U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
Mike Monroney Aeronautical Center Policy

AC 1350.24

Effective Date:
November 30, 2007

SUBJ: Aeronautical Center Records Management Program

1. Purpose of This Order. This directive prescribes policy, responsibilities, and procedures for the Aeronautical Center Records Management Program.

2. Audience. Organizations at the Aeronautical Center (AC/Center) for which the Aeronautical Center Records Management Officer provides Records Management Program services. All levels of Federal Aviation Administration (FAA) personnel at the Center who create, collect, maintain, control, disseminate, and schedule records must comply with this policy. Supervisors will ensure that all employees are aware of, and adhere to, the policies, responsibilities, and procedures contained in this Order.

3. What This Order Cancels. AC SUP 2 to Order 1350.14A, dated 10/16/95 is cancelled.

4. Where To Find This Document. This Order is located in the In the FAA Directives Management System (DMS) website: http://employees.faa.gov/tools_resources/orders_notices.

5. Definitions for Terminology Used in the Aeronautical Center Records Management Program.

a. **Records** are documentary media, including papers, books, maps, photographs, microfilm, magnetic tape, CDs, DVDs, and all other machine-readable materials, or other documentary materials, regardless of physical form or characteristics, created 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, procedures, operations, or other activities of the Government or because of the informational value of data in them.

1) "Documentary materials" is a collective term that refers to all media on which information is recorded, regardless of the nature of the medium or the method or circumstances of recording.

2) "Regardless of physical form or characteristics" means that the medium may be paper, film, disk, or another physical type or form. It also means that the method of recording may be manual, mechanical, photographic, electronic, or any combination of these or other technologies.

3) "Received" means the acceptance or collection of documentary materials by agency employees.

4) "Preserved" means the filing, storing, or any other method of systematically maintaining documentary materials by the agency, even if those materials have not yet been filed or have been removed temporarily from existing filing systems.

b. **Non-records** are papers having no administrative, fiscal, legal or historical value and thus are considered to be non-record material. These include, but are not limited to, duplicates of record material listed in Paragraph 5.a.; copies of reading files and papers of transitory value such as drafts or worksheets which are used solely for reference purposes; stocks of publications; library material; and routing slips. These materials should be disposed of as soon as they have served their purpose and are no longer needed.

c. **System of Records** is defined as a group of any records, under the control of an agency from which information is accessed and retrieved by the name of an individual or by some identifying number, symbol, or other identifier assigned to the individual.

d. **Records Management** is the term used to describe the managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations. Along with data processing and telecommunications, records management is an integral part of information resources management.

e. **National Archives and Records Administration (NARA).** The National Archives is the U.S. Government's collection of documents that records important events in American history. The National Archives and Records Administration (NARA) is the Government agency that preserves and maintains these materials and makes them available for research.

f. **Federal Records Center (FRC).** The Federal Records Center is a government facility that provides temporary storage of records in a safe and secure environment that meets the requirements of 36 CFR 1228 for all types of records. Records centers are authorized to store the records of a Federal agency that are properly covered by a NARA-approved records disposition schedule or the General Records Schedule (GRS) and which are not yet eligible for disposal or transfer to the National Archives. Records stored at an FRC remain in the legal custody of the creating agency.

g. **General Records Schedule (GRS).** General Records Schedules are issued by the Archivist of the United States to provide disposition authorization for records common to several or all agencies of the Federal Government. Use of the GRS is legally mandatory and disposal authorizations must be used by a Federal agency to the greatest extent possible. The GRS covers only those records that are common among several agencies. For complete coverage of the disposition of all records, each agency must independently develop a schedule for the other types of records that it maintains. The FAA records schedule is contained in agency directive FAA Order 1350.15 series, Records Organization, Transfer and Destruction Standards.

h. **Record Series.** File units or documents arranged according to a filing system or grouped together because they relate to a particular subject or function, result from an activity, document a specific type of transaction, take a particular physical form, or have some other relationship arising from their creation, receipt, or use, including any restrictions on access or use.

i. **Disposition**. Action that is taken regarding Federal records after they are no longer needed in office space to conduct operational agency business. Disposition is a comprehensive term that includes activities such as transfer, disposal, or donation. **IMPORTANT**: **Records shall not be disposed of prior to their authorized disposal date or retained beyond their authorized disposal date, for any reason.** If there is concern that a record should be disposed of prior to, or retained beyond, an authorized date, the AC Records Management Program Officer should be contacted to discuss the need for a revision to the agency records schedule. The unauthorized disposition of Federal records, including their unlawful or accidental destruction, defacement, alteration, or removal from Federal custody is against the law (44 U.S.C. 3106) and may lead to a monetary fine, imprisonment, or both (18 U.S.C. 2071).

j. **Records Schedule**. A schedule describes a group of records, by series, with reference to the nature and duration of their administrative, fiscal, legal and historical value and establishes a retention period after which one of the following disposition actions will occur:

1) The records will be destroyed,

2) The records will be shipped to a Federal Records Center for temporary storage, or

3) The records will be transferred to the National Archives and Records Administration for permanent preservation.

k. **Office of Primary Responsibility (OPR)**. The organizational unit with primary responsibility for developing and/or implementing a policy, program, or function.

l. **Official Files List (OFL)**. A document containing the identifying numbers, titles or descriptions, disposition authorities, and retention periods of all files maintained in an office. It should contain current, accurate data for all records and non-record materials in the office. FAA Form 1350-7, Official Files List, is used for this purpose.

6. Roles and Responsibilities.

a. **The Aeronautical Center Director (AMC-1)** has delegated authority for the Aeronautical Center Records Management Program to the Quality Systems & Business Resources Staff (AMC-3). This authority shall not be redelegated.

b. **The Aeronautical Center Records Management Program Officer, Quality Systems & Business Resources Staff (AMC-3),** has management and technical responsibility for directing and coordinating the development and operation of the Aeronautical Center Records Management Program in accordance with standards established in FAA Order 1350.14 series, paragraph 10c(3).

1) Coordinates program activities with the FAA Records Officer, IT Enterprise Business Services Division (AES-200).

2) Serves as the primary official who coordinates records management matters with the regional National Archives and Records Administration office and any other local oversight agencies.

3) Ensures that Aeronautical Center recordkeeping requirements are established, implemented, and periodically updated for all offices at all levels and for all record media.

4) Ensures that each organization/office creates and maintains records to document its program and administrative activities.

5) Works with organizational Records Coordinators to ensure that all records of each office are listed in the Official Files List and described accurately in the agency's records schedule, in accordance with FAA Order 1350.15 series.

6) Works with organizational Records Coordinators to ensure the shipment of eligible records to the Federal Records Center, the prompt disposal of temporary records when their retention periods expire, and the timely transfer of permanent records to the National Archives.

7) Coordinates matters relating to records management with the Center's Privacy Program Officer, Communications Officer, Freedom of Information Act (FOIA) Coordinator, Program Directors, Aeronautical Center Counsel, Information Technology (IT) managers, and program officials who are responsible for special media such as cartographic and architectural records.

8) Facilitates the proper training of Records Coordinators and Files Custodians.

9) Provides records management briefings to program managers, IT staff, and all levels of management.

10) Conducts periodic evaluations of records management activities within all organizations to ensure program compliance. Documents discrepancies and/or deficiencies for remedial action.

11) Promotes the Aeronautical Center Records Management Program throughout all organizations.

c. **Program Directors/Staff Managers and appropriate tenant levels** shall:

1) Designate a Records Coordinator to serve as primary organizational liaison to the AC Records Management Program Officer and records management contact point for employees within their organizations. An Alternate Records Coordinator shall also be designated to assume the duties in the primary liaison's absence. This authority cannot be redelegated. These appointments shall be documented in an official memorandum with the names, routing symbols, and telephone numbers of designees, and forwarded to the AC Records Management Program Officer. Tenants may determine that designations are not required for all their respective divisions and may assign responsibility for multiple divisions to one Records Coordinator. Multiple organizations to be serviced by one Records Coordinator should be clearly identified in the

designation letter. Changes to designations shall be provided to the AC Records Management Program Officer when they occur.

2) Ensure that the vital records selected for their organization meet the operational needs of the agency before, during, and after an emergency.

3) Coordinate with the Office of Facility Management (AMP) to obtain alternate locations for records in their organizations that cannot be maintained in official file stations because of space limitations or other similar reasons. The required safeguards of the records shall be considered when selecting alternate storage locations, which includes but is not limited to, physical access, security constraints, and safety issues.

4) Ensure that all employees are made aware of their responsibilities for maintaining and safeguarding records as identified in paragraph 6.q. of this Order.

d. **Records Coordinators** serve as primary organizational liaisons to the AC Records Management Program Officer and are the records management contact points for employees within their organizations. They shall assist the AC Records Management Program Officer by:

1) Acting as the central contact point for their organizations for all records management activities within the organization, communicating with other Records Coordinators, and the AC Records Management Program Officer as necessary.

2) Establishing and maintaining organizational process controls for records prepared by the Office of Primary Responsibility (OPR) in their organizations and controlled by the AC Records Management Program.

3) Developing internal policy and procedures for maintaining records. Internal policy may include using International Organization for Standardization (ISO) or Quality Management System (QMS) processes; however, it is important to remember that ISO and/or QMS enhance the AC Records Management Program but do not replace it. If ISO and/or QMS have been implemented in an organization, the ISO/QMS documentation must clearly cite all relevant FAA and AC directives and policies in all of its process documentation and manuals that are developed for use in managing the organization's records.

IMPORTANT: FAA and AC records directives and policies are based on public law and always supersede internal ISO and/or QMS process controls and activity, in regard to the AC Records Management Program. Reference 44 U.S.C. §3102.

4) Conducting an annual review of all file stations and Official Files Lists (OFL).

5) Approval of OFLs. A copy of the approved OFL will be provided to the AC Records Management Program Officer.

6) Reviewing new/revised/proposed records schedules prior to submission to the AC Records Management Program Officer.

7) Submitting the annual Vital Records Inventory Report for their organizations to the AC Records Management Program Officer.

8) Assuring the preparation of records requests and boxes for records transferred to or retrieved from the FRC are in accordance with the policies and procedures prescribed by the FAA Records Management Program. Standard Form 135 (SF 135), Records Transmittal and Receipt, will be reviewed and forwarded to the AC Records Management Program Officer for approval. Optional Form 11 (OF 11), Reference Request, recalling vital records or permanently recalling records, shall be coordinated with the AC Records Management Program Officer.

9) Providing technical advice and assistance to program directors, program managers, management staff, Files Custodians, and employees in their organization to facilitate the establishment, maintenance, and disposition of records.

e. **Program Managers/Division Managers and Supervisors** shall:

1) Designate one or more Files Custodians for their respective area to coordinate the office's records management activities with their organizational records coordinator.

2) Ensure that their employees receive basic records management training and guidance.

3) Ensure that employees create and maintain records documenting the office's program and administrative activities.

4) Work with the files custodian to make sure that all the office records for their respective programs/areas are listed in the OFL and are described accurately in accordance with the agency records schedule.

5) Review the OFL for their program/area on an annual basis.

6) Remind employees to not mix personal papers and non-record materials with Federal records and to not remove records from the office without proper authorization.

7) Implement procedures to prevent exiting/departing employees from destroying records or removing records from the agency's custody.

8) Ensure that the files custodian follows the agency records schedule in carrying out the disposition of the office records.

9) Cooperate with the files custodian, the records coordinator, and the AC Records Management Program Officer in efforts to promote and evaluate the office's records management activities.

f. **Files Custodians** in offices comprising the official file station network shall:

1) Have assigned responsibility within their particular office/area for records management matters and comply with guidance issued by the AC Records Management Program Officer and the organizational records coordinator.

2) Classify and file information in accordance with Order 0000.1 series, FAA Standard Subject Classification Code System.

3) Ensure that all of the office's records are listed in the OFL and are described accurately in the agency's records schedule. Consults the organizational records coordinator for assistance.

4) Prepare and forward a new/revised OFL to their records coordinator for approval.

5) Submit new/revised/proposed records schedules to the AC Records Management Program Officer through their organizational records coordinator.

6) Maintain records in accordance with FAA Order 1350.14 series, Records Management, and Order 1350.15 series, Records Organization, Transfer, and Destruction Standards to ensure proper disposition of the office records, including:

(a) Systematic file cutoffs (breaks).

(b) The shipment of eligible temporary records to a Federal Records Center.

(c) The timely transfer of permanent records to the National Archives.

(d) The prompt disposal of temporary records when their retention periods expire.

(e) If a program official determines that certain records need to be retained longer than authorized by the agency records schedule, the organizational records coordinator should be contacted for appropriate action.

7) Protect and destroy Sensitive Unclassified Information (SUI) in accordance with the provisions of FAA Order 1600.75 series, Protecting Sensitive Unclassified Information (SUI.)

8) Protect and destroy Personally Identifiable Information (PII) and Privacy Act (PA) records in accordance with the provisions of FAA Order 1280.1 series, Protecting Privacy of Information About Individuals.

9) Assist management in reminding the staff to not mix personal papers and non-record materials with Federal records and to not remove records from the office without proper authorization.

10) Assist management in supporting internal procedures to prevent exiting/departing employees from destroying records or removing records from the agency's custody.

11) Cooperate with the organizational records coordinator and the AC Records Management Program Officer in periodic evaluations of the office records.

g. **Information Technology (IT) System Administrator/Manager**:

1) Serves as the person primarily responsible for managing an electronic information system.

2) Works with the AC Records Management Program Officer, organizational Records Coordinators, and others to ensure that the design and implementation of the system incorporates Federal and agency records management requirements.

h. **IT Web Manager**:

1) Serves as the person primarily responsible for technical management of the web pages within a component and assuring compliance with agency and local directives.

2) Works with the AC Records Management Program Officer, organizational Records Coordinators, and others to ensure that the web page managers and/or developers understand and adhere to Federal and agency records management requirements.

i. **Aeronautical Center Counsel (AMC-7)**:

1) Serves as the official responsible for providing legal advice and assistance to Center officials and employees.

2) Provides advice to the AC Records Management Program Officer and others regarding the legal value of the agency's records and the issue of public access to them.

j. **Office of Communications (AMC-5/ASW-5)**:

1) Serves as the official responsible for coordinating information being released to the public, such as news releases, media presentations, speeches, and/or appearances of Center representatives at public events and other situations. The official may be responsible for coordinating content of public web sites.

2) Works with the AC Records Management Program Officer to ensure release of information is in compliance with Federal and agency public affairs/communication directives.

k. **Aeronautical Center Privacy Program Officer (AMC-3)** coordinates with the AC Records Management Program Officer in matters pertaining to records management and the Privacy Act Program.

l. **Aeronautical Center Freedom of Information Act (FOIA) Program Coordinator (AMC-1)** consults with the AC Records Management Program Officer in matters pertaining to records management and the FOIA Program.

m. **The Office of Acquisition Services (AMQ)**, in coordination with AMC-3, shall assure that contracts for Government services clearly specify that all information received, created, or compiled by contractors (as employees of the Federal Government) for use of the Government is official Government record material and is, therefore, the property of the United States. Contracts shall also specify that such records shall be retained, transferred, and destroyed in accordance with the provisions of FAA Order 1350.15 series, Records Organization, Transfer, and Destruction Standards.

n. **Office of the Inspector General (OIG)**:

1) Serves as the official responsible for monitoring agency programs and operations to prevent and reduce waste and fraud and to improve agency management.

2) Coordinates with the AC Records Management Program Officer regarding any recordkeeping deficiencies identified during inspections and investigations at the Center.

o. **ISO/QMS Auditor** is a Center employee who is a designated representative tasked to conduct periodic audits within an organization to identify deficiencies, as they relate to internally established organizational business policies and processes, which may include, but is not limited to, records management.

p. **Federal and contract employees having responsibility for collecting, maintaining, using, or disseminating the following**:

1) **Systems of Records which contain Personally Identifiable Information (PII)** about individuals or groups of individuals shall comply with the provisions of the Privacy Act of 1974 as contained in FAA Order 1280.1A, Protecting Privacy of Information About Individuals.

2) **Sensitive Unclassified Information (SUI)** material shall comply with the provisions of FAA Order 1600.75, Protecting Sensitive Unclassified Information (SUI). This includes information with the following designations:

(a) **For Official Use Only (FOUO).** This is the primary designation given to SUI by the Department of Transportation (DOT) and FAA.

(b) **Sensitive Security Information (SSI).** This designation is unique to DOT and the Department of Homeland Security (DHS).

q. **All Federal and contract employees are required to**:

1) Recognize that office records are Government property and consist of recorded information (documentary materials) required by law or used to conduct agency business.

2) Preserve and protect all records for which they are responsible.

3) Obtain basic records management training and guidance from the office files custodian, organizational records coordinator or AC Records Management Program Officer.

4) Create and maintain records that document office activities.

5) Keep personal papers and nonrecord materials separate from Federal records.

6) Cooperate with, and facilitate, the activities of the office Files Custodian:

(a) To ensure that all office records are listed in the OFL and are described accurately in the agency's records schedule.

(b) In preparing eligible temporary records for shipment to the Federal Records Center for storage and transferring permanent records to the National Archives.

(c) In destroying records **only** as authorized in the agency's records schedule.

7) Avoid removing records from the office without proper authorization.

7. References:

a. FAA Order 1350.14 series, Records Management

b. FAA Order 1350.15 series, Records Organization, Transfer, and Destruction Standards

c. Disposition of Federal Records (36 CFR 1228)

d. Privacy Act of 1974 (5 U.S.C. §552a)

e. Freedom of Information Act (FOIA) (5 U.S.C. §552)

f. Paperwork Reduction Act of 1980 (44 U.S.C. Chapter 35)

g. National Archives and Records Administration Act of 1984 (Public Law 98-497, 44 U.S.C. Chapter 21)

h. E-Government Act of 2002 (Public Law 107-347, 44 U.S.C. §101)

8. Distribution. This policy shall be distributed to all employees at the Aeronautical Center.

Lindy Ritz
for Director, Aeronautical Center