



Federal Aviation Administration

Memorandum

Date: OCT 24 2008
To: Records Management Officers
From: Bob Rovinsky, Director
Office IT Enterprise Business Services, AES-1
Prepared by: Katrina A. Thomas, x78929
Subject: Annual Vital Records Inventory

A handwritten signature in black ink, appearing to read "Robert B. Rovinsky".

The Annual Vital Records Inventory Report, required by FAA Order 1350.14A, Records Management, should be submitted to AES-200, by January 31, 2009.

Each headquarters, region, and center RMO must:

1. Prepare the report on FAA Form 1350-15, Vital Records Inventory and show a report status as of November 1, 2008.
2. Indicate the category of records as "Emergency Operations Records" or "Financial and Legal Interest Records" on FAA Form 1350-15.
3. Submit the original and two copies of the report.
4. Submit necessary documents to the FAA Records Center. Do not include vital records with the inventory report.
5. Submit a negative reply if no vital records are identified.

The following attachments are provided for your convenience:

1. An example of a completed FAA Form 1350-15.
2. FAA Form 1350-15, an electronic version of the form in Microsoft Word is available upon request.
3. A description of the Vital Records program containing an outline for identifying and protecting records.

Please share this information with your Emergency Operations Coordinator, and anyone who may need additional information in order to identify vital record materials. If you need additional assistance, please feel free to contact Katrina Thomas at 267-8929.

VITAL RECORDS INVENTORY

Assistant Administrator for
Financial Services

11/1/00

NAME OF PREPARER

Mary Ann Hall

ROUTING SYMBOL

ABA-10

DATE

11/15/00

APPROVALS

NAME/SIGNATURE OF EMERGENCY RECORDS OFFICER

ROUTING SYMBOL

DATE

NAME/SIGNATURE OF RECORDS MANAGEMENT OFFICER (RMO)

ROUTING SYMBOL

DATE

EXAMPLE

LOCATION OF RECORDS (Prepare a separate inventory list for each location)

VOLUME (Cubic Feet)

ITEM NO.	TITLE OR SUBJECT AND BRIEF DESCRIPTION	RECORD MEDIUM (1)	OPR ROUTING SYMBOL	SHIPPING OFFICE ROUTING SYMBOL	SHIPPING FREQUENCY (2)
	EMERGENCY OPERATIONS RECORDS				
1	FAA Budget Estimates to the Office of Management and Budget	Paper	ABU-100	ABU-100	A
2	FAA Budget Estimates to Congress and Summary	Paper	ABU-100	ABU-100	A
3	FAA Budget Estimates to the Office of the Secretary of Transportation	Paper	ABU-100	ABU-100	A
4	President's Budget and Appendix	Paper	ABU-100	ABU-100	A
5	Apportionment (SF-132)	Paper	ABU-100	ABU-100	A
6	Report on Budget Execution	Paper	ABU-100	ABU-100	A
7	Allotments/Allowances issued to offices	Paper	ABU-100	ABU-100	A
8	Published congressional hearings on regular and supplemental apportionment acts and House and Senate supplemental	Paper	ABU-100	ABU-100	A
9	Outstanding Travel Advances (Privacy Act) (Substitute for previous material and shred previous material)	Fiche	AFM-200	AFM-200	M
10	Open Document Listing (substitute for previous material)	Fiche	AFM-210	AFM-210	M
11	General Ledger Trial Balance - Part I (substitute for previous material)	Fiche	AFM-210	AFM-210	M
12	General Ledger Trial Balance - Part II (substitute for previous material)	Fiche	AFM-210	AFM-210	M
13	I-M Agency Ledger Trial Balance Part I (substitute for previous material)	Fiche	AFM-310	AFM-310	M
14	I-M Agency Ledger Trial Balance Part II (Substitute for previous material)	Fiche	AFM-310	AFM-310	M
15	I-N Region 9 General Ledger Trial Balance Part I (Substitute for previous material)	Fiche	AFM-310	AFM-310	M
16	I-N Region 9 General Ledger Trial Balance Part II (Substitute for previous material)	Fiche	AFM-310	AFM-310	M
17	DOT EMR (employee master record for DOT employees) (Substitute for previous material) (Shred previous material)	Fiche	AFM-330	AFM-330	BW
18	FAA Organizational Directory	Paper	APF-100	APF-100	A

1 Paper, microfilm, disk, etc.

2 Weekly (W), Monthly (M), Semi-Annual (SA), Annual (A), Situation (S), As Required (AR) etc.

The FAA Vital Records Program

In accordance with FAA Order 1350.14A, it is the responsibility of the heads of offices and services, regional directors, and directors of the Aeronautical Center to establish a continuing program to select, inventory, identify, pack, and ship copies of vital records to protective areas. The records selected should be adequate to meet operational needs in an emergency situation and should be updated on a current basis.

CATEGORIES OF VITAL RECORDS

There are two general categories of records to be protected.

- **Emergency operating records** are records vital to the essential functions of the Federal Government for the duration of an emergency if the country is attacked. Such records include those necessary to the military effort; the mobilization and protection of material and manpower resources, of services, and of systems; the maintenance of public health, safety, and order; and the conduct of essential civil defense activities. These records must be available as needed at or in the vicinity of emergency operating facilities. Emergency operating record requirements should be based upon essential emergency functions assigned to the organization involved. During the emergency period, records needed for routine operations will usually not be of immediate concern. **Much of what employees do with records from day to day would not be done in an emergency.** Consequently, these records are highly selective and their volume is very small. They include, but are not limited to, statements of emergency missions and other supporting documents required to perform the functions assigned to task groups or alternate headquarters; delegations of authority; successions to command; regulations, orders and practices that have an effect on essential functions; rosters of select employees and listings of their skills that might be useful during and after an emergency.
- **Rights and interests records** are records essential to the preservation of the legal rights and interests of individual citizens and their Government. These records include such groups as Social Security records, retirement records, payroll records, insurance records, and valuable research records. These records require protection, but storage points do not have to be at or in the vicinity of emergency operating centers. Storage points should be chosen to ensure protection, facilitate transfer and maintenance, and provide reasonable accessibility to the personnel most likely to use the vital records. Rights and interests records requirements should be decided upon such factors as the rights of individuals, the rights and interests of the Government, and records necessary to reestablish agency operations following an emergency. Records such as titles of aircraft ownership, employee retirement and leave, and grants of loans to the public protect legal rights of the agency. Reconstitution records should be limited to critical data that would serve as a foundation on which to rebuild agency programs and operations, and should be chosen after considering possible changes in program needs after a major disaster. **It is not usually necessary or desirable to locate these records at relocation sites.**

SELECTING VITAL RECORDS.

The cost and complexity of work prohibit the protection of every record in the agency that might be used during and following an emergency situation. The truly vital records usually constitute only about 1 or 2 percent of the total records volume. The determinations as to whether a given type of record is vital and which category it fits is often a difficult decision to make. The General Services Administration Records Management Handbook entitled "Federal Vital Records Program," National Stock Number 7610-00-7722 provides further guides for selection.

An Outline for Identifying and Protecting Vital Records

- I. Identify Risks
 - A. Determine Potential Events
 1. National Emergency
 2. Natural Disaster
 3. Act of Terrorism
 - B. Determine Organizational Mission Related to Each Risk
 1. Short term operations
 - a) Continuity of Business at Relocation Site
 - b) New location in case of building/facility damage
 - c) Re-establishment of operations in case of localized disruption (fire, flood)
 2. Re-establishment of Facility in case of total destruction of building/facility.
- II. Identify Tools to Accomplish Mission
 - A. Personnel
 1. Prepare a key personnel roster
 2. Identify personnel with Military obligations
 - B. Records
 1. Records for continuity of operations
 2. Records for re-establishment of the organization
 - C. Equipment
 1. Electronic Equipment for electronic files
 2. Special Software programs for organization operations
- III. Train Key Employees
 - A. Drills
 - B. Back-Up plans
- IV. Evaluate Program
 - A. Update Records and Equipment at Relocation Site
 1. Send records on a regular basis for replacement
 2. Ensure equipment compatibility with records at relocation site
 - B. Update Records and Equipment at back-up Facility

If you need additional information or assistance in managing your vital records program, please contact FAA Records Officer,