

REQUEST FOR RECORDS DISPOSITION AUTHORITY		(LEAVE BLANK)	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>71-560-04-2</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 withdrawn 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>6-9-04</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</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 type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 11/21/03	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</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 GRS OR SUPERSEDED JOB CITATION	10.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>cc Agency NARA NARA</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>1. 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
2.	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.	Cut off at end of fiscal year. Destroy 3 years after cut off.
3.	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.
4.	SMA 1800.3 TSA BROADCAST E- MAIL MESSAGES	Copies of TSA Broadcast e-mail messages maintained at Headquarters for informational purposes and filed chronologically by date of receipt.	Destroy when obsolete or superseded.
5.	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.
6.	SMA 1800.5 ORGANIZATIONAL CHARTS AND	This series encompasses three sub series of records that document organizational	

SMA – 1800 STRATEGIC MANAGEMENT AND ANALYSIS

Title	Description of Records	Disposition	Authority
HISTORY FILES	<p>realignments and changes in functional responsibilities of 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</p>	<u>PERMANENT.</u>	<p>Cut off at the end of the fiscal year. Transfer to Federal Records Center 3 years after cut off. Transfer to NARA when 10 years old.</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. Also, organizational charts that provide graphic illustrations and descriptions of the arrangement and administrative structure of the functional units of TSA.</p>		
	<p>b. All working drafts _____ and functional statements for all changes. The functional statements provide descriptions of the responsibilities assigned to the senior executive officers of TSA at the Division level and above.</p>		<p>Cut off at the end of the fiscal year. Transfer to Federal Records Center 5 years after cut off. Destroy when 10 years old.</p>
7. SMA 1800.6	Files contain internal	Cutoff at the end of fiscal	

SMA – 1800 STRATEGIC MANAGEMENT AND ANALYSIS

Title	Description of Records	Disposition	Authority
STRATEGIC PLAN DEVELOPMENT FILES	correspondence, preliminary reports, graphs, charts and text material which are used to develop TSA Strategic Plans.	year. Destroy when 5 years old.	
8. SMA 1800.7 ADMINISTRATOR'S DIRECTION DEVELOPMENT FILES	Files contain internal correspondence, preliminary reports, graphs, charts, and text material used in the development of the Administrator's direction.	Cutoff at the end of the fiscal year. Destroy when 4 years old.	
9. SMA 1800.8 PERFORMANCE PLAN DEVELOPMENT FILES	Files contain internal correspondence, draft plans, preliminary reports, and other text material used in the development of the TSA performance plan.	Cutoff at end of the fiscal year. Destroy when 5 years old.	
10. SMA 1800.8.1 Performance Report	The performance report identifies the success of achieving the performance goals of the fiscal year. It explains and describes, where a performance goal has not been met, why the goal was not met and the plans for achieving it.	Cutoff at end of the fiscal year. Destroy when 5 years old.	

SMA – 1800 STRATEGIC MANAGEMENT AND ANALYSIS

Title	Description of Records	Disposition	Authority
<p>11. SMA 1800.9 WEEKLY REPORT TO THE DEPARTMENT OF HOMELAND SECURITY</p>	<p>A summary of the weekly activities of the different TSA offices including progress reports and future events.</p>	<p>Cutoff at the end of the calendar year. Destroy when 1 year old.</p>	
<p>SMA 1800.10 COMMITTEES, MEETINGS AND CONFERENCE</p>	<p>a. Records relating to establishment, organization, membership, and policy of internal committees, excluding committees sponsored by the Secretariat.</p>	<p>Destroy 2 years after termination of committee.</p>	<p>GRS 16/8a</p>
	<p>b. Records created by committees.</p>		
	<p>(1) Agenda, minutes, final reports, and related records documenting the accomplishments of the advisory boards and committees, EXCLUDING those maintained by the sponsor or Secretariat.</p>	<p>Destroy when 3 years old.</p>	<p>GRS 16/8b(1)</p>
	<p>(2) All other committees' records.</p>		
	<p>c. Records maintained by agency Committee Management Officers for committees established under the Federal Advisory Committee Act, including copies of charters, membership lists, agendas, policy statements, and material required to be available for public information.</p>		
	<p>d. Records created to comply with the provisions of the Government in the Sunshine</p>		

SMA – 1800 STRATEGIC MANAGEMENT AND ANALYSIS

Title	Description of Records	Disposition	Authority
12	SMA 1800.11 PLANNING	Act, including transcripts 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. General correspondence drafts, background material, annual work plans, budget estimates, and documents relating to program planning.	Cut off at end of fiscal year. Destroy 3 years after cut off.
13	SMA 1800.12 EMAIL AND WORD PROCESSING DOCUMENTS	(a) 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. (b) Copies used for dissemination, revision, or updating that are maintained in addition to the record keeping copy.	Delete/destroy within 180 days after the record keeping copy has been produced. Delete when dissemination, revision, or updating is complete.

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	<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>		
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	<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 descriptions of the responsibilities assigned to the senior executive officers of TSA at the Division level and</p>		<p>Cut off at the end of the fiscal year. Transfer to Federal Records Center 5 years after cut off. Destroy when 10 years old.</p>

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<p>SMA 1800.6 STRATEGIC PLAN DEVELOPMENT FILES</p>	<p>above. Files contain internal correspondence, preliminary reports, graphs, charts and text material which are used to develop TSA Strategic Plans.</p>	<p>Cutoff at the end of fiscal year. Destroy when 5 years old.</p>	
<p>SMA 1800.7 ADMINISTRATOR'S DIRECTION DEVELOPMENT FILES</p>	<p>Files contain internal correspondence, preliminary reports, graphs, charts, and text material used in the development of the Administrator's direction.</p>	<p>Cutoff at the end of the fiscal year. Destroy when 4 years old.</p>	
<p>SMA 1800.8 PERFORMANCE PLAN DEVELOPMENT FILES</p>	<p>Files contain internal correspondence, draft plans, preliminary reports, and other text material used in the development of the TSA performance plan.</p>	<p>Cutoff at end of the fiscal year. Destroy when 5 years old.</p>	
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