



1. **PURPOSE:** This directive provides TSA policies for the Transportation Security Administration (TSA) Records Management (RM) program.
2. **SCOPE:** This directive is applicable to all TSA offices. This directive applies to all records of the TSA regardless of medium, which are created, collected, processed, used, stored, and/or destroyed by agency offices.
3. **AUTHORITIES:**
 - A. Title 44 U.S.C., Chapters 21, 29 and 33, the Federal Records Act
 - B. Title 44 U.S.C., Chapter 35, Paperwork Reduction Act, as amended
 - C. 36 C.F.R., Parts 1220, 1232, 1234, and 1236, the National Archives and Records Administration's (NARA) regulations
 - D. 41 C.F.R., Chapter 201, Parts 201-2, 201-22, and 201-45, Federal Information Resources Management Regulations (FIRMR)
 - E. OMB Circular No. A-130 – Management of Federal Information Resources
 - F. Executive Order 12958, "Classified National Security Information"
4. **DEFINITIONS:**
 - A. Electronic Records. Records stored in form that only a computer can process. Also called machine-readable records.
 - B. Records Schedules. A document providing mandatory instructions for what to do with records (and nonrecord materials) no longer needed for current Government business, with provisions of authority for the final disposition of recurring or nonrecurring records. Also called records disposition schedule, records control schedule, records retention schedule, records retention and dispositions schedule, or schedule. Includes the SF 115, the General Records Schedules, and the agency records schedule, which when completed becomes a comprehensive records schedule that also contains agency disposition instructions for nonrecords materials. All records schedules must be approved by the National Archives and Records Administration.
 - C. Records. According to 44 U.S.C. 3301, the term "includes all books, paper maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization."
 - (1) Classified Records. Records or information requiring, for national security reasons, safeguards against unauthorized disclosure.

- (2) Nonrecord Materials. U.S. Government-owned documentary materials excluded from the legal definition of records or not meeting the requirements of that definition. Include extra copies of documents kept on for convenience of reference, stock of publications and of processed documents, and library or museum material intended solely for reference or exhibition.
 - (3) Permanent Records. Records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal, or fiscal purposes. (Sometimes called archival records.)
 - (4) Temporary Records. Records approved by NARA for disposal, either immediately or after a specified retention period.
- D. Records Management. The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to archive adequate and proper documentation of Federal policies and transactions and effective and economical management of agency operations.
- E. Vital Records. Records essential to the continued functioning or reconstitution of an organization during and after an emergency and also those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. Sometimes called essential records. Includes both emergency-operating and rights-and-interests records. Vital records considerations are part of an agency's records disaster prevention and recovery program.

5. RESPONSIBILITIES:

- A. The Chief Administrative Officer is/are responsible for designate an individual to serve as TSA Records Management Officer, who shall:
- (1) establish, coordinate, and maintain a TSA-wide Records Management program to ensure that all records, including electronic, microform and multi-media, are received, created, maintained, protected, released, and disposed of as required by the laws and regulations cited in paragraph 5 of this directive;
 - (2) establish records management programs within TSA that are consistent with Department of Transportation, Office of Management and Budget, and NARA policies;
 - (3) sponsor and facilitate training opportunities for TSA records management personnel and other TSA employees through seminars, conferences, workshops or briefings for the purpose of keeping abreast of current government-wide and TSA records management practices; and
 - (4) Conduct reviews and evaluation of TSA programs to ensure conformance with government-wide and Department records and information management standards and partner with NARA or on evaluations of TSA programs;

- B. Records Management Specialists are responsible for administering the TSA's records management program. They shall:
 - (1) provide leadership and guidance to TSA officials to ensure reasonable uniformity in records and information management activities throughout the agency;
 - (2) plan, develop, and promote established standards and guidelines to carry out the scope, mission, and objectives of the program;
 - (3) periodically review all records schedules to ensure that new categories of records are scheduled, discontinued categories are eliminated, and that retention periods are revised where appropriate; and
 - (4) maintain liaison with TSA managers, NARA, Department of Homeland Security (DHS), the Office of Management and Budget (OMB), and other Governmental agencies on matters pertaining to the operations of records management; and maintain current schedules of all agency records.

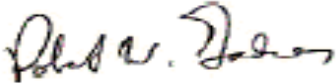
6. POLICY AND PROCEDURES:

- A. TSA will establish and maintain a records management program for the economical and efficient management and release of record.
- B. TSA will create and preserve records that may be in any medium that document the functions, policies, decisions, procedures and essential transactions of TSA. In accordance with the Federal Records Act, TSA will maintain and preserve records necessary to protect the legal and financial rights of the government and of persons directly affected by its activities. TSA will make reasonable efforts to maintain records in formats or media that are reproducible for purposes of the Freedom of Information Act (FOIA).
- C. TSA will cooperate with NARA and other regulatory agencies in applying standards procedures, and techniques to improve the management of records; promote the maintenance of those records of continuing value; and facilitate the segregation and disposal of temporary records.
- D. All TSA records, including electronic, microform, and multi-media information subject to the provision of the Privacy Act (PA), FOIA, and TSA's confidentiality statutes, will be maintained, protected, and released in accordance with applicable laws.
- E. Legal guidance will be obtained from the Office of Chief Counsel on questions regarding the application of the FOIA, PA, and TSA's confidentiality statutes. Requests related to litigation or anticipated litigation will be coordinated with the Office of the Chief Counsel.

7. EFFECTIVE DATE AND IMPLEMENTATION:

This policy is effective immediately upon signature.

APPROVAL



10/9/2002

Robert W. Gardner
Assistant Administrator for
Finance and Administration

Date

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