

# NOTICE

U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL AVIATION ADMINISTRATION

N 8900.681

National Policy

Effective Date:  
10/24/23

Cancellation Date:  
10/24/24

**SUBJ:** Flight Standards Service (FS) Records Management in the Safety Assurance System (SAS)

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**1. Purpose of This Notice.** This notice, in conjunction with information contained in Federal Aviation Administration (FAA) Order 1350.14, Records Management, provides guidance that supports the use of the Safety Assurance System (SAS) as an official electronic repository for records associated with Continued Operational Safety (COS), certification, oversight management, and other business processes. This notice supplements information contained in Notice N 8900.658, Safety Assurance System (SAS) Phase 4 Wave 1 Vision, Changes, and Benefits, dated 6/1/23.

**2. Audience.** The primary audience for this notice is all employees in the Office of Air Carrier Safety Assurance (ACSA), the Office of General Aviation Safety Assurance (GASA), and International Field Offices (IFO), Records Coordinators (RC) and File Custodians (FC). The secondary audience includes the Office of Safety Standards (OSS) and the Office of Foundational Business.

**3. Where You Can Find This Notice.** You can find this notice on the MyFAA employee website at [https://employees.faa.gov/tools\\_resources/orders\\_notices](https://employees.faa.gov/tools_resources/orders_notices) and the Dynamic Regulatory System (DRS) at <https://drs.faa.gov>. Operators and the public can find this notice on the FAA's website at [https://www.faa.gov/regulations\\_policies/orders\\_notices](https://www.faa.gov/regulations_policies/orders_notices) and DRS.

**4. Background.** N 8900.658 introduced focus areas for SAS Phase 4 Wave 1, which included the creation of an electronic repository for records in SAS. As part of this initiative, a team of subject matter experts (SME), including personnel from the Flight Standards Program Branch (AFB-140), helped define the future state of records management. AFB-140 will continue to oversee the records management process for the Flight Standards Service (FS) in accordance with Order 1350.14 and other associated policy and guidance. Order 1350.14 contains the requirements and responsibilities for FAA employees and contractors in conducting the agency's Records Management Program and provides specific guidelines and procedures for management of FAA records. When FAA Order 8900.1, Flight Standards Information Management System, requires a record to be maintained in a local file, that record should now be uploaded to SAS. Records personnel will continue to follow approved retention schedules to dispose of records.

**Note:** The Office of Hazardous Materials Safety (AXH) will also use SAS as the official repository for records for certificate holders and additional stakeholders,

such as Other Regulated Entities (ORE). However, AXH policy for records management is not limited to this notice and is outlined in AXH policy.

**5. Information.** The electronic repository for records will be deployed to SAS in three releases.

**a. Release 1.** Release 1, SAS v4.1, occurred in June 2023 and included a drag-and-drop feature, increase in the size of files that can be uploaded to SAS, and the allowance of new file types such as avi, mp3, mp4, and mov.

**b. Release 2.** Beginning in fiscal year (FY) 2024 Quarter 2, a standard set of folders will be deployed to each office (see Appendix A, Standard Folders). Once deployed, employees will store and organize records using the standard folders in SAS Document Management. Additionally, search functions will be introduced to help users quickly retrieve files.

**c. Release 3.** FY 2025 Quarter 1 will include the ability for AFB-140 to add records retention schedules using a Utility. Records nearing the end of their retention schedule will be marked for “Retention Review” to assist RCs and FCs with disposition.

**6. Document Management in SAS.** New features will be added to Document Management to support its use as the official repository for records in SAS. Files and attachments uploaded to SAS can be viewed in Document Management. The following functions will help users manage records in SAS.

**a. Document Search.** A search feature will allow basic searches for records by office(s), certificate holders, applicants, entities, Title 14 of the Code of Federal Regulations (14 CFR) parts, file name, or file content. An advanced search feature will be provided for offices to search for Freedom of Information Act (FOIA) requests and retention schedules.

**b. Actions.** Users will be able to attach, update, move, and rename records. Authorized users with extended functions will be able to delete and mark records for Retention Review for disposition.

**c. Standard Folders.** Standard folders are developed based on commonly submitted records for each type of certificate holder, applicant, and entity. Records within these folders will be automatically marked for Retention Review so that they may be dispositioned when appropriate based on retention schedules.

**d. Records Report.** A new SAS Standard Report will be available to help with retention review and disposition of records.

**e. Record Disposition.** SAS will allow RCs and FCs to disposition records marked for Retention Review.

**f. Utility.** A new Utility will be added that allows for the Safety Analysis and Promotion Division (AFS-900) and AFB-140 to create, update, move, copy, activate/deactivate, or delete standard folders and set retention times.

**7. Document Management Process.** Files and attachments are inputs to SAS automation. They can be introduced through various methods, such as direct upload to Document Management or through SAS modules, including Configuration, External Portal, Data Collection (Data Collection Tools (DCT), Activities, and Tasks), and the Action Item Tracking Tool (AITT). Ensure records are accurately named and moved to the appropriate standard folder in Document Management if a standard folder exists. SAS users should familiarize themselves with the office file plan and standard folders. Standard folders were developed based on the current file structure in FS offices.

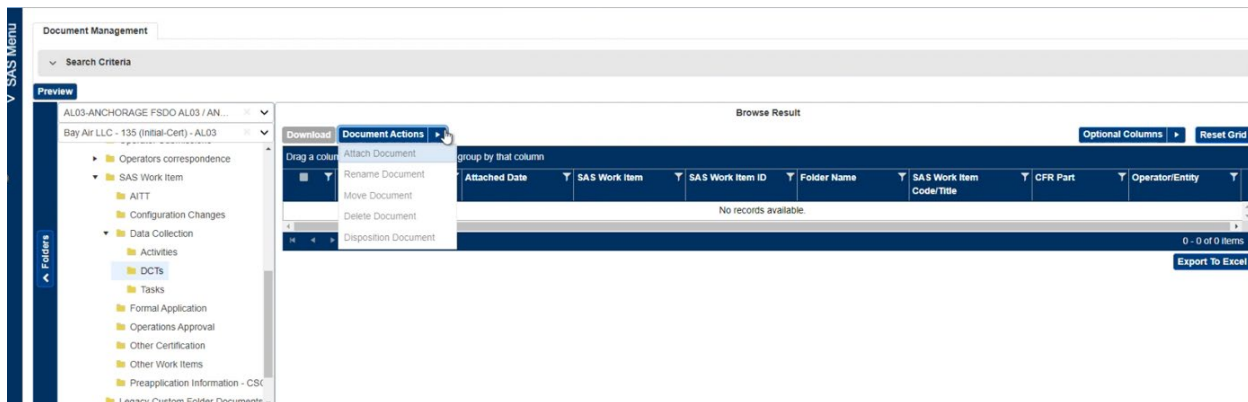
**Note:** Any records associated with a hotline complaint investigation or Voluntary Disclosure Reporting Program (VDRP) must not be maintained in SAS.

**8. Where are Records Maintained?** Records will be maintained in their respective standard folder in SAS Document Management or with the SAS work item, as described below.

**a. Standard Folder.** Is there an appropriate standard folder in Document Management for the record? If yes, then file the record in the appropriate standard folder. If a record is in a SAS work item, but belongs in a standard folder, then move that record to the appropriate standard folder in Document Management.

**b. SAS Work Item.** Any record that does not have a standard folder remains with the SAS work item (i.e., Activities and Tasks). For example, there are no standard folders for compliance action, enforcement, incidents, occurrences, accidents, and waivers; therefore, these record(s) shall remain with the SAS work item. Files and attachments uploaded in DCTs do not need to be moved to a standard folder; they automatically appear in the “Data Collection” folder in Document Management. However, if a DCT contains records that have standard folders, such as “Correspondence,” those records should be moved to that standard folder.

**Figure 1. Display of Document Management Sample Folders and Actions**



**Note:** In some unique situations, a user may find the need for a new standard folder. In this case, submit feedback in SAS to request a new standard folder and maintain the record in the associated work item. Do not destroy the record until an approved retention schedule is provided. If approved, AFB-140 will create a standard folder that applies to all applicable 14 CFR parts and set retention times.

This will allow the record to be moved to the new standard folder. If not approved, follow instructions provided by AFB-140.

**9. Naming Convention.** Records should follow a standard naming convention to ensure consistency across offices. Use key words as part of the brief description/subject, such as an airman's last name for check pilot records, and aircraft make, model, and series (M/M/S) for aircraft-specific records. This will aid in the identification and retrieval of records. Use the examples below to name records. Do not include the brackets (“[ ]”) shown below when naming the record.

**a. For Correspondence Sent from the FAA.**

(1) File Name: [YYYYMMDD] [FAA] [Name or Designator] [Brief Description/Subject]

(2) Example: 20230326 FAA 1JAA GOM Ltr Accept

(3) In the example shown above, the date should reflect the date of the correspondence. “FAA” indicates that the FAA sent the correspondence. “Name or Designator” indicates to whom the correspondence was sent. “Brief Description/Subject” should include enough information to describe the content of the correspondence.

**b. For Correspondence Sent to the FAA.**

(1) File Name: [YYYYMMDD] [Name or Designator] [Brief Description/Subject]

(2) Example: 20230326 1JAA GOM DCT Response

(3) In the example shown above, the date should reflect the date of the correspondence. The “Name or Designator” indicates who sent the correspondence to the FAA. “Brief Description/Subject” should include enough information to describe the content of the correspondence.

**c. Manuals.**

(1) File Name: [Designator] [Manual Name or Abbreviation] [Revision Level]

(2) Example: 1JAA GMM Manual Rev12

(3) In the example shown above, the “Designator” identifies the certificate holder, applicant, or entity. The “Manual Name or Abbreviation” and “Revision Level” show this as a General Maintenance Manual, Revision 12. Approval status may be added after the revision number, if applicable.

**d. Certificates.**

(1) File Name: [YYYYMMDD] [Designator] [Certificate]

(2) Example: 20231206 1JAA Certificate

(3) In the example shown above, the date should reflect the date on the certificate. The “Designator” identifies the certificate holder, applicant, or entity. The file name should end with the word “Certificate.”

**e. Operations Specifications (OpSpecs)/Letters of Authorization (LOA).**

(1) File Name: [Designator] [OpSpec/LOA]

(2) Example: 1JAA A001

(3) In the example shown above, the “Designator” identifies the certificate holder or entity. The “OpSpec/LOA” reflects the paragraph. If more than one OpSpec/LOA paragraph is included, include each paragraph number. If the record includes all issued OpSpecs/LOAs, add “All combined PDF” to the end of the file name.

**f. Memorandums.**

(1) File Name: [YYYYMMDD] [Issuing Office] [Receiving Office] [Brief Description/Subject]

(2) Example: 20230619 GL31 AFS200 Memo Deviation 119 Personnel

(3) In the example shown above, the date reflects the date of the memorandum. “Issuing Office” and “Receiving Office” identify the applicable offices. “Brief Description/Subject” should include enough information to describe the content of the memorandum.

**g. Other Media.**

(1) File Name: [YYYYMMDD] [FAA Office] [Designator] [Brief Description/Subject]

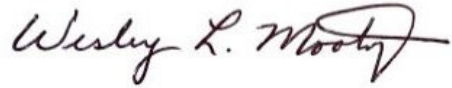
(2) Example: 20230928 GL31 1JAA Low Flying

(3) In the example shown above, the date reflects the date of the communication. “FAA Office” indicates which office was contacted. The “Designator” identifies the certificate holder or entity. “Brief Description/Subject” should include enough information to describe the content of the record.

**10. Standard Folders.** Appendix A contains tables by 14 CFR part that depict the standard folder categories with a list of standard folders in SAS Document Management.

**11. Training and Deployment.** Formal training, training aids, Quick Reference Cards (Q-Cards), and educational resources will be developed to support records management in SAS. More information will be provided once training and deployment dates are finalized.

**12. Disposition.** Some of the information in this notice will be incorporated into Order 8900.1, Volume 10, Safety Assurance System Policy and Procedures, and other applicable policy before this notice expires. Direct questions or comments concerning the information in this notice to AFS-900 at 9-AVS-AFS900-Directives@faa.gov and/or 9-AVS-FS-RecordsMgmt@faa.gov.

A handwritten signature in black ink, reading "Wesley L. Mooty". The signature is written in a cursive style with a large, sweeping initial 'W'.

Wesley L. Mooty  
Acting Deputy Executive Director, Flight Standards Service

**Appendix A. Standard Folders****Part 121 Operators**

<b>Standard Folder Categories</b>				
<b>Manuals/Programs with Approval/Acceptance Letters</b>	<b>Operator Submissions</b>	<b>Check Pilot</b>	<b>Correspondence</b>	<b>Certification</b>
<b>Standard Folders</b>				
AAIP Manual	Add Aircraft/Aircraft Validation	Company Check Pilot	Correspondence	Current Certificate
Advanced Qualification Program	ASAP	A – E		Current Operations Specifications (if not industry users)
Schedule/CAMP/TLD Manual	CASS Submissions	F – K		Superseded Operations Specifications
Check Pilot Manual	Contractors Lists/MPL	L – P		Superseded Certificates
Deicing Manual	DOT 4507/Insurance	Q – S		Original Certification Records
Dispatch Manual	Drug Program	T – Z		Original Proving/Validation
Emergency Response Manual	EFB Catalog	Inactive Company Check Pilot		Proving/Validation, After Original
Flight Attendant Manual	Engine Utilization Reports	A – E		Other Certification
General Maintenance Manual	Exemptions and Deviations	F – K		
General Operations Manual/FOM/CFM	337s	L – P		
Ground Handling Manual	Lease and Lease Acceptance Letters	Q – S		
Hazmat Manual	Mechanical Interruption Reports	T – Z		
International Operations Manual	MEL Extensions	Contract Check Pilot		
Maintenance Standard Operating Procedures (SOPs)	Other Submissions	A – E		
Maintenance Training Program	Performance Summaries	F – K		
MELs/NEF	Service Difficulty Reports	L – P		
Other Maintenance Manuals	CFR 119 Resumes	Q – S		
Other Operation Manuals	RII Lists	T – Z		
Passenger Briefing Cards	Short Term Escalations	Inactive Contract Check Pilot		
Pilot Standard Operating Procedures (SOPs)	SMS Documents	A – E		
Pilot Checklists	Special Flight Permits	F – K		
Training Programs (OPS)	Training Center Standard Review	L – P		
Safety Management Manual	Training Center Audits	Q – S		
Winter Operations Manual		T – Z		

## Part 135 Operators

Standard Folder Categories				
Manuals/Programs/Other with Approval/Acceptance Letters	Operator Submissions	Check Pilot	Correspondence	Certification
Standard Folders				
AAIP Manual	Add Aircraft/Aircraft Validation	Company Check Pilot	Correspondence	Current Certificate
Schedule/CAMP/TLD Manual	ASAP	A – E		Current Operations Specifications (if not industry users)
Emergency Response Manual	CASS Submissions	F – K		Superseded Operations Specifications
Flight Attendant Manual	Contractors Lists/MPL	L – P		Superseded Certificates
General Maintenance Manual	DOT 4507/Insurance	Q – S		Original Certification Records
General Operations Manual	Drug Program	T – Z		Original Proving/Validation
Ground Handling Manual	EFB Catalog	Contract Check Pilot		Proving/Validation, After Original
Hazmat Manual	Exemptions and Deviations	A – E		Other Certification
International Operations Manual	337s	F – K		
Maintenance Standard Operating Procedures (SOPs)	Lease and Lease Acceptance Letters	L – P		
MELs/NEF	CFR 119 Resumes	Q – S		
Other Maintenance Manuals	Mechanical Interruption Reports	T – Z		
Other Operations Manuals	MEL Extensions	Inactive Company Check Pilot		
Passenger Briefing Cards	Other Submissions	A – E		
Pilot Standard Operating Procedures (SOPs)	Service Difficulty Reports	F – K		
Pilot Checklists	RII Lists	L – P		
Training Program (OPS)	Short Term Escalations	Q – S		
Safety Management Manual	SMS Documents	T – Z		
Winter Operations Manual	Training Center Standard Review	Inactive Contract Check Pilot		
	Training Center Audits	A – E		
		F – K		
		L – P		
		Q – S		
		T – Z		



**Part 145 Repair Stations**

<b>Standard Folder Categories</b>				
<b>Manuals/Programs/Other with Approval/Acceptance Letters</b>	<b>Operator Submissions</b>	<b>Bilateral or Non-Bilateral Agreements</b>	<b>Correspondence</b>	<b>Certification</b>
<b>Standard Folders</b>				
RSM/QCM/FORMS Manuals	Capability Lists	Within US	Correspondence	Current Certificate
Training Program	Drug Program	Supplements	Outside US	Current Operations Specifications (if not industry users)
NDT Manual	Rosters	Renewals/Amendments	Accounting Letters	
Other Manuals	Other Submissions	Correspondence		Superseded Operations Specifications
Other Approvals		Outside US		
Safety Management Manual		Supplements		Superseded Certificates
Approved Functions		Renewals/Amendments		Original Certification Records
		Correspondence		Other Certification

**Part 141 Pilot Schools**

<b>Standard Folder Categories</b>			
<b>Manuals/Programs/Other with Approval/Acceptance Letters</b>	<b>Operator Submissions</b>	<b>Correspondence</b>	<b>Certification</b>
<b>Standard Folders</b>			
Policy Procedures Manual	Chief Instructor	Correspondence	Current Certificate
Training Course Outline (TCO)	Assistant Chief Instructor		Current LOAs
Syllabus	Check Instructor		Superseded Certificates
MELs/NEF	Facility and Aircraft Lease Agreement		Superseded LOAs
Other Manuals	Renewals/Amendments		Original Certification Records
	Other Submissions		Other Certification

**Part 142 Training Centers**

<b>Standard Folder Categories</b>			
<b>Manuals/Programs/Other with Approval/Acceptance Letters</b>	<b>Operator Submissions</b>	<b>Correspondence</b>	<b>Certification</b>
<b>Standard Folders</b>			
Approved Training Center Files Training Center OPS Manuals Training Center Course Material Other Manuals	MOUs Renewals/Amendments Other Submissions	Correspondence AFS200 Correspondence	Current Certificate Current Operations Specifications (if not industry users) Superseded Operations Specifications Superseded Certificates Original Certification Records Other Certification

**Part 147 Aviation Maintenance Technician Schools (AMTS)**

<b>Standard Folder Categories</b>			
<b>Manuals/Programs/Other with Approval/Acceptance Letters</b>	<b>Operator Submissions</b>	<b>Correspondence</b>	<b>Certification</b>
<b>Standard Folders</b>			
Approved QC System Safety Management Manual Other Manuals	Renewals/Amendments Other Submissions	Correspondence	Current Certificate Current Operations Specifications (if not industry users) Superseded Operations Specifications Superseded Certificates Original Certification Records Other Certification

**Part 129 Foreign Air Carriers**

<b>Standard Folder Categories</b>			
<b>Manuals/Programs/Other with Approval/Acceptance Letters</b>	<b>Operator Submissions</b>	<b>Correspondence</b>	<b>Certification/ Authorizations</b>
<b>Standard Folders</b>			
FAA Approved MELs/NEF FAA Approved CAMP General Maintenance Manual Other Approvals Other Manuals	DOT Economic Authority Lease Agreement or Written Memo Other Submissions Special Purpose Pilot Authorizations (SPPA)	Correspondence	Current Operations Specifications Superseded Operations Specifications Original OpSpecs Application Package Subsequent OpSpecs Application Package Foreign Air Operator Certificate (AOC)

**Part 91 Subpart K (Part 91K) Fractional Ownership**

<b>Standard Folder Categories</b>				
<b>Manuals/Programs/Other with Approval/Acceptance Letters</b>	<b>Operator Submissions</b>	<b>Check Pilot</b>	<b>Correspondence</b>	<b>Certification</b>
<b>Standard Folders</b>				
AAIP Manual	Add Aircraft/Aircraft Validation	Company Check Pilot A – E	Correspondence	Current Certificate
Schedule/CAMP/TLD Manual	ASAP	F – K		Current Operations Specifications (if not industry users)
Check Airman Manual	CASS Submissions	L – P		Superseded Operations Specifications
Emergency Response Manual	Drug Program	Q – S		Superseded Certificates
General Maintenance Manual	EFB Catalog	T – Z		Original Certification Records
General Operations Manual	Exemptions and Deviations	Contract Check Pilot		Original Proving/Validation
Ground Handling Manual	337s	A – E		Proving/Validation, After Original
Hazmat Manual	Lease and Lease Acceptance Letters	F – K		Other Certification
International Operations Manual	Management Resumes	L – P		
MELs/NEF	Mechanical Interruption Reports	Q – S		
Other Maintenance Manuals	MEL Extensions	T – Z		
Other Operations Manuals	Other Submissions	Inactive Company Check Pilot		
Passenger Briefing Cards	Short Term Escalations	A – E		
Pilot Standard Operating Procedures (SOPs)	SMS Documents	F – K		
Pilot Checklists	Training Center Standard Review	L – P		
Training Program (OPS)	Training Center Audits	Q – S		
Safety Management Manual		T – Z		
Winter Operations Manual		Inactive Contract Check Pilot		
		A – E		
		F – K		
		L – P		
		Q – S		
		T – Z		

**Part 91 Letters of Authorization (LOA)**

<b>Standard Folder Categories</b>			
<b>Manuals/Programs/Other with Approval/Acceptance Letters</b>	<b>Operator Submissions</b>	<b>Correspondence</b>	<b>Certification</b>
<b>Standard Folders</b>			
Other Manuals	ADSB Notifications Aircraft Documents Applications for LOAs ASAP ASE Error Notifications Other Submissions	Correspondence	Current LOAs Superseded LOAs

**Part 125 Operators**

<b>Standard Folder Categories</b>				
<b>Manuals/Programs/Other with Approval/Acceptance Letters</b>	<b>Operator Submissions</b>	<b>Check Pilot</b>	<b>Correspondence</b>	<b>Certification</b>
<b>Standard Folders</b>				
Inspection Program Emergency Response Manual Hazmat Manual MELs/NEF Other Maintenance Manuals Other Operations Manuals Passenger Briefing Cards Training Program (OPS) Safety Management Manual Winter Operations Manual	Add Aircraft/Aircraft Validation Exemptions and Deviations Lease and Lease Acceptance Letters Other Submissions Management Resumes SMS Documents	Check Pilot A – E F – K L – P Q – S T – Z Inactive Check Pilot A – E F – K L – P Q – S T – Z	Correspondence	Current Certificate Current Operations Specifications (if not industry users) Superseded Operations Specifications Superseded Certificates Original Certification Records Original Proving/Validation Proving/Validation, After Original Other Certification

**Part 133 Rotorcraft External-Load Operations**

<b>Standard Folder Categories</b>			
<b>Manuals/Programs/Other with Approval/Acceptance Letters</b>	<b>Operator Submissions</b>	<b>Correspondence</b>	<b>Certification</b>
<b>Standard Folders</b>			
RLCFM Approved Class D Training Other Manuals	Lease Agreement Approved CAP Renewals/Amendments Other Submissions	Correspondence	Original Certification Records Current Certificate Current LOAs Superseded LOAs Letter Designating Chief Pilot Other Certification Superseded Certificates

**Part 137 Agricultural Aircraft Operations**

<b>Standard Folder Categories</b>			
<b>Manuals/Programs/Other with Approval/Acceptance Letters</b>	<b>Operator Submissions</b>	<b>Correspondence</b>	<b>Certification</b>
<b>Standard Folders</b>			
Other Manuals	Congested Area Plan Other Submissions	Correspondence	Current Certificate Original Certification Records Current LOAs Superseded LOAs Other Certifications Superseded Certificates