

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		(LEAVE BLANK)	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>NI-560-03-14</i>	
1. FROM (Agency or establishment)  Department of Homeland Security		<b>NOTIFICATION TO AGENCY</b>  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 withdrawn 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 Budget and Performance			
4. NAME OF PERSON WITH WHOM TO CONFER  Arthur McCune, Jr.	5. TELEPHONE  571/227-2076	DATE  <i>4-15-04</i>	ARCHIVIST OF THE UNITED STATES  <i>John W. Paul</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,  <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE  07/29/03	SIGNATURE OF AGENCY REPRESENTATIVE  <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 GRS OR SUPERSEDED JOB CITATION	10.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 NARA*

## BUD 500—BUDGET AND PERFORMANCE

This category deals with all phases of TSA budget activities; guidelines for, and preparation and submission of budget requests in each organizational unit; preparation of the Agency's submission to the Office of the Secretary and the Office of Management and Budget (OMB); preparation and presentation of the detailed TSA budget request to Congress; Agency's budget execution and funds availability.

Title	Description of Records	Disposition	Authority
1. <b>BUD 500</b> <b>BUDGET</b> <b>AND</b> <b>PERFORMANCE</b>	General materials and correspondence relating to budget preparations 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>BUD 500.1</b> <b>REPORTS AND</b> <b>STATISTICS</b>	a. Reports covering all subjects included under this primary. Includes annual report to Congress. Case file by type of report as necessary.  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. <b>Destroy</b> when 3 years old.  Cut off at end of fiscal year. Transfer to FRC 10 years after cutoff. <b>Destroy</b> 15 years after cutoff.	
3. <b>BUD 500.2</b> <b>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.	
<del><b>BUD 500.3</b> <b>COMMITTEES,</b> <b>MEETINGS AND</b> <b>CONFERENCES</b></del>	<del>Committees, meetings, and conferences relating to establishment, organization, membership, and policy of internal committees pertaining to budget and performance activities and functions. Subdivide committees and conferences, if necessary, and show name and date span of folder.</del>	<del><b>Destroy</b> 2 years after termination of committee.</del>	<del>GRS 16/8a</del>
4. <b>BUD 500.3.1</b> <b>Arrangements</b>	Include such material as meeting arrangements, invitations, extra copies of agendas,	<b>Destroy</b> when 3 years old or when no longer needed for reference,	

**BUD 500—BUDGET FORMULATION AND EXECUTION**

Title	Description of Records	Disposition	Authority
5. <b>BUD 500.4</b> BUDGET PREPARATION AND SUBMISSION	accommodations, authority to attend, workpapers, acceptances, and regrets. General material relating to budget submission. Includes work-based plans, zero-based budgeting plans, work planning, programming plans, and the like.	whichever is sooner.  Cut off at end of fiscal year. <b>Destroy</b> in agency 5 years after close of FY covered by the budget.	
6. <b>BUD 500.4.1</b> Budget Estimates	Includes preliminary estimates and justifications	Cut off at end of fiscal year. <b>Destroy</b> in agency 5 years after close of FY covered by the budget.	
7. <b>BUD 500.4.2</b> Submissions and Justifications	Materials concerning submission of budget estimates to the Secretary, OMB, and the Congress. Subdivide by review organization is appropriate.	<u><b>PERMANENT.</b></u> Transfer to FRC when 4 years old or earlier. Offer to NARA when 10 years old.	
8. <b>BUD 500.5</b> BUDGET REQUESTS	Contains three types of requests. These are Departmental, Congressional, and OMB. Departmental are requests for funds from TSA for the operation of their programs. Congressional and OMB are requests for special information on budgetary matters pertaining to the budget that TSA has submitted to Congress.	Cut off at end of fiscal year. <b>Destroy</b> in agency 5 years after close of the FY covered by the budget.	
9. <b>BUD 500.6</b> BUDGET EXECUTION	a. Correspondence related to any request for budget action that concerns Washington Headquarters or field division offices.  b. Files also contain current year forms SF-133, Report on Budget execution. This report is required by OMB Circular A-34. Also included are working papers and supporting documents.	Cut off at end of fiscal year. <b>Destroy</b> in agency 5 years after the close of the FY covered by the budget.  Cut off at end of fiscal year. <b>Destroy</b> 5 years after cut off.	

**BUD 500—BUDGET FORMULATION AND EXECUTION**

Title	Description of Records	Disposition	Authority
<del>BUD 500.6.1</del> Allotments and Authorizations	<p><del>Allotment records showing status of obligations and allotments under each authorized appropriation. The files consist of Advance of Funds Available for Obligations, used to document all allotments (obligational availability) of funds and supporting documents.</del></p> <p><del>The form shows the initial administrative allotments, initial allotment of construction funds by fiscal year quarters, increase of an allotment of construction funds by periods other than quarterly, and an increase of an allotment of funds in one amount for the fiscal year.</del></p>	<del>Destroy 6 years and 3 months after close of the FY involved.</del>	GRS 7/3
<del>BUD 500.6.2</del> Apportionment	<p><del>Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation. The files consist of completed SF 132, Apportionment and Reapportionment Schedules; SF 133, Report on Budget Execution; and supporting documents used specifically to show funds apportioned and reappropriated for TSA. These reports are required by OMB Circular A-34.</del></p> <p><del>Periodic reports on the status of appropriated accounts and apportionments</del></p>	<del>Cut off at end of fiscal year. Destroy 2 years after cut off.</del>	GRS 5/4
	a. <del>Annual report (end of fiscal year).</del>	<del>Destroy when 5 years old.</del>	GRS 5/3a
	b. <del>All other reports.</del>	<del>Destroy 3 years after the end of the FY.</del>	GRS 5/3

**BUD 500—BUDGET FORMULATION AND EXECUTION**

Title	Description of Records	Disposition	Authority
10. BUD 500.6.3 Appropriations	<p>a. Contains records of laws on funds that are appropriated by Congress. There are four types of funds, all of which concern appropriations and fund balances, disbursements, and collections with particular attention to the current status of the Transportation Security Administration and the effect of withdrawal in relation to interest accruals.</p>	Transfer to FRC when 5 years old. <b>Destroy</b> when 10 years old.	
	<p><del>SF-1221, Statement of Transactions According to Appropriations, Funds, and Receipt Accounts (Foreign Service Accounts). This form contains moneys paid to foreign countries. Listing of daily accounting transactions made to project cost ledgers and allotment ledgers.</del></p>	<del><b>Destroy</b> 6 years and 3 months after period covered by account.</del>	GRS 6/1a
	<p>b. Treasury Form BA-6727, which is a Statement of Appropriation Account containing Section I balances as of quarters end and Section II, Accrued Expenditures. Treasury Form 6728, Report of Selected Balances for Stating Budget Results on the Accrual Basis for Special Trust Funds Receipt Accounts. These two reports are required by the Treasury Department quarterly. Summary trial balances are used as source data. Copies maintained in TSA for reference.</p>	Cut off at end of fiscal year. <b>Destroy</b> 10 years after cut off.	

**BUD 500—BUDGET FORMULATION AND EXECUTION**

Title	Description of Records	Disposition	Authority
<del>BUD—500.6.4</del> <del>Transfer of Funds</del>	<del>Contains working papers, actual billings for which an OF-1114 is used, and collection of funds, including supporting documents, SF-1080, Voucher for Transfer Between Appropriation and/or Funds and SF-1081, Voucher and Schedules for Withdrawals and Credit Agreements, which are used with other Government agencies for services to be performed by TSA.</del>	<del>Destroy 6 years and 3 months after period covered by account.</del>	GRS-6/1a
11. <b>BUD 500.7</b> <b>FUNDS</b> <b>AVAILABILITY</b>	Appropriated funds, earned reimbursements, refunds, allocations received, transfer appropriations, status of allotments, apportionments, etc.	Cut off at end of fiscal year. Transfer to FRC 5 years after cutoff. <b>Destroy</b> 10 years after cut off.	
	File includes copies of Advance of Fund Availability, which is used as a record of transfer of funds from other Government agencies and which will become available for apportionment within the current fiscal year.		
12. <b>BUD 500.7.1</b> <b>Advance of Funds</b>	Correspondence, reports, background material, working documents, requests from States, and related documents regarding the advance of right-of-way revolving funds disbursed to States in accordance with 23 U.S.C. 108(C). (Records must be retained for the maximum time the State has before it loses the funds.)	Cut off at end of fiscal year. Transfer to FRC 3 years after cutoff. <b>Destroy</b> 10 years after cut off.	
13. <b>BUD 500.8</b> <b>E-MAIL AND</b> <b>WORD</b> <b>PROCESSING</b> <b>DOCUMENTS</b>	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	<b>Delete/destroy</b> within 180 days after the recordkeeping copy has been produced.	

**BUD 500—BUDGET FORMULATION AND EXECUTION**

<b>Title</b>	<b>Description of Records</b>	<b>Disposition</b>	<b>Authority</b>
	copies on shared network drives that are used only to produce the recordkeeping copy.		
	(b) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	<b>Delete</b> when dissemination, revision, or updating is complete.	

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Title	Description of Records	Disposition	Authority
<b>BUD 500 BUDGET AND PERFORMANCE</b>	General materials and correspondence relating to budget preparations too broad in scope to be filed under one of the specific subjects below.	Cut off at end of fiscal year. <b>Destroy</b> when 3 years old.	
<b>BUD 500.1 REPORTS AND STATISTICS</b>	Reports covering all subjects included under this primary. Includes annual report to Congress. Case file by type of report as necessary.	REFER TO ADMIN 200.1 FOR DISPOSITION OF RECORDS	
	General and substantive reports, studies, progress reports, and reports of significant accomplishments. Case file special or one-time reports as needed	REFER TO ADMIN 200.1.1 FOR DISPOSITION OF RECORDS	
<b>BUD 500.2 PLANNING</b>	General correspondence drafts, background material, annual work plans, budget estimates and documents relating to program planning.	REFER TO ADMIN 200.2 FOR DISPOSITION OF RECORDS	
<b>BUD 500.3 COMMITTEES, MEETINGS, AND CONFERENCES</b>	Committees, meetings, and conferences relating to establishment, organization, membership, and policy of internal committees pertaining to administrative management activities and functions. Subdivide committees and conferences, if necessary, and show name and date span of folder.	REFER TO ADMIN 200.3 FOR DISPOSITION OF RECORDS	
<b>BUD 500.3.1 Arrangements</b>	All other committee records such as meeting arrangements, invitations,	REFER TO ADMIN 200.3 FOR	



**BUD 500—BUDGET FORMULATION AND EXECUTION**

Title	Description of Records	Disposition	Authority
	extra copies of agendas, accommodations, authority to attend, work-papers, acceptances, and regrets.	DISPOSITION OF RECORDS	
<b>BUD 500.4</b> BUDGET PREPARATION AND SUBMISSION	General material relating to budget submission. Includes work-based plans, zero-based budgeting plans, work planning, programming plans, and the like.	Cut off at end of fiscal year. <b>Destroy</b> in agency 5 years after close of FY covered by the budget.	
<b>BUD 500.4.1</b> Budget Estimates	Includes preliminary estimates and justifications.	Cut off at end of fiscal year. <b>Destroy</b> in agency 5 years after close of the FY covered by the budget.	
<b>BUD 500.4.2</b> Submissions and Justifications	Materials concerning submission of budget estimates to the Secretary, OMB, and the Congress. Subdivide by review organization is appropriate.	Cut off at end of fiscal year. <b>Destroy</b> in agency 5 years after close of the FY covered by the budget.	
<b>BUD 500.5</b> BUDGET REQUESTS	Contains three types of requests. These are Departmental, Congressional, and OMB. Departmental are requests for funds from TSA for the operation of their programs. Congressional and OMB are requests for special information on budgetary matters pertaining to the budget that TSA has submitted to Congress.	Cut off at end of fiscal year. <b>Destroy</b> in agency 5 years after close of the FY covered by the budget.	
<b>BUD 500.6</b> BUDGET EXECUTION	Correspondence related to any request for budget action that concerns Washington Headquarters or field division offices.	Cut off at end of fiscal year. <b>Destroy</b> in agency 5 years after the close of the FY covered by the budget.	
	Files also contain current year forms SF-133, Report on Budget execution. This report is required by OMB Circular A-34. Also included are working papers and	Cut off at end of fiscal year. <b>Destroy</b> when 5 years old.	

**BUD 500—BUDGET FORMULATION AND EXECUTION**

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<b>BUD 500.6.4</b> Transfer of Funds	Contains working papers, actual billings for which an OF-1114 is used, and collection of funds, including supporting documents, SF-1080, Voucher for Transfer Between Appropriation and/or Funds and SF-1081, Voucher and Schedules for Withdrawals and Credit Agreements, which are used with other Government agencies for services to be performed by TSA.	<b>Destroy</b> 6 years and 3 months after period covered by account.	GRS 6/1a
<b>BUD 500.7</b> FUNDS AVAILABILITY	Appropriated funds, earned reimbursements, refunds, allocations received, transfer appropriations, status of allotments, apportionments, etc.	Cut off at end of fiscal year. Transfer to FRC 5 years after cutoff. <b>Destroy</b> 10 years after cut off.	
<b>BUD 500.7.1</b> Advance of Funds	File includes copies of Advance of Fund Availability, which is used as a record of transfer of funds from other Government agencies and which will become available for apportionment within the current fiscal year.	Cut off at end of fiscal year. Transfer to FRC 3 years after cutoff. <b>Destroy</b> 10 years after cut off.	
	Correspondence, reports, background material, working documents, requests from States, and related documents regarding the advance of right-of-way revolving funds disbursed to States in accordance with 23 U.S.C. 108(C). (Records must be retained for the maximum time the State has before it loses the funds.)		

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	Treasury Form BA-6727, which is a Statement of Appropriation Account containing Section I balances as of quarters end and Section II, Accrued Expenditures. Treasury Form 6728, Report of Selected Balances for Stating Budget Results on the Accrual Basis for Special Trust Funds Receipt Accounts. These two reports are required by the Treasury Department quarterly. Summary trial balances are used as source data. Copies maintained in TSA for reference.	Cut off at end of fiscal year. <b>Destroy</b> 10 years after cut off.	

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Title	Description of Records	Disposition	Authority
<b>BUD 500.6.1</b> Allotments and Authorizations	<p>supporting documents.</p> <p>Allotment records showing status of obligations and allotments under each authorized appropriation. The files consist of Advance of Funds Available for Obligations, used to document all allotments (obligational availability) of funds and supporting documents.</p> <p>The form shows the initial administrative allotments, initial allotment of construction funds by fiscal year quarters, increase of an allotment of construction funds by periods other than quarterly, and an increase of an allotment of funds in one amount for the fiscal year.</p>	<b>Destroy</b> 6 years and 3 months after close of the FY involved.	GRS 7/3
<b>BUD 500.6.2</b> Apportionment	<p>Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation. The files consist of completed SF-132, Apportionment and Reapportionment Schedules; SF-133, Report on Budget Execution; and supporting documents used specifically to show funds apportioned and reapportioned for TSA. These reports are required by OMB Circular A-34.</p> <p>Periodic reports on the status of appropriated accounts and apportionments</p>	Cut off at end of fiscal year. <b>Destroy</b> when 2 years old.	GRS 5/4
	a. Annual report (end of fiscal year).	<b>Destroy</b> when 5 years old.	GRS 5/3a
	b. All other reports.	<b>Destroy</b> 3 years after the end of the FY.	GRS 5/3