

SUPPLEMENT

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

1350.14A
SO SUP 1

SOUTHERN REGION

7/18/80

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SUBJ: RECORDS MANAGEMENT

1. PURPOSE. This supplement establishes responsibilities for the control, maintenance, and disposition of records within the Region. It also explains the distribution code change affecting this supplement and future changes to the basic order.
2. DISTRIBUTION. This supplement is distributed to branch level in the Regional Office; branch level in area offices; to all field offices and facilities.
3. EXPLANATION. The distribution code used on Order 1350.14 provided for branch level distribution at regional headquarters and area offices. However, the code assigned to Order 1350.14A was inadvertently changed and precluded distribution to branch levels. Additional copies have been requested and will be furnished to branch level when received. A future change to this order will reflect the correct code.

PAGE CONTROL CHART

Remove Pages	Dated	Insert Pages	Dated
		4-S01 and S02	7/18/80
		13 (and 14) - S02	7/18/80
		44 - S02	7/18/80
		51 (and 52) - S02	7/18/80
		54 - S01 (and 2)	7/18/80
		58 - S01, S02, S03 (and 4)	7/18/80
		60 - S01 (and 2)	7/18/80
		74 - S02	7/18/80

Louis J. Cardinali
 LOUIS J. CARDINALI
 Director

SO SUPPLEMENTAL PAGE

10c-S01. The incumbent of Job No. 7236, Management Systems Division, is designated the Regional Records Officer to assist in carrying out the general responsibilities for records management for the Region and will be specifically responsible for:

- a. Actions described in Paragraphs 10c(3), 93a, and 93d of Order 1350.14A, Records Management.
- b. Maintaining a list of all Official File Stations.
- c. Planning and conducting records management workshops as required.
- d. Arranging for pickup and delivery services between the Regional Office and the Federal Records Center.

10c-S02. The Logistics Division is responsible for:

- a. Stocking and issuing standard containers and transmittal forms for use in shipping records to the Federal Records Center.
- b. Moving boxes of records from the Regional Headquarters offices to the basement records storage area.
- c. Arranging for transfer of records from the Regional Office building to the Federal Records Center.

10c-S03. Division Chiefs, Staff Officers, and Area Managers are responsible for:

- a. Cooperating with the Regional Records Officer in meeting the objectives listed in Paragraph 5, Order 1350.14A.
- b. Designating a Records Coordinator to serve as the focal point for guidance in records management for their organizational element, and field components when applicable, and helping the Management Systems Division to implement and maintain an effective records management program.
- c. Submitting the names of designated Records Coordinators to the Management Systems Division, including the reporting of future designees as changes occur.

10c-S04. Chiefs of Field Offices and Facilities are responsible for:

- a. Providing sufficient guidance and assistance to files keepers that will enable them to properly apply records retention schedules; establishing measures to control the creation and filing of material; ensuring that procedures are developed for filing and disposing of material that is of temporary value.

SO SUPPLEMENTAL PAGE

b. Preventing the accumulation of unnecessary files, especially "inherited" files that need reviewing for destruction or transfer.

c. Applying basic records management principles outlined in agency Order 1350.14A, Records Management.

10c-S05. Records Coordinators are responsible for:

a. Developing a records network for their respective organization to assist the Management Systems Division in the administration of the records management program.

b. Selecting Official File Stations in accordance with requirements outlined in Paragraph 20, Order 1350.14A and submitting a list of these stations to the Management Systems Division.

c. Reviewing all requests for filing equipment, microphotographic services and equipment and making appropriate recommendations before submission to the Management Systems Division.

d. Periodically reviewing existing records to:

(1) Ensure compliance with authorized filing arrangements, and proper equipment utilization.

(2) Arrange for transfer or destruction of records meeting disposal criteria.

(3) Evaluate applicability of Records Disposal Schedules, submitting recommendations for revisions as necessary to the Management Systems Division.

e. Assuming responsibility for implementation of vital records protection program within their respective areas.

11a-S01. Records Volume Reports (RIS: MS 1350-1F). To meet agency reporting requirements, it is necessary that all Regional Headquarters, area, and field offices submit a records volume report annually to the Regional Records Officer, ASO-63B. Report records volume on FAA Form 1350-1 which will be furnished prior to the due date of the report, usually from Washington Headquarters. Records volume may be computed during the month of August but the report must include all actions taken or anticipated through September 30 of each year. REPORTS ARE DUE IN REGIONAL HEADQUARTERS ON SEPTEMBER 15 OF EACH YEAR and should be sent direct to ASO-63B, original only (DO NOT SEND REPORTS TO AMS-140). Letters of transmittal are not necessary.

SO SUPPLEMENTAL PAGE

30a-S01. Official File Stations. Division chiefs, staff officers, area managers, and heads of field offices and facilities will ensure that FAA Form 1350-7 is completed for each established official file station and forwarded to the Management Systems Division, Attention: ASO-63. File stations will be kept to a minimum to facilitate proper files management. For the larger divisions, file stations may be patterned according to organizational lines; i.e., division, branch, and section file stations. For other divisions and staff offices, one file station should be adequate.

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SO SUPPLEMENTAL PAGE

64-S01. REQUESTS FOR FILING EQUIPMENT

a. Requests for filing equipment that will increase volume capacity will be submitted to the Regional Records Officer, ASO-63, for review and approval. The requesting office will describe the use and reason why additional equipment is needed. This should also include a statement that proper use is being made of existing filing equipment. This statement should address the following criteria:

(1) Records have been properly retained in accordance with retention schedules published in FAA Order 1350.15A.

(2) All records eligible for destruction have been destroyed.

(3) All inactive records, if eligible, have been transferred to the Federal Records Center.

(4) Present filing cabinets are being fully utilized and the extent to which shelves and storage cabinets are used for nonrecord material.

(5) If legal-size cabinets are requested, at least one-fourth of the documents are legal size and cannot be replaced by letter size papers, and that all legal-size records have been consolidated into a minimum number of cabinets.

(6) If filing cabinets with locks are requested, describe type and total quality of material in organization that requires locking.

b. The Records Officer will approve or disapprove requests. Approvals will be forwarded to the Logistics Division for further action. Disapprovals will be documented and returned to the appropriate division chief.

c. Requests for specialized filing and records equipment as described in Paragraph 64 shall include a justification as stated above plus the projected rate of expansion of records for which the equipment is requested and a statement as to the savings and benefits to be gained. The Records Officer will review the request and forward to AMS-100 for final review and approval.

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SO SUPPLEMENTAL PAGE

70-S01. TRANSFER OF RECORDS. An exception to the strict application of disposal schedules may be made for those records which are not scheduled for early destruction if they are inactive. Inactive records are those which are not referred to more than once per month per cubic foot of file material involved, and early transfers provide for better utilization of file equipment and space,

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SO SUPPLEMENTAL PAGE

73-S01. Application and review of schedules must be accomplished annually to ensure proper and timely disposition of records. This may be done either as part of the year-end process of establishing new files (December-January) or as part of the annual records volume reporting process (August-September).

73-S02. Recommendations to Improve Records Schedules. The adequacy of records retention schedules is usually best known by individuals of offices where the records are created, used, and maintained. Recommendations to improve records schedules are, therefore, encouraged from all offices where records schedules are considered inadequate. In preparing such recommendations, carefully consider information contained in Paragraphs 64a and 64b. Send recommendations to the Regional Records Officer, ASO-63B.

SO SUPPLEMENTAL PAGE

78-SO1. Preparation of Transfer Forms. Standard Forms 135 and 135a (Records Transmittal and Receipt), revised in July 1985, will be used to transfer records to the Federal Records Center (FRC). Prepare in sufficient quantity to submit four copies (original and three) to the Regional Records Officer. Instructions for completing SF-135 are as follows: (Examples shown on Page 66 (Figure 7-2) and Page 67 (Figure 7-3)).

a. Item 1. Complete FRC address by typing, 1557 St. Joseph Avenue, East Point, Georgia 30344.

b. Item 2. Type title of Regional Records Officer.

c. Item 3. Type name of person most familiar with records being shipped.

d. Item 4. Leave blank (will be completed by the FRC).

e. Item 5. Type the following address at the top two spaces down and centered.

Federal Aviation Administration
Management Systems Division, ASO-60
P. O. Box 20636
Atlanta, GA 30320

f. Item 6a, b, and c. Leave blank (will be furnished later by FRC).

g. Item 6d. Type number of cubic feet in shipment that normally corresponds with number of boxes in shipment.

h. Item 6e. Show inclusive box numbers for each series of records. If there are 10 boxes, type 1-10.

i. Item 6f. Refer to Agency Order 1350.15B (Records Organization, Transfer, and Destruction Standards) for correct description of records and type in appropriate title. Inclusive dates of records must also be shown.

j. Item 6g. Refer to codes on reverse side of SF-135. Normally "R" will be used, but if records are part of a system covered by the Privacy Act, "W" must be used.

k. Item 6h. Appropriate retention schedule from Order 1350.15B must be shown, i.e., Order 1350.15B, 5100/1/b.

SO SUPPLEMENTAL PAGE

l. Item 6i. Based on the disposal authority quoted in Item 6h, which gives the number of years that records must be held (after inactive date), type the earliest date (month and year) that records may be disposed of. In computing holding periods for records, start with the year records were created NOT when they were sent to the FRC. For example, Obstruction Evaluation Case Files (not circularized) are to be held three years and then destroyed. If they were created during 1978, they should be kept all of 1979, 1980, and 1981 and destroyed on January 1, 1982.

m. Items 6j, k, l, and m. Leave blank (will be completed by the FRC).

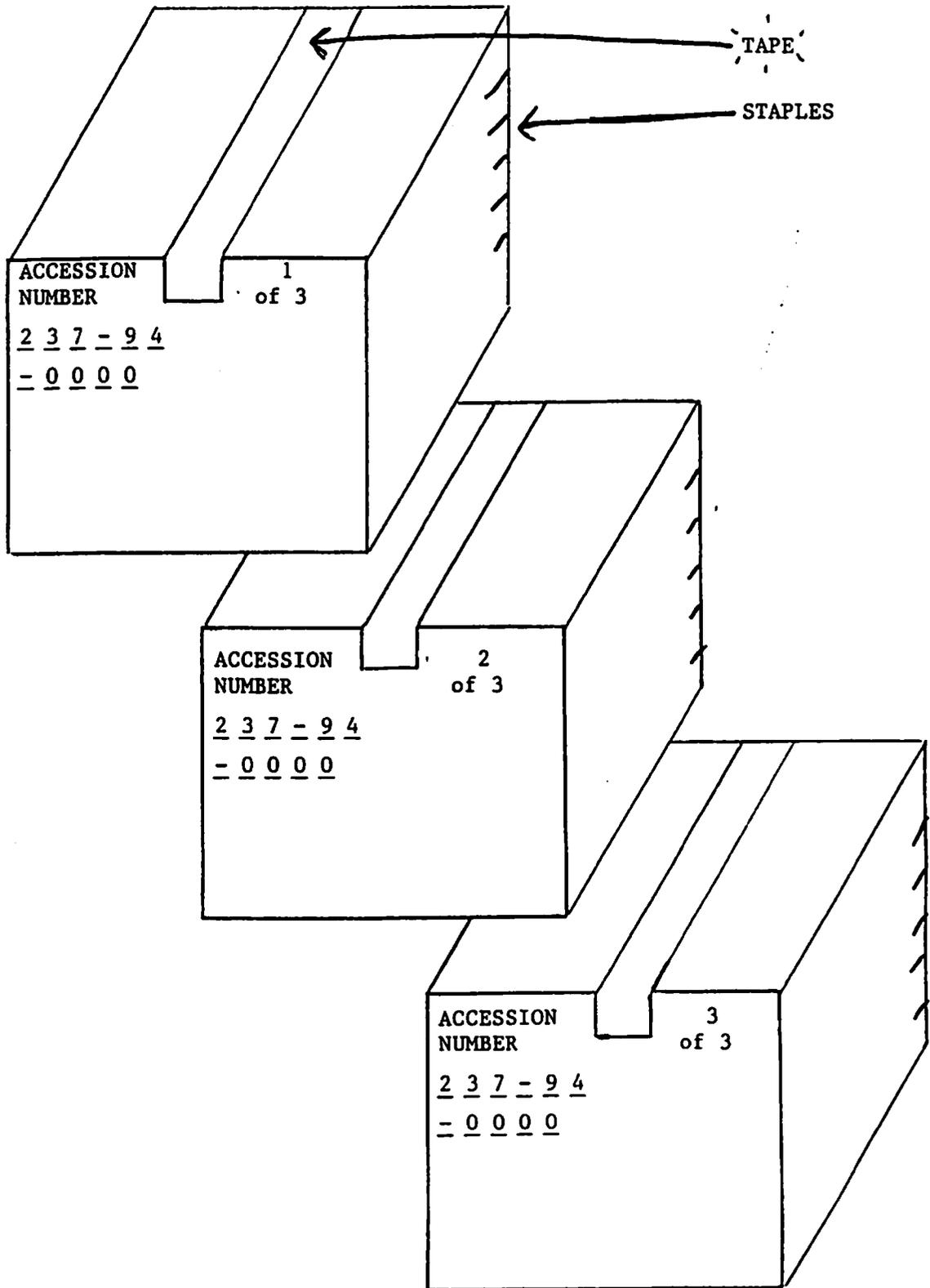
78b-SO1. Distribution of SF-135 and Processing of Records. Forward four copies (original and three) of completed Standard Forms 135 to the Records Officer, ASO-65, for approval and forwarding to the FRC for assignment of accession number. A copy of the SF-135 with accession number assigned will be returned to the transferring office, through ASO-65, by the FRC. Mark the accession number in the upper left corner of each box, using a black felt tip marker. Regional Headquarters offices will then contact the Records Officer for arranging shipment to the FRC. Field offices will ship records direct to the FRC after marking accession number on all boxes.

78d-SO1. Packing the Records. Storage shelving at the FRC is designed for storing standard size record boxes (National Stock Number 8115-00-117-8249); therefore, nonstandard boxes will not be used to transfer legal and letter-size records. Boxes for x-rays and drawings are available, either from Federal supply sources or by local purchase. Contact the Regional Records Officer for additional information.

78e-SO1. Box Identification. Mark the front end (opposite glued or stapled end) of each box to show the box number and number of boxes in the shipment. Use a black felt tip marker for marking boxes to permit ready identification of the shipment. Place markings in the upper left corner of each box, i.e., Box 1 of 3, 2 of 3 and 3 of 3, etc. ALL NINE DIGITS OF THE ACCESSION NUMBER (Items 6a, 6b, and 6c on SF-135) must be written directly on each carton in the accession. No other markings on boxes are necessary. Refer to sample markings on Page 58-SO3(and 4), SO Figure 1.

SO SUPPLEMENTAL PAGE

SO Figure 1.



SO SUPPLEMENTAL PAGE

78g-S01. Referral to Stored Records. To recall and return records that have been stored at the Federal Records Center, follow procedures outlined below:

a. Regional Offices may request records from the Federal Records Center by telephone (Extension 7474), or written requests. Essential information needed by the FRC to fill requests is agency name and address; requestor's name and routing symbol; accession number of shipment, FRC number, and name or number of file. To return records forward them to the Mail Room with instructions that they are to be mailed back to the Federal Records Center. Forward pink copy of OF-11 to ASO-63B with annotation showing date records were returned to the Records Center.

b. Area and field offices may submit written requests to the Federal Records Center for records or make telephone requests as appropriate. Requested records should be returned direct to the Federal Records Center by mail. The correct address and telephone number for the Federal Records Center is:

Federal Archives and Records Center
1557 St. Joseph Avenue
East Point, Georgia 30344

Telephone: 404/763-7474
FTS 246-7474

SO SUPPLEMENTAL PAGE

90-S01. GENERAL. Guidance, responsibilities, and procedures for identifying, transferring and protecting vital records, and for reporting vital record inventories are contained in SO Order 1910.1 as amended.

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