



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

ORDER
AC 1350.24C

Effective Date:
03/21/17

SUBJ: Aeronautical Center Records Management Program

1. Purpose of This Order. This directive updates policy, responsibilities, and procedures for the Mike Monroney Aeronautical Center (MMAC) Records Management Program. This order will help ensure the Records Management Program and records owned by MMAC organizations are in compliance with National Archives and Records Administration (NARA) regulations, Federal Aviation Administration (FAA) National Policy, U. S. Department of Transportation (DOT) policies and guidelines, and best practices adopted by the MMAC.

2. Audience. AMC organizations at Aeronautical Center that create, maintain, disseminate, store, schedule, and destroy 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 1350.24B, dated 07/31/2008 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. Explanation of Policy Changes. This revision introduces Archives and Records Centers Information System procedures for electronic submission of records management artifacts, updates roles and responsibilities for records program management stakeholders, and changes references to reflect current national policy.

6. Definitions

a. Disposition is the action taken regarding Federal records after they are no longer needed in office space to conduct current business. Disposition is a comprehensive term that includes transfer and destruction. Records must not be disposed of prior to their authorized disposal date or retained beyond their disposal date. 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. 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).

b. Email records are communications that document the organization, functions, policies, decisions, procedures, and essential transactions of the agency as stipulated by the Federal Records Act (FRA) of 1950. Federal regulations require that these records must be stored, preserved, available for retrieval, and subject to appropriate approved disposition schedules. Email creators and recipients must determine whether a particular email is appropriate for record

preservation. For more information on email as a record, refer to [Electronic Records: Email](#).

c. Federal Records Centers (FRC) provide temporary storage of records covered by a NARA-approved records disposition schedule or the General Records Schedule (GRS) that are not eligible for disposal or transfer to the National Archives. Records stored at an FRC remain the legal custody of the creating agency.

d. Non-records are papers having no administrative, fiscal, legal or historical value. These include, but are not limited to, duplicate copies of material listed in Paragraphs 6.a. and 6.b.; reading files and papers of transitory value such as drafts or worksheets used solely for reference purposes; stocks of publications and library material; materials that do not contribute to and understanding of FAA operations or decision-making processes; and personal papers. These materials should be disposed of as soon as they have served their purpose and are no longer needed.

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

f. Official Files List (OFL). A document containing the Major Subject Classification, File Code, Title and Description, File Break, Filing/Storage Location, Protection, and Disposition Instructions 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.

g. Records include all books, papers, 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, procedures, operations, or other activities of the Government or because of the informational value in them.

(1) Documentary materials is a collective term for records, non-record materials, and personal papers that refers to all media containing recorded information, regardless of the nature of the media or the method(s) or circumstance(s) of recording.

(2) Regardless of physical form or characteristics indicates the medium may be paper, film, disk, or other physical type or form; and that the method of recording may be manual, mechanical, photographic, electronic, or any other combination of these or other technologies.

(3) Received means the acceptance or collection of documentary materials by Agency personnel in the course of official duties regardless of their origin.

(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.

h. Records Management are the activities involved with records creation, maintenance, use, and disposition in order to achieve adequate and proper documentation of the policies, transactions, and operations of the Federal Government.

i. Records Schedules describe Agency records, establishes a period for their retention by the Federal agency, and provides mandatory instructions for what to do with them when they are no longer needed for current Government business. There are two types of record schedules:

(1) General Records Schedules (GRS) issued by NARA. Use of the GRS is required to the greatest extent possible.

(2) SF 115, Request for Records Disposition Authority, that has been approved by NARA to authorize the disposition of Federal records specific to the FAA where special record retention, transfer, and disposition applies.

j. Record Series are derived from FAA Order 0000.1G consisting of documents or file units arranged according to a filing system or kept together as they relate to a particular subject or function or result from the same activity. These include records in any physical form.

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

7. Roles and Responsibilities.

a. The Aeronautical Center Director (AMC-001) has delegated authority for the Aeronautical Center Records Management Program to the Quality Systems & Business Resources Staff (AMC-003). This authority will not be re-delegated.

b. The Aeronautical Center Records Management Officer (AC RMO), Quality Systems & Business Resources Staff (AMC-003), has management and technical responsibility for directing the Aeronautical Center Records Management Program per standards established in FAA Order 1350 series. Responsibilities include:

(1) Coordinates program activities with the FAA Records Manager, IT Strategy, Policy, and Business Planning Division, ASP-100.

(2) Coordinates records management functions with the National Archives and Records Administration, Federal Records Centers, and other offices with records management responsibility and oversight.

(3) Coordinates records management functions with the Federal Aviation Administration Privacy Program Officer, Communications Officer, Freedom of Information Act (FOIA) Coordinator, Program Directors, Aeronautical Center Counsel, Information Technology (IT) managers, and other program officials.

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

(5) Ensures that each organization maintains records to document its program and administrative activities.

(6) Works with organizational Records Coordinators to ensure that all records from each office are listed in the Official Files List and described accurately in the agency's records schedule.

(7) Assists OPRs with the creation, submission, and approval of SF 115, Request for Records Disposition Authority.

(8) Serves as Archives and Records Centers Information System (ARCIS) administrator. Establishes user accounts for Record Coordinators and Assistant Coordinators. Approves records transfers and reference requests in ARCIS. Periodically monitors ARCIS to ensure record management functions are appropriately updated in the system.

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

(10) Ensures Records Coordinators and Files Custodians are properly trained in accordance with FAA requirements.

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

(12) Conducts periodic evaluations of records management activities within all AMC organizations to ensure program compliance. Documents discrepancies and/or deficiencies for remedial action. Ensures remedial actions are corrected.

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

(14) Coordinates with the Office of Facility Management (AMP) to establish and update the Vital Records Program.

(15) Reviews and requests update, if needed, of Records Coordinators and Files Custodian delegation memorandums annually.

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

(1) Delegate a primary and alternate Records Coordinator to serve as organizational liaisons to the Aeronautical Center Records Management Officer. This authority cannot be re-delegated. Delegations will be documented in an official memorandum with the names, routing symbols, and telephone numbers of delegates, and forwarded to the AC RMO.

(2) Ensure 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 or other limitations. The required safeguards of the records will be considered when selecting alternate storage locations, which includes but is not limited to, physical access, security constraints, and safety.

(4) Ensure that all employees are made aware of their responsibilities for maintaining and safeguarding records as identified in paragraph 7.q. of this Order.

d. Records Coordinators serve as primary organizational liaisons to the AC RMO and the records management point of contact for employees within their organizations. The Records Coordinator must:

(1) Develop internal policy and procedures for maintaining records. Internal policy may include using International Organization for Standardization (ISO) or Quality Management System (QMS) processes.

***IMPORTANT:** FAA and Aeronautical Center records policies are based on public law and always supersede internal ISO and/or QMS process controls and activity. Reference 44 U.S.C. §3102.*

(2) Conduct an annual review of all organizational OFL(s).

(3) Provide all organizational OFLs to the AC RMO annually.

(4) Assist OPRs with the creation or revision of proposed records schedules on Request for Records Disposition Authority (SF 115). Draft requests will be submitted to the AC RMO.

(5) Consolidate the Vital Records Inventory (FAA Form 1350-15) for their respective organization into one document. Ensures Emergency Operating Records (AC Form 1350-12) and Vital Rights and Interest Records (AC Form 1350-13) are completed for each applicable vital record. Submit current Vital Records Inventory to the AC RMO annually.

(6) Activate ARCIS account. Records Transmittal and Receipt (SF 135) and Reference Request (OF 11) will be submitted to the AC RMO for approval via ARCIS.

(7) Ensure boxes for records transferred to or retrieved from the FRC are in accordance with the policies and procedures prescribed by NARA and the FAA Records Management Program.

(8) Coordinates with organization program/division managers, supervisors, and file custodians to ensure all organization records that are destroyed on site are properly disposed of and their destruction is documented on DOT Form 1324.2, Records Destruction Form.

(9) Provide technical advice and assistance to program directors, program managers, management staff, files custodians, and employees in their organization to facilitate the preservation, maintenance, and disposition of records.

e. Program Managers/Division Managers and Supervisors must:

(1) Delegate one or more files custodians for their respective area to coordinate the office's records management activities with their organizational records coordinator. Delegations will be documented in an official memorandum with the names, routing symbols, and telephone numbers of delegates, and forwarded to the AC RMO.

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

(3) Ensure employees create and maintain records documenting office programs and administrative activities.

(4) Work with file custodians to ensure office records for respective programs listed in the OFL are described accurately with the agency records schedule.

(5) Review program/area OFL(s) annually.

(6) Brief employees not to mix personal papers and non-record materials with Federal records. Ensure records are not removed from the office without proper authorization.

(7) Implement procedures to prevent departing employees from destroying records or removing records from agency custody.

(8) Ensure file custodians follow agency record schedules in the disposition of office records.

(9) Ensure all division and program records destroyed on site are properly disposed of and their destruction is documented on DOT Form 1324.2, Records Destruction Form.

(10) Cooperate with the AC RMO to evaluate and promote internal office record management activities.

(11) Create or revise, as necessary, draft copies of Request for Records Disposition Authority (SF 115). Coordinate with organization records coordinator SF 115 process. Submit SF 115 to AC RMO for agency coordination and approval.

f. File Custodians are responsible for their particular area/office file station. In carrying out these responsibilities, custodians must:

(1) Comply with and implement guidance issued by the organization records coordinator and the AC RMO.

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

(3) Ensure all office records are listed on the OFL(s).

(4) Prepare and forward a new/revised OFL annually to the records coordinator.

(5) Maintain records in accordance with FAA Order 1350 series and this order to ensure proper disposition of the office records, including:

(a) Systematic file cutoffs (breaks).

(b) Shipment of eligible records to a Federal Records Center.

(c) Proper disposal of locally retained temporary records when their retention periods expire and their destruction is documented on DOT form 1324.2, Records Destruction Form.

(d) Coordinate signatures for disposition on Notice of Eligibility to Destroy Records, NA Form 13001 and return to AC RMO by established action date.

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

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

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

(8) Cooperate with the organization records coordinator and AC RMO in periodic evaluations of office records.

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

(1) Serves as the person primarily responsible for managing electronic information systems.

(2) Works with the AC RMO, organization records coordinator, and others to ensure design and implementation of information systems include Federal and agency records management requirements.

h. IT Web Manager:

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

(2) Works with the AC RMO, organization records coordinator, and others to ensure web managers and developers understand and adhere to Federal and agency records management requirements.

i. Aeronautical Central Regional Counsel (AMC-007):

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

(2) Provides program assistance to the AC RMO and others regarding the legal value, requirements, and potential for public access of records.

j. Office of Communications (AMC-005/ASW-5):

(1) The Office of Communications is responsible for the policy, direction, and management of the agency's communications programs for the news media and FAA's employees nationwide. Works closely with FAA's lines of business and staff offices to provide timely, accurate information on FAA programs and activities under FAA's four main strategic goals: Safety, Capacity, International Leadership, and Organizational Excellence

(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. FAA Privacy Program Coordinator coordinates with the AC RMO in matters pertaining to records management and the Privacy Program.

l. Aeronautical Center Freedom of Information Act (FOIA) Program Coordinator (AMC-3) coordinates with the AC RMO in matters pertaining to records management and the FOIA Program.

m. The Aeronautical Center Acquisition Services Divisions (AAQ-700 & AAQ-800), in coordination with AMC-3, shall ensure that contracts for services performed for the Government clearly specify that all information received, created, or compiled by contractors for use of the Government is official Government record material and is, therefore, the property of the United States. In accordance with Acquisition Management System Guidance T3.13.1A7, such records shall be retained, transferred, and destroyed in accordance with the provisions of FAA Order 1350.14 series, Records Management.

n. Office of the Inspector General (OIG):

(1) Serves as the official responsible for monitoring and improving agency operations and programs by preventing waste and/or fraud.

(2) Coordinates with the AC RMO regarding recordkeeping deficiencies identified during inspections and investigations at the Aeronautical 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. Employees having responsibility for collecting, maintaining, using, or disseminating the following:

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

(2) *Sensitive Unclassified Information (SUI)* material will 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 Aeronautical Center employees must:

(1) Recognize office records are Government property and consist of 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 organization's records coordinator, file custodian, or AC RMO.

(4) Create and maintain records that document office activities.

(5) Keep personal papers and non-record materials separate from official records.

(6) Cooperate with and facilitate the activities of the organization file custodian:

(a) Ensure office records are listed in the OFL.

(b) Prepare eligible temporary records for shipment to the Federal Records Center for storage.

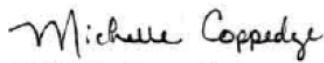
(c) Destroy only records authorized by the General Record Schedule or NARA-approved SF 115.

(7) Remove records from office files with proper authorization only.

8. References:

- a. FAA Order 0000.1G, FAA Standard Subject Classification System
- b. FAA Order 1350.14 series, Records Management and related publications in Appendix B of the Order
- c. FAA Order 1600.75 series, Protecting Sensitive Unclassified Information (SUI)
- d. FAA Acquisition Management System (AMS) Policy & Guidance
- e. Electronic Records: FAA Email Guidance: <http://faa.gov/about/initiatives/records/faq/email>

9. Distribution. This policy will be distributed to all employees at the Aeronautical Center.



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