



To enhance mission performance, TSA is committed to promoting a culture founded on its values of Integrity, Innovation, and Team Spirit.

REVISIONS: This revised directive supersedes TSA MD 200.7, *Records Management*, dated October 9, 2002.

SUMMARY OF CHANGES: The title is revised to reflect an agency-wide program as also noted in Section 1, Purpose; Section 2, Scope, clarifies application to agency employees and contractors; Section 4, Definitions, revises definitions and introduces the term “records liaison”; Section 5, Responsibilities, revises and introduces key management responsibilities; Section 6, Policy, introduces agency-wide requirement for use of Federal Records Centers (FRCs); and Section 7, Procedures, expands procedural guidance and introduces a new form.

1. **PURPOSE:** This directive provides TSA policy and procedures for an agency-wide *Records Management Program*.
2. **SCOPE:** This directive applies to all TSA offices and contractors and all TSA records regardless of medium, which are created, collected, processed, used, stored, and/or destroyed by agency offices.
3. **AUTHORITIES:**
 - A. Executive Order 12958, “Classified National Security Information”
 - B. 36 CFR, Subchapter B, *Records Management*
 - C. 41 CFR, Chapter 201, Parts 201-2, 201-22, and 201-45, Federal Information Resources Management Regulations (FIRMR)
 - D. 44 USC, Chapters 21, 29, 31 and 33, *Federal Records Act*
 - E. 44 USC, Chapter 35, *Paperwork Reduction Act*, as amended
 - F. OMB Circular No. A-130, Management of Federal Information Resources
4. **DEFINITIONS:**
 - A. Approving Official: A senior management official designated by the head of TSA, or his/her designee, with authority to approve actions for a TSA Headquarters (HQ) Office (e.g., Associate Administrator, Assistant Administrators or equivalents).
 - B. Classified Records: Records or information requiring, for national security reasons, safeguards against unauthorized disclosure.

- C. Electronic Records: Records stored in a form that only a computer can process. Also called machine-readable records.
- D. Office of Information Management Programs (OIMP): The office responsible for establishing and maintaining a records management program (including vital records) for the economical and efficient management and release of TSA official records in accordance with the Federal Records Act. Also responsible for developing records management disposition schedules and procedures in conjunction with each TSA Office and the National Archives and Records Administration (NARA); and providing direction and oversight of a records management training program.
- E. 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.
- F. Records Disposition Schedule: The document providing mandatory instructions and corresponding authorities for the disposition (i.e., destruction, deletion and/or transfer) of agency records (and nonrecord materials) no longer needed for current Government business. Also referred to as the “records retention schedule” or the “schedule.”
- G. Records: Pursuant to 44 USC 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, functions, policies, decisions, operations, or other activities of the government or because of the information value to them .”
- H. Records Liaison: Individual appointed by their Approving Official, via [TSA Form 230, Records Liaison Appointment](#), with authority to serve as a designated representative and liaison contact for their respective HQ Office and/or field location (e.g., Airport, Mission Support Center, etc.) regarding records management activities and issues.
- I. 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.
- J. 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.

5. RESPONSIBILITIES:

- A. The Approving Officials are responsible for:

- (1) Ensuring their organizations make and preserve records containing adequate and proper documentation of TSA functions, policies, decisions, procedures and essential transactions.
 - (2) Ensuring that TSA furnishes information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities.
 - (3) Appointing and retaining appropriate assignment and numbers of records liaisons in HQ Offices and/or field locations via TSA Form 230, consistent with the criteria outlined for such appointments (*ref. Appendix*).
- B. The Chief Administrative Officer is responsible for designating an individual to serve as TSA's Records Management Officer (RMO).
- C. The RMO is responsible for:
- (1) Developing agency-wide records management policies, procedures, and related communications involving records management.
 - (2) Developing and approving records management training and otherwise promoting awareness of records management responsibilities.
 - (3) Developing and providing agency oversight, review and evaluation of records management activities and compliance programs.
 - (4) Obtaining the approval of the Archivist of the United States for records disposition schedules for TSA records.
 - (5) Providing records management technical direction and administrative guidance to records liaisons.
- D. Records liaisons are responsible for:
- (1) Providing basic technical assistance and guidance within their respective HQ Offices and/or field locations to ensure that records management activities throughout the agency are consistent with this directive and other applicable policy and guidance.
 - (2) Promoting established TSA standards and guidelines to carry out the scope, mission, and objectives of the program.
 - (3) Complying with records management guidance and direction provided by the RMO, including completion of select technical training courses, as may be deemed appropriate by the RMO for agency program compliance and success.
- E. The Chief Counsel is responsible for:
- (1) Providing legal review of proposed records disposition schedules.

- (2) Providing legal guidance regarding requests to disclose or destroy agency records.
- F. The Chief Information Officer is responsible for ensuring that records management requirements are considered and addressed prior to approval and deployment of agency information technology systems and resources, including the proper documenting and reporting of applicable systems of record through OIMP.
- G. The Chief Procurement Executive is responsible for ensuring that records management requirements are properly addressed and approved in all agreements and contracts necessary to ensure that agency records are accounted for, safeguarded, and assigned proper legal custody and controls.
- H. The Chief Security Officer is responsible for providing records management policies, procedures and technical guidance pertaining to classified records, and coordinating the same with OIMP.

6. POLICY:

- A. TSA shall establish and maintain a unified *Records Management Program*, including vital records, for the economical and efficient management of agency records.
- B. TSA shall create and preserve records, regardless of the medium that document the functions, policies, decisions, procedures and essential transactions of TSA, and protect the legal and financial rights of the Government and persons directly affected by its activities.
- C. TSA shall make reasonable efforts to maintain records in formats or media that are reproducible for purposes of the Freedom of Information Act (FOIA).
- D. TSA shall cooperate with NARA and other regulatory agencies in applying standards, procedures, and techniques which improve the management of records; promoting the maintenance of those records with continuing value; and facilitating the segregation and disposal of temporary records.
- E. All TSA records, regardless of media or format, shall be maintained, secured, and disclosed in accordance with applicable laws and regulations.
- F. TSA shall use a NARA-approved Federal Records Center for records storage. An exception to use a commercial records facility must be in writing with justification, and submitted to the RMO.

7. PROCEDURES: Reference applicable guides, manuals, resources and directions via the [Records Management Program](#) link or a respective records liaison.

- A. Records Classification: Reference [TSA MD 200.8, Records Management Files Classification System](#) for guidance pertaining to identification and use of agency file codes in marking records.

- B. Records Scheduling: Submit scheduling requests through an appropriate records liaison via [TSA Form 285, Records Scheduling Request](#). Pending scheduling approval and authority through OIMP, all proposed and/or unscheduled records are considered permanent and must be retained as such.
- C. Records Transfers: Contact OIMP for clearance and approval prior to using non-FRCs for agency records transfer and storage to ensure agency compliance with NARA notification and reporting requirements.

8. EFFECTIVE DATE AND IMPLEMENTATION: This policy is effective immediately upon signature.

APPROVAL



Assistant Administrator for Finance and
Administration/Chief Financial Officer

5/14/2008

Date

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Distribution: Assistant Administrators and equivalents, Business Management Office
Directors, and Records Liaisons
Points-of-Contact: OIMP, TSARecords@dhs.gov, 571-227-2068/1564; and respective TSA
Headquarters Office/Airport records liaisons

Appendix

Recommended Records Liaison Appointment Criteria

To help ensure that appointees possess the core competencies and qualifications deemed important to successfully perform records management duties, the following knowledge, skills and abilities are recommended for consideration in identifying and selecting records liaisons, as well as for evaluating their performance in the collateral duty capacity.

- Ability to effectively work with key program officials and subject matter experts to help conduct initial and follow up records evaluations and reviews of program records for appropriateness and consistency with HQ Office and/or program requirements.
- Ability to effectively communicate orally and in writing, and to convey administrative and technical information to program officials.
- Ability to conduct basic research sufficient to identify missing information, misinformation and inconsistencies, and to follow up as needed.
- Ability to work independently and authoritatively to help provide records oversight and guidance within their assigned HQ Office and/or at their assigned Field location.
- Knowledge of assigned HQ Office and respective programs, as well as records management policies and procedures.