
| 8    | <del>AVOP 400.15<br/>MEMORANDUMS<br/>OF<br/>UNDERSTANDING,<br/>AND<br/>MEMORANDUMS<br/>OF AGREEMENT</del> | <del>Memorandums of Understanding, and Memorandums of Agreement with federal agencies; stakeholders; state governments and agencies; county and municipal governments and agencies; foreign governments and agencies; non-government organizations. Records include the files that led up to the agreement.</del> | <del>Cut off at end of fiscal year in which the agreement expires. Transfer to records center 2 years after cutoff.<br/><b>Destroy</b> 7 years after cutoff.</del>            |                |
|      | AVOP 400.16<br>UNASSIGNED   | Superseded by job / item number:<br><u>AA-0563-2013-0006-0001 + -0002</u>   |   |                |
|      | AVOP 400.17<br>UNASSIGNED   | <u>Date (MM/DD/YYYY):</u><br><u>12/02/2014</u>  |   |                |
| 9    | AVOP 400.18<br>INVESTIGATIONS<br>AND SECURITY   | Correspondence, memorandums, directives, reports, case files, and other documents covering employee criminal activity, background checks, criminal investigations, personnel security and related.  | Cut off annually after records become obsolete, are superseded, or no longer needed. Transfer to records center 2 years after cutoff.<br><b>Destroy</b> 5 years after cutoff. |                |

**AVOP 400—AVIATION OPERATIONS**

| <b>Item</b> | <b>Title</b>   | <b>Description of Records</b>   | <b>Disposition</b>  | <b>Auth-<br/>ority</b> |
|-------------|--|---|---|------------------------|
| 10          | <b>AVOP 400.19<br/>EMERGENCY<br/>PREPAREDNESS</b>                      | Correspondence, memorandums, directives, standard operating procedures, and other documents related to emergency preparedness plan, including incident response plan, continuity of operations plan, and related.   | Cut off annually after records become obsolete, are superseded, or no longer needed. Transfer to records center 2 years after cutoff.<br><b>Destroy 5 years after cutoff.</b> |                        |
| 11          | <b>AVOP 400.20<br/>PUBLICATIONS</b>                                    | Records include publications or promotional items depicting TSA or program mission activities. Items such as employee newsletters and similar are filed here.   | Cut off file upon publication or when document becomes obsolete, superseded, or is no longer needed to support program activities.<br><b>Destroy 5 years after cutoff.</b>    |                        |
|             |  |   | <b>NOTE:</b> Items created by the Field Office for public use must be forwarded to Headquarters for inclusion in permanent file.  |                        |
| 12          | <b>AVOP 400 21<br/>LITIGATION AND<br/>SPECIAL<br/>ACTIVITIES FILES</b> | a. Documents relating to litigation, Freedom of Information Act (Headquarters acts on all responses, these records are local office copies), advice from counsel within the Field Office, and similar. Litigation and counsel records consist of information not held by the Legal Services Department. See <b>CHFC 600.6</b> for Legal Services files. | Cut off annually following close of case. Transfer to records center 2 years after cutoff.<br><b>Destroy 7 years after cutoff.</b>  |                        |

**AVOP 400—AVIATION OPERATIONS**

| <b>Item</b> | <b>Title</b>                                    | <b>Description of Records</b>   | <b>Disposition</b>   | <b>Auth-<br/>ority</b> |
|-------------|---|---|--|------------------------|
|             |   | b. Records documenting the management and review of records containing Sensitive Security Information (SSI). For records classified "TOP SECRET" see GRS 18/5.  | b. Cut off annually<br>Following close of case. Transfer to records center 2 years after cutoff.<br><b>Destroy 7 years</b> after cutoff. |                        |
|             | <b>AVOP 400.22 to<br/>400.25<br/>UNASSIGNED</b> |   |  |                        |
| 13          | <b>AVOP 400.26<br/>AUDITING<br/>MANAGEMENT</b>  | Documents related to audits of agency programs, operations, and procedures, and audits of contractors and grantees. Includes records used to document and track the Agency's response to audit, correspondence, conference materials, issue and position papers, responses, work plans, studies, corrective actions tracking/milestones, and related records. | Cut off when audit is complete. Transfer to records center 3 years after cutoff.<br><b>Destroy 8 years</b> after cutoff.                 |                        |
|             | <b>AVOP 400.27<br/>UNASSIGNED</b>               |   |  |                        |
|             | <b>AVOP 400.28<br/>UNASSIGNED</b>               |   |  |                        |
|             | <b>AVOP 400.29<br/>UNASSIGNED</b>               |   |  |                        |
|             | <b>AVOP 400.30<br/>UNASSIGNED</b>               |   |  |                        |

**AVOP 400—AVIATION OPERATIONS**

| <b>Item</b> | <b>Title</b>   | <b>Description of Records</b>  | <b>Disposition</b>   | <b>Auth-<br/>ority</b> |
|-------------|--|--|--|------------------------|
| 14          | <b>AVOP 400.31<br/>WORKFORCE<br/>MANAGEMENT<br/>AND ANALYSIS</b> | Correspondence, memorandums, directives, reports, and other documents related to workforce management. Records include such topics as position classifications, compensation rules, employee attendance and leave management, recruitment policies, and related. Records also include workforce analysis such as organizational design (not organizational charts), staffing patterns, model workplace pilot program, etc. | Cut off annually. Transfer to records center 2 years after cutoff. <b>Destroy</b> 6 years after cutoff.  |                        |
|             | <b>AVOP 400.32<br/>UNASSIGNED</b>                                |  |  |                        |
|             | <b>AVOP 400.33<br/>UNASSIGNED</b>                                |  |  |                        |
|             | <b>AVOP 400.34<br/>UNASSIGNED</b>                                |  |  |                        |
|             | <b>AVOP 400.35 to<br/>400.39<br/>UNASSIGNED</b>                  |  |  |                        |
| 15          | <b>AVOP 400.40<br/>SPECIAL PROJECTS</b>                          | Project work papers and administrative correspondence and documentation created in the course of the project. Records include finished products.   | Cut off at end of project. Keep inactive materials in office 2 years after file break, then transfer to records center. <b>Destroy</b> 5 years after cutoff. |                        |
|             | <b>AVOP 400.41 to<br/>400.42<br/>UNASSIGNED</b>                  |  |  |                        |
|             | <b>AVOP 400.43<br/>UNASSIGNED</b>                                |  |  |                        |

AVOP 400—AVIATION OPERATIONS

| Item | Title   | Description of Records   | Disposition   | Auth-<br>ority |
|------|---|--|---|----------------|
| 16   | AVOP 400.44<br>ENVIRONMENTAL<br>QUALITY AND<br>IMPACT | Correspondence, memorandums, directives, reports, and other documents related to environmental quality and impact. Records include disposition of small amounts of hazardous materials abandoned at screening checkpoints or found in baggage. Records can include documentation of spills and exposure to possibly hazardous items. | Cut off annually. Transfer to records center 2 years after cutoff. <b>Destroy</b> 7 years after cutoff.   |                |
| 17   | AVOP 400.45<br>AIRPORT<br>OPERATIONS                  | Directives, policy memorandums, and similar that are created specifically by and for the Field Office. These records can enhance policy directives issued by Headquarters, or are issued solely for the Field Office. Policies can include airport access, parking, conduct, uniforms, and related.                                  | Cut off at end of fiscal year in which the records are superseded or no longer in effect. Transfer to records center 2 years after cutoff. <b>Destroy</b> 7 years after cutoff. |                |
| 18   | AVOP 400.46<br>SPECIAL EVENTS                         | Copies of correspondence, memorandums, reports on all aspects of physical security for special events that the Agency hosts covering conferences, guard orders, guests and participants lists, meetings, requests for security requirements, technical security, training, escort requests and other related subject                 | Cut off at end of fiscal year. Transfer to records center 1 years after cutoff. <b>Destroy</b> 3 years after cutoff.  |                |
| 19   | AVOP 400.47<br>FEDERAL<br>SECURITY<br>DIRECTORS       | Contains correspondence with TSA officials, DHS officials, and Congress on Aviation operation policies program planning and management. When appropriate, Assistant FSD records may be filed under this heading. NOTE: File completed policy documents in AVOP 400.45. This item also includes all NetHub                            | Cut off at end of fiscal year. Transfer to records center 2 years after cutoff. <b>Destroy</b> 5 years after cutoff.  |                |

*Note:*  
 Pen & Ink change  
 as per the request  
 of Lawan Jackson  
 Records officer for  
 the TSA.



**AVOP 400—AVIATION OPERATIONS**

| <b>Item</b> | <b>Title</b>  | <b>Description of Records</b>   | <b>Disposition</b>                          | <b>Auth-<br/>ority</b> |
|-------------|---|---|---|------------------------|
|             | <b>AVOP 400.48<br/>UNASSIGNED</b>   |   |   |                        |
| 20          | <b>AVOP 400.49<br/>AIRPORT SECURITY<br/>PROGRAM</b>                                   | A copy of standard operating procedures, policy memorandums, Aviation Operations Directives, Security Directives, and other documents transmitting aviation security operations and policy.   | <b>Destroy</b> when obsolete or superseded. |                        |
| 21          | <b>AVOP 400.50<br/>OPERATIONS<br/>POLICY</b>  | Standard operating procedures, airport security programs, policy memorandums, directives, and other documents related to aviation security operations and policy.   | <b>Destroy</b> when obsolete or superseded. |                        |
|             | <b>AVOP 400.51<br/>OPERATIONS<br/>RECORDS<br/>PASSENGER<br/>SCREENING<br/>GENERAL</b> | Records can include screening equipment alarm and testing records, calibration logs, shift summary reports, checkpoints rosters and logs, screener schedules, and related. They can also include support records such as banned item reports, abandoned property/currency reports, provision of routine checkpoint supplies (gloves, forms, etc.), and similar documents relating to screening operations not listed here or in descriptions of other records in this schedule. Records used for incident reports should be filed in AVOP 400.53. |   |                        |
|             |   | a. Screening records at the checkpoint for which an incident report is required.  | <b>Destroy</b> after 30 days                | N1-560-04-03           |
|             |   | b. Screening records at the checkpoint for which an incident report is required.  | Transfer to <b>AVOP 400.53</b>              | N1-560-04-03           |
|             |   | c. Audio-visual recordings of screening areas.  |   | N1-560-04-03           |
|             |   | 1. All videos that do not document an incident.   | <b>Destroy</b> when 14 days old.            |                        |
|             |   | 2. Videos that document an incident (like a   | Transfer images                             | N1-                    |

AVOP 400—AVIATION OPERATIONS

| Item | Title   | Description of Records   | Disposition   | Auth-<br>ority |
|------|---|--|---|----------------|
|      |   | security violation, possible tort, altercation, etc.) and TSA determines they are needed as evidence in a law enforcement investigation tort claim adjudication or for some other adjudication or proceedings.   | to a disc and include in the investigation or incident file.                                | 560-04-03      |
|      |   | 3. Videos that document an incident (like a security violation, possible tort, altercation, etc.) and TSA determines they are <b>not</b> needed as evidence in a law enforcement investigation or for some other adjudication or proceedings. Note: TSA may want to retain certain checkpoint videos for training purposes. Once TSA makes that determination, the video should be transferred to the training office files and will be subject to the Office of Workforce Performance & Training (WPT 1900) records disposition schedule. | <b>Destroy</b> 14 days after date of recording or date of determination whichever is later. | N1-560-04-03   |
|      | <b>AVOP 400.52</b><br>OPERATIONS<br>RECORDS:<br>BAGGAGE, CARGO<br>SCREENING,<br>GENERAL | a. Records can include equipment calibration logs, shift reports, provision of routine supplies, K-9 alerts, random item checks, screener schedules and related documentation.   | <b>Destroy</b> when 1 year old.   | N1-560-04-03   |
|      |   | b. EDS/EDT machine alarms that upon resolution are determined not to pose a threat to the aircraft.  | <b>Destroy</b> after 30 days.   | N1-560-04-03   |
|      |   | c. EDS/EDT Machine alarms that upon resolution are determined to pose a threat to the aircraft and require an incident report.   | Transfer to <b>AVOP 400.53</b>  | N1-560-04-03   |
|      |   | d. Audio-visual recordings of baggage/cargo screening areas.   |   | N1-560-04-03   |
|      |   | 1. All videos that do not document an incident.  | <b>Destroy</b> when 14 days old.  |                |
|      |   | 2. Videos that document an incident (like a security violation, possible tort, altercation, etc.) and TSA determines they are needed as evidence in a law  | Transfer images to a disc and include in the investigation or                               |                |

AVOP 400—AVIATION OPERATIONS

| Item | Title  | Description of Records   | Disposition  | Auth-<br>ority |
|------|--|--|--|----------------|
|      |  | enforcement investigation, tort claim adjudication or for some other adjudication or proceedings.  | incident file.   | N1-560-04-03   |
|      |  | 3. Videos that document an incident (like a security violation, possible tort, altercation, etc.) and TSA determines they are <b>not</b> needed as evidence in a law enforcement investigation or for some other adjudication or proceedings.  | <b>Destroy</b> 14 days after date of recording or date of determination whichever is later.  | N1-560-04-03   |
|      |  | Note: TSA may want to retain certain checkpoint videos for training purposes. Once TSA makes that determination, the video should be transferred to the training office files and will be subject to a The Office of Workforce Performance & Training (WPT 1900) records disposition schedule.   |  | N1-560-04-03   |
|      | <b>AVOP 400.53</b><br>OPERATIONS RECORDS:<br>PASSENGER, BAGGAGE, CARGO SCREENING, INCIDENT REPORTS | Records can include incident reports, shift supervisor statements, local law enforcement reports, witness and participant statements, reports of items detected in baggage and similar reports and documents. Records used for investigations should be filed in CSO 2800.5 INVESTIGATIVE FILES  | Cut off records at the end of each calendar year.<br><b>Destroy</b> 3 years after cutoff.    | N1-560-04-03   |
|      | <b>AVOP 400.54</b><br>PASSENGER, BAGGAGE, CARGO SCREENING:<br>STATISTICAL REPORT                   | Records can include reports made to management regarding passenger counts, number of incidents, abandoned property or currency, and similar statistical reports. If this information is maintained electronically, paper or electronic input records can be destroyed once accuracy is verified. | Cut off records at the end of each calendar year.<br><b>Destroy</b> five years after cutoff. | N1-560-04-03   |
| 22   | <b>AVOP 400.55</b><br>MAJOR INCIDENT RECORDS   | Records related to incidents that involved a terrorist, explosion, or other event that causes significant loss of life or property. They can include employee records, training records, screening logs, audio-visual materials, policies, directions, and                                       | <b>PERMANENT.</b><br>Cut off at close of the investigation.<br>Transfer to a records center  |                |

**AVOP 400—AVIATION OPERATIONS**

| Item | Title   | Description of Records  | Disposition   | Auth-<br>ority                                       |
|------|---|---|---|--|
|      |   | any other record subject to the investigation.  | years after cutoff.<br>Offer to NARA  |  |
|      |   |   | 15 years after cutoff. Records  |  |
|      |   |   | are subject to archival selection   |  |
|      |   |   | <del>archival selection</del> based on severity   | <i>archival selection by TSA;<br/>OK<br/>4/14/05</i> |
|      |   |   | of the incident or historical interest  |  |
|      |   |   | <del>is it.</del>   |  |
| 23   | <b>AVOP 400.56<br/>REGULATORY<br/>INSPECTION AND<br/>ENFORCEMENT<br/>OPERATIONS</b> | Aviation regulatory inspection and enforcement reports, statistical data or reporting databases, and other documents. Subjects include airport inspections, air carrier inspections, safety and security inspections, cargo inspections, and related. Records also include investigations that ended in no fault found. | Cut off annually or following close of case. Transfer to records center 2 years after cutoff. <b>Destroy 7 years</b> after cutoff.                  |  |
|      | <b>AVOP 400.57<br/>UNASSIGNED</b>   |   |   |  |
| 24   | <b>AVOP 400.58<br/>AVIATION<br/>SECURITY LAW<br/>ENFORCEMENT</b>                    | Locally created or enhanced aviation law enforcement rules and regulations, copies of policy memorandums, and, directives, and other documents related to aviation security law enforcement. Records include local instructions on how Aviation Security Law is to be enforced  | Cut off annually when regulations are obsolete or superseded. Transfer to records center 2 years after cutoff. <b>Destroy 7 years</b> after cutoff. |  |
|      | <b>AVOP 400.59<br/>UNASSIGNED</b>   |   |   |  |
| 25   | <b>AVOP 400.60<br/>INTELLIGENCE</b>   | Records created to maintain the security of local operations. Threat assessments, weapons technology impacts, site specific analyses, and related records are filed here.   | Cut off annually. Transfer to records center 2 years after cutoff. <b>Destroy 15 years</b> after cutoff.  |  |
| 26   | <b>ELECTRONIC MAIL</b>  | Electronic copies of records that are created   |   |  |

AVOP 400—AVIATION OPERATIONS

| Item                   | Title | Description of Records  | Disposition  | Auth-<br>ority |
|------------------------|-------|---|--|----------------|
| AND WORD<br>PROCESSING |       | <p>on electronic and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.</p> | <p><b>Destroy/delete</b><br/>180 days after the record-keeping copy has been produced.</p> |                |
|                        |       | <p>a. Copies that have no further administrative value after the recordkeeping copy is made.</p> <p>Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives that are used only to produce the recordkeeping copy.</p> |  |                |
|                        |       | <p>b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p>   | <p><b>Destroy/delete</b><br/>when dissemination, revision, or updating is complete.</p>    |                |