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| <b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>   |  | (LEAVE BLANK)   |   |
| To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)<br>WASHINGTON, DC 20408   |  | JOB NUMBER <i>11-560-03-13</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 <input type="checkbox"/> disposition not approved <input type="checkbox"/> or <input type="checkbox"/> withdrawn <input type="checkbox"/> in column 10. |   |
| 2. MAJOR SUBDIVISION<br><br>Transportation Security Administration   |  |   |   |
| 3. MINOR SUBDIVISION<br><br>Office of Financial Management   |  |   |   |
| 4. NAME OF PERSON WITH WHOM TO CONFER<br><br>Arthur McCune, Jr.  | 5. TELEPHONE<br><br>571/227-2076                                     | DATE<br><br>4-15-04   | ARCHIVIST OF THE UNITED STATES<br><br><i>John W. Carl</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><br>07/29/03   | SIGNATURE OF AGENCY REPRESENTATIVE<br><br><i>Arthur L. McCune Jr</i> | TITLE <b>Records Management Officer</b>   |   |
| 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 GRS OR SUPERSEDED JOB CITATION   | 10.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>  |   |   |

*cc Agency*

**FIN 1000—FINANCIAL MANAGEMENT**

This category groups material relating to financial management including the collection, disbursement, and accounting for TSA funds, and payroll operations.

|    | <b>Title</b>                                     | <b>Description of Records</b>   | <b>Disposition</b>   | <b>Authority</b> |
|----|--|---|--|------------------|
| 1. | <b>FIN 1000<br/>FINANCIAL<br/>MANAGEMENT</b>     | General material and correspondence relating to Financial Management too broad in scope to be filed under one of the specific subjects below.               | Cut off at end of fiscal year. <b>Destroy</b> 3 years after cut off.   |                  |
| 2. | <b>FIN 1000.1<br/>REPORTS AND<br/>STATISTICS</b> | a. Reports covering all subjects included under this primary. Includes annual report to Congress. Case file by type of report as necessary.                 | Cut off at end of fiscal year. <b>Destroy</b> when 3 years old.  |                  |
|    |  | b. General and substantive reports, studies, progress reports, and reports of significant accomplishments. Case file special or one time reports as needed. | Cut off at end of fiscal year. Transfer to FRC 10 years after cutoff. <b>Destroy</b> 15 years after cutoff.      |                  |
| 3. | <b>FIN 1000.2<br/>PLANNING</b>                   | General correspondence drafts, background material, annual work plans, budget estimates, and documents relating to program planning.                        | Cut off at end of fiscal year. <b>Destroy</b> when 3 years old.  |                  |
| 4. | <b>FIN 1000.2.1<br/>Budget Files</b>             | Files contain purchase requests, invoices of all types, annual and quarterly reports, and all related material pertaining to the budget execution.          | Cut off at end of fiscal year. <b>Destroy</b> in agency 5 years after the close of the FY covered by the budget. |                  |
| 5. | <b>FIN 1000.2.2<br/>Tax Exempt Files</b>         | Certificates and other documents exempting the TSA from paying State and local taxes on purchases.  | <b>Destroy</b> when no longer needed.  |                  |
| 6. | <b>FIN 1000.3<br/>POLICY</b>                     | Consists of formal coordination sheets, working papers and special reports dealing with financial management.   | Cut off at end of fiscal year. <b>Destroy</b> 10 years after cut off.  |                  |
| 7. | <b>FIN 1000.3.1<br/>Trip Reports</b>             | Consists of trip report findings and field reviews.   | Cut off at end of fiscal year. <b>Destroy</b> 3 years  |                  |

FIN 1000—FINANCIAL MANAGEMENT

| Title | Description of Records   | Disposition   | Authority  |
|-------|--|---|--|
| 8.    | <b>FIN 1000.4</b><br><b>FINANCIAL</b><br><b>STATEMENTS</b>               | Periodic financial statements (annual, quarterly and monthly) prepared on TSA results of operations. Specific statements include: (1) balance sheets; (2) statement of net cost; (3) budgetary resources; (4) financing; and (5) cash flow. | after cut off.   |
|       | a. Annual reports (arranged chronological)                               | <b>PERMANENT.</b> Cut off at the end of fiscal year. Transfer to FRC 3 years after cut off. Transfer to NARA 10 years after cut off.  |  |
|       | b. Quarterly and Monthly Reports   | Cut off at end of fiscal year. <b>Destroy</b> when 10 years old.  |  |
| 9.    | <b>FIN 1000.4.1</b><br><b>Execution Reports</b>                          | Contains computer printouts of employee levels, working papers, cost estimates appropriations, and related financial statements pertaining to general operating expenses of each organizational element of the agency.                      | Cut off at end of fiscal year. <b>Destroy</b> 5 years after cut off.   |
| 10.   | <b>FIN 1000.4.2</b><br><b>Closing</b>                                    | Contains pre-closing and post-closing files including monthly and annual summary reports used as reference material for financial statements at the end of the fiscal year.   | The official file copy is maintained on Department of Transportation Financial Database. Office maintains an information copy only and can be destroyed when no longer needed. |
| 11.   | <b>FIN 1000.4.3</b><br><b>Certifying Officers</b><br><b>Record Files</b> | Contains Voucher and Schedule of Payments and SF-1081, Vouchers and Schedule of Withdrawals, Credits and SF-1166 (only used in emergency situations). Also, include any supporting documents  | The official file copy is maintained on Department of Transportation Financial Database. Office maintains an   |

FIN 1000—FINANCIAL MANAGEMENT

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|-------|---|---|---|
| 12.   | <p>and the transfer of funds between Government agencies without checks.</p> <p><b>FIN 1000.4.4</b><br/>Certifying Officers Delegations</p> | <p>information copy only and can be destroyed when no longer needed.</p> <p>Correspondence and procedures used to delegate authority to perform Certifying Officer's duties.</p>  | <p><b>Destroy</b> 6 years and 6 months after period covered by account.</p>   |
| 13.   | <p><b>FIN 1000.5</b><br/>STATEMENT OF TRANSACTION</p>   | <p>Contains SF-224, Statement of Transaction, which is the financial statement of the transactions of all funds by TSA.</p>   | <p>The official file copy is maintained on Department of Transportation Financial Database. Office maintains an information copy only and can be destroyed when no longer needed.</p> |
| 14.   | <p><b>FIN 1000.5.1</b><br/>Transaction Reports</p>  | <p>Includes the monthly transaction reports consisting of purchase orders, invoices, backup material, disposition reports.</p>  | <p>The official file copy is maintained on Department of Transportation Financial Database. Office maintains an information copy only and can be destroyed when no longer needed.</p> |
| 15.   | <p><b>FIN 1000.5.2</b><br/>Collections and Receipts</p>   | <p>Accounts Receivable – Contains correspondence and a collection of documents (including the SF 215, Deposit Ticket) that pertain to cash transfers to the Treasury Department by TSA.</p>   | <p>Transfer to the FRC when 3 years old. <b>Destroy</b> 6 years and 6 months after period covered by account.</p>   |
| 16.   | <p><b>FIN 1000.5.3</b><br/>Other External Financial Reports</p>   | <p>Includes any other financial reports TSA submits to an external oversight agency. This includes: SF 133, Report on Budget Execution; SF 6653, Undisbursed Appropriation Account Ledger; and 6654, Undisbursed Appropriation Account Trial Balance.</p> | <p>Cut off at end of fiscal year. <b>Destroy</b> 6 years and 6 months after cut off.</p>  |

**FIN 1000—FINANCIAL MANAGEMENT**

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|---|--|--|-----------|
| <b>FIN 1000.6</b><br>(UNASSIGNED)                               |  |  |           |
| 17- <b>FIN 1000.7</b><br>GENERAL LEDGER                         | Contains general ledgers, which summarize the financial status and financial transactions of TSA, current status of funds available for expenditures, and show debit and credit entries of the agency.   | The official file copy is maintained on Department of Transportation Financial Database. Office maintains an information copy only and can be destroyed when no longer needed. |           |
| 18- <b>FIN 1000.7.1</b><br>Expenditures                         | Posting and Control Files includes Subsidiary Ledgers.   | The official file copy is maintained on Department of Transportation Financial Database. Office maintains an information copy only and can be destroyed when no longer needed. |           |
| 19- <b>FIN 1000.8</b><br>OBLIGATION FUND<br>CONTROL AND<br>FLOW | Consists of correspondence, financial data, reimbursable agreements, annual reports, and other papers related to obligated and unobligated funds of TSA.   | The official file copy is maintained on Department of Transportation Financial Database. Office maintains an information copy only and can be destroyed when no longer needed. |           |
| 20- <b>FIN 1000.9</b><br>PAYROLL<br>ACCOUNTING                  | Contains correspondence, procedures and requirements for the maintenance of TSA payroll system that govern the documentation of payroll transactions includes withholding instructions from State and local governments for TSA employee earnings. | The official file copy is maintained on Department of Transportation Financial Database. Office maintains an information copy only and can be destroyed when no longer needed. |           |
|   | Subdivide by employee and  |  |           |

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| 21.   | FIN 1000.10<br>TRAVEL<br>ACCOUNTING   | maintain in accordance with Privacy Act provisions. These records are maintained in the TSA Accounting Section in Oklahoma City, Oklahoma.                                     |   |
|       | Records relating to reimbursing individuals, such as travel orders, (obligating documents) per diem vouchers, transportation requests, hotel reservation, and all supporting documents relating to official travel by officers, employees, dependents, or others invited to travel. | The official file copy is maintained on Department of Transportation Financial Database. Office maintains an information copy only and can be destroyed when no longer needed. |   |
|       | <del>Travel administrative office files.</del>  | <del>Cut off at end of fiscal year. Destroy 6 years after cut off.</del>   | GRS 9/3a  |
| 22.   | <del>FIN 1000.11<br/>PURCHASE CARDS</del>   | <del>Contains individual purchase cardholder audits to ensure compliance with laws and regulations filed by Airports.</del>  | <del>Cut off at end of fiscal year. Destroy 6 years and 3 months after final payment.</del> |
|       | <del>All purchases over \$2,500 and 2% of all purchases under \$2,500 are audited.</del>  |  |   |

Superseded by job / item number:

DAA-0560-2017-0005-0001

Date (MM/DD/YYYY):

07/13/2017

FIN 1000—FINANCIAL MANAGEMENT

| Title   | Description of Records   | Disposition  | Authority |
|---|--|--|-----------|
| <p>23. FIN 1000.12<br/>E-MAIL AND WORD<br/>PROCESSING<br/>DOCUMENTS</p> | <p>a) 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 hard disk or network drives, and copies on shared 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>Delete/destroy</b> within 180 days after the recordkeeping copy has been produced.</p> <p><b>Delete</b> when dissemination, revision, or updating is complete.</p> |           |