

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-560-06-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 12/3/2021

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Item 2, Government in the Sunshine Act Records

Item 7, Reading Files, Reference Files and Chronological Files

Item 8, General Reports and Statistics

Item 9, Substantive Reports and Statistics

Item 12, Memorandum of Agreement . . .

Item 13, Special Events

Item 14, Communication and Customer Service

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

DAA-0563-2019-0003 supersedes item 1.

DAA-0560-2017-0022 supersedes item 5, 6, and 10.

DAA-0563-2019-0008 supersedes item 11.

DAA-GRS-2016-0016-0002 supesedes items 3 and 4.

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| REQUEST FOR RECORDS DISPOSITION AUTHORITY | | (LEAVE BLANK) | |
| To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408 | | JOB NUMBER <i>71-560-06-1</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disposition request, including amendments, is approved except for items that may be marked disposition not approved or withdrawn in column 10. | |
| 2. MAJOR SUBDIVISION Transportation Security Administration | | | |
| 3. MINOR SUBDIVISION Agency Wide | | | |
| 4. NAME OF PERSON WITH WHOM TO CONFER A. Lawan Jackson | 5. TELEPHONE 571/227-2068 | DATE <i>5/2/06</i> | ARCHIVIST OF THE UNITED STATES <i>Allen Washington</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>7</u> 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 of the GAO manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input checked="" type="checkbox"/> has been requested. | | | |
| DATE 9/28/05 | SIGNATURE OF AGENCY REPRESENTATIVE Troy K. Manigault | TITLE <i>[Signature]</i> Acting Director, Office of Information Management Programs | |
| 7. Item No. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS OR SUPERSEDED JOB CITATION | 10. ACTION TAKEN (NARA USE ONLY) |
| | 5000 - Common Use **See Attached Sheets** | | |

cc Agency Only

COMMON USE

| CODES & TITLES | DESCRIPTION | DISPOSITION | AUTHORITY |
|--|---|---|---|
| <p>5000 General Records</p> | | | |
| <p>5000.0.1 Unscheduled</p> | <p>Comprised of commonly used records that may be maintained by any program office and not otherwise covered or identified by an approved Records Disposition Schedule. Common Use records are defined as those with broad TSA-wide application, such as those impacting and involving two or more programs. These records are also generated and maintained by those offices with broad and general TSA application not specific to one specific program office.</p> <p>NOTE: Typically used when new TSA requirements are developed or records requirements are identified that result in the creation of records not covered elsewhere by an approved disposition authority. Records may already be covered by a General Records Schedule.</p> | <p>Contact the Office of Information Management Programs to schedule unscheduled records.</p> | <p>DO NOT DESTROY</p> <p><i>Action needed to request disposition authority</i></p> |
| <p>5000.1 Committee and Conference Files</p> | | | |
| <p>5000.1.1</p> | <p>Internal Agency Committees.</p> <p>5000.1.1 a Internal agency committees unrelated to TSA's mission. Committees established by an agency for facilitative or operational purposes unrelated to the agency's mission, composed wholly of full-time officers or employees of the Federal government, and not subject to the Federal Advisory Committee Act, e.g. committees tasked with organizing events, selecting of interior furnishing, overseeing volunteer activities or employee recreational activities.</p> <p>5000.1.1 b Internal agency committees related to TSA's mission. Committees established by agency authority (not by Public Law or Executive Order) for facilitative or operational purposes, related to the agency's mission, composed wholly of full-time officers or employees of TSA, and not subject to the Federal Advisory Committee Act, e.g. committees tasked with reviewing policy, studying reorganizations, recommending new actions or developing multi-year plans. Included are records created relating to the</p> | <p>Destroy/delete when no longer needed for administrative purposes.</p> <p>These records are potentially permanent and must be scheduled by submission of an SF 115 to NARA. Contact the Office of Information Management Programs to schedule records.</p> | <p>GRS-26/1a</p> <p>GRS-26/1b</p> |

COMMON USE

| CODES & TITLES | DESCRIPTION | DISPOSITION | AUTHORITY |
|-----------------|---|---|------------------|
| | <p>agenda, minutes, final reports and related records documenting accomplishments of official boards and committees. See 5000.1.4 for example.</p> | | |
| <p>5000.1.2</p> | <p>Advisory Commissions, Committees, Councils, Boards and other groups established under the Federal Advisory Committee Act (FACA)</p> <p>5000.1.2 a. Files documenting the Commission's establishment, membership, policy, organizational deliberations, findings, and recommendations, including such records as:</p> <ul style="list-style-type: none"> • original charter, renewal and amended charters, organization charts, functional statements, directives or memorandums to staff concerning their responsibilities, and other materials that document the organization and functions of the Commission and its components • agendas, briefing books, minutes, testimony, and transcripts of meetings and hearings as well as audiotapes and/or videotapes of meetings and hearings which were not fully transcribed • one copy each of reports, studies, pamphlets, posters (2 copies) and other publications produced by or for the commission as well as news releases, commissioners' speeches, formal photographs and other significant public affairs files • correspondence, subject and other files maintained by key commission staff, such as the chair, executive director, and legal counsel, documenting the functions of the commission • substantive records relating to | <p>PERMANENT. Transfer to FRC when 4 years old or earlier. Transfer to NARA when 10 years old.</p> | <p>GRS 26/2a</p> |

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| | <p>research studies and other projects, including unpublished studies and reports and substantive research materials (may include electronic data).</p> <ul style="list-style-type: none"> • questionnaires, surveys and other raw data accumulated in connection with research studies and other projects where the information has been consolidated or aggregated in analyses, reports, or studies covered by Item IIA (may include data maintained electronically). • Records created to comply with the provisions of the Government in the Sunshine Act, annual reports to Congress describing the agency's compliance with the act <p>5000.1.2 b Files that relate to day-to-day Commission activities and/or do not contain unique information of historical value, including such records as</p> <ul style="list-style-type: none"> • correspondence, reference and working files of Commission staff (excluding files covered by Item IIA) • audiotapes and videotapes of Commission meetings and hearings that have been fully transcribed, informal still photographs and slides of Commission members and staff, meetings, hearings, and other events • other routine records, such as public mail, requests for information, consultant personnel files, records relating to logistical aspects of Commission meetings and hearings, etc. • extra copies of records described in Item IIA, e.g. copies of meeting agenda and minutes distributed to commission members and staff, | <p>Destroy on the termination of the Commission or when no longer needed for agency business.</p> | <p>GRS 26/2b</p> |

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|---|---|--|---------------------|
| | files accumulated by agencies on interagency bodies other than the secretariat or sponsor. | | |
| 5000.1.3 | Committee Management Records: Includes records maintained by agency Committee Management Officers for committees established under the Federal Advisory Committee Act (FACA) as amended (5U.S.C. Appendix 2). Committee Management activities include the establishment, appointment of members, and operation and termination of chartered Federal advisory committees. | Destroy/delete when 6 years old. | GRS 26/4 |
| 5000.1.4 | Internal Agency Committees related to advisory, interagency, and international committees sponsored by TSA, and accumulated by the Transportation Security Agency Committee Management Officer. | PERMANENT. Transfer to FRC when 4 years old or earlier. Transfer to NARA when 10 years old. | N1-560-06-1 Item 1 |
| 5000.1.5 | Government in the Sunshine Act Records: Includes records created to comply with the provisions of the Act. Includes transcriptions and minutes of closed meetings, electronic records for which verbatim transcripts do not exist, and annual reports to Congress describing the agency's compliance with the Act. | PERMANENT. Transfer to FRC when 4 years old or earlier. Transfer to NARA when 10 years old. | N1-560-06-1 Item 2 |
| 5000.2 Email and Word Processing Documents | | | |
| 5000.2.1 | Non-Valued Administrative Copies: Includes copies that have no further administrative value after the record keeping 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 record keeping copy. | Delete/destroy within 180 days after the record keeping copy has been produced. | N1-560-06-1 Item 3 |
| 5000.2.2 | Dissemination, Revision and Update Copies: Related to copies that are maintained in addition to the record keeping copy. | Delete when dissemination, revision, or updating is complete. | N1-560-06-1 Item 4 |
| 5000.3 | General correspondence drafts, background | Cut off at end of | N1-560-06-1 |

COMMON USE

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|---|--|---|----------------------------|
| 5. Planning | material, annual work plans, and documents relating to program planning. Note: Does not apply to Operations Policy or Strategic Management and Analysis. | fiscal year. Destroy when 3 years old. | Item 5 |
| 6. 5000.4 Program Policy and Guidance | Programmatic policies and guidance, and related letters, memoranda and other correspondence used to develop, support, implement, revise or cancel/supersede such records that deal wholly and exclusively with that program office. (Excludes policy and guidance disseminated TSA-wide.) Note: Does not apply to Operations Policy, Revenue, Communication and Public Information, Training and Quality Performance or Strategic Management and Analysis. | Destroy when obsolete or superseded. | N1-560-06-1 Item 6 |
| 7. 5000.5 Reading Files, Reference Files and Chronological Files | Consist of information not described elsewhere in this schedule, used as ready reference on subjects of current and ongoing interest. These files may contain copies of publications, directives, pictures, correspondence and the like. Official file copies are not to be placed in these files nor are the files to be considered pending files when official file copies are kept on a tentative basis. | Cut off at end of calendar year. Destroy when superseded or obsolete. | N1-560-06-1 Item 7 |
| 8. 5000.6 General Reports and Statistics | Includes reports, statistical and similar records that deal wholly and exclusively with that program office. | Cut off at end of fiscal year. Destroy when 3 years old. | N1-560-06-1 Item 8 |
| 9. 5000.7 Substantive Reports and Statistics | Includes reports, statistical and similar records that deal with significant programmatic matters with TSA-wide impact. | Cut off at end of fiscal year. Transfer to FRC 10 years after cutoff. Destroy 15 years after cut off. | N1-560-06-1 Item 9 |
| 10. 5000.8 Marketing and Customer Outreach and Education | Includes brochures, "Sentinel" articles, presentations, education briefing materials, outreach materials and all other marketing materials. Note: Does not apply to Communication and Public Information, Civil Rights, Ombudsman, Training and Quality Performance, Internal Affairs and Program Review and Legislative Affairs. | Destroy when superseded or obsolete. Cut off at end of fiscal year. | N1-560-06-1 Item 10 |
| 5000.9 Lock Combination Files | | | |

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| 5000.9.1 | Access Records: Includes forms and combination records or equivalents, used to record safe combinations and names of persons knowing combinations. | Destroy when superseded by a new form or list or upon turn-in of containers. | GRS 18/7(a) |
| 5000.9.2 | Combination Forms: Related to forms placed on safes, cabinets, or vaults containing security classified documents that record opening, closing, and routine checking of the security of the container, such as locking doors and windows, and activating alarms. | Destroy 3 months following the last entry on the form. Note: Forms involved in investigations are retained until completion of the investigation. | GRS 18/7(b) |
| 11. 5000.10 Standard Operating Guidance and Manuals | Includes Standard Operating Procedures (SOPs), Standard Operating Instructions (SOIs), and other guidance and manuals developed by or for TSA employees' and contractors' use that govern procedures or detail instructions for agency or programmatic operations, whether unique or agency-wide. Note: Does not apply to Airport Operations. | Cut off when superseded or obsolete. Destroy 5 years after cut off. | N1-560-06-1 Item 11 |
| 12. 5000.11 Memoranda of Agreement (MOAs), Memoranda of Understanding (MOUs), Service Level Agreements (SLAs) and Statements of Work (SOWs) | Documents that describe intra-agency agreements, understandings or related contractual arrangements/exchanges pertaining to program and function planning and/or operations. Note: Does not apply to International Affairs. | Destroy 5 years after the conclusion, completion or termination of the MOA, MOU, SLA or SOW. | N1-560-06-1 Item 12 |
| 5000.12 Supervisors ² Personnel Files | Correspondence, forms and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the Official Personnel Folder. | Review annually and Destroy superseded or obsolete documents, or Destroy file relating to an employee within 1 year after separation or transfer. | GRS 1/18a |
| 5000.13 Employee Performance Files | | | |
| 5000.13.1 | Non-SES appointees (as defined in 5 U.S.C. 4301(2)): | | |

COMMON USE

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| | <p><i>5000.13.1 a</i> Appraisal of unacceptable performance, where a notice of proposed demotion or removal is issued but not affected and all related documents.</p> <p><i>5000.13.1 b</i> Performance records superseded through an administrative, judicial or quasi-judicial procedure.</p> <p><i>5000.13.1 c</i> Performance related records pertaining to a former employee.</p> <p><i>5000.13.1 c(1)</i> Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating.</p> <p><i>5000.13.1 c(2)</i> All other performance plans and ratings.</p> <p><i>5000.13.1 d</i> All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.</p> <p><i>5000.13.1 e</i> Supporting documents.</p> | <p>Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction in grade notice.</p> <p>Destroy when superseded.</p> <p>Place records on left side of OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates (see item 1b f this schedule). An agency retrieving an OPF from NPRC will dispose of these documents in accordance with item 5000.13.1 e(2) of this schedule.</p> <p>Destroy when 4 years old.</p> <p>Destroy 4 years after date of appraisal.</p> <p>Destroy 4 years after date of appraisal.</p> | <p>GRS 1/23a(1)</p> <p>GRS 1/23a(2)</p> <p>GRS 1/23a(3)(a)</p> <p>GRS 1/23a(3)(b)</p> <p>GRS 1/23a(4)</p> <p>GRS 1/23a(5)</p> |
| <p>13. 5000.14 Special Events</p> | <p>Copies of correspondence, memorandums and reports on all aspects of physical security for special events that the Agency hosts covering conferences, guard orders, guests and participants</p> | <p>Cut off at end of fiscal year. Transfer to records center 1 year after cut off.</p> | <p>N1-560-06-1 Item 13</p> |

COMMON USE

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|---|---|--|------------------------|
| | lists, meetings, requests for security requirements, technical security, training, escort requests and other subject. | Destroy 3 years after cut off. | |
| 14. 5000.15 Communication and Customer Service | Documents include customer complaints and complements, agency responses (as appropriate). Note: Does not apply to Communication and Public Information, Civil Rights, Ombudsman, Training and Quality Performance, Internal Affairs and Program Review and Legislative Affairs. | Cut off annually when obsolete or issue is completed. Destroy 2 years after cut off. | N1-560-06-1 Item 14 |
| 5000.16 Schedules of Daily Activities | Calendars, appointment books, schedules, logs, dairies, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, EXCLUDING materials determined to be personal. | | |
| 5000.16.1 | Substantive Records: Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official activities of high Government officials. Note: High level officials include the heads of departments and independent agencies; their deputies and assistances, the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistant, and administrative assistants; and career federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. Unique substantive records relating to the activities of these individuals must be scheduled by submission of an SF 115 to NARA. | Destroy/delete when 2-years-old | GRS 23/5a |
| 5000.16.2 | Routine Records: Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files. | Destroy/delete when no longer needed for convenience of reference. | GRS 23/5b |