



U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
National Policy

**ORDER
3370.5A**

Effective Date:
06/23/10

SUBJ: Employee Clearance Procedures

1. **Purpose of This Order.** This order provides FAA-wide policy and procedures for the employee clearance process. This policy governs such processes as the surrender of accountable items, termination of access to facilities and automated systems, cancellation of credentials, settlement of financial obligations, etc.
2. **Audience.** This order applies to all FAA employees, excluding contractor personnel.
3. **Where Can I Find This Order.** You can find this order on the MyFAA Web site: https://employees.faa.gov/tools_resources/orders_notices/ and: https://employees.faa.gov/org/staffoffices/ahr/program_policies/exiting_employee/
4. **Cancellation.** This order cancels and supersedes FAA Order 3370.5 dated 11/05/08, as well as any regional, center, or local orders on clearance procedures and all previous editions of clearance forms.
5. **Privacy Statement.** Solicitation of this information is authorized by Federal Law. The information you furnish will be used to verify compliance with the FAA employee exit and clearance process by identifying records properly associated with your period of employment in the FAA, to obtain additional information if necessary, and to maintain a unique identifiable file. The information may be shared with law enforcement agencies when they are investigating a violation or potential violation of civil or criminal law. Executive Order 9397 (November 22, 1943) authorizes use of the Social Security Number. The Government may use your number in collecting and reporting amounts that you owe the Government.
6. **Explanation of Changes.** This order updates and clarifies FAA-wide policy and procedures and identifies the Office of Human Resource Management (AHR) as the office of principal responsibility to review compliance with support from management officials, finance, security, contracting, logistics, and general counsel. This order defines roles and responsibilities for the employee clearance process and implements a standardized employee clearance process using a locally modifiable corporate form (Employee Clearance Form (Form 3370-5/Appendix 1). Questions about this process should be directed to your local servicing Human Resources office.
7. **Scope.** This order applies to employees who are clearing due to the following:
 - a. Terminating/Resigning
 - b. Retiring
 - c. Transferring as an FAA employee from one FAA office to another FAA office or to another Government Agency

- d. Extended leave or absence
- e. Deceased

8. Objectives. This order centralizes and standardizes a process of internal controls so that FAA can:

- a. Reclaim any government property issued to separating employees
- b. Collect any financial debts owed to the government
- c. Recover any liabilities for the additional expenses of training, employment and/or transportation agreements owed by separating employees
- d. Remove access privileges to facilities and information systems

9. Policy. This clearance process shall be used to clear the employee's record so that the employee's final salary check and lump sum payment (or check in their next employing jurisdiction in the case of a transferring employee) may be issued. Separations should only be initiated with proper completion of the Employee Clearance Form (Appendix 1) and process.

10. Exceptions and Waivers. None. In the event that an employee departs without completing the clearance process, it is the responsibility of the front line manager to complete the form on the employee's behalf and so indicate.

11. Roles and Responsibilities. Lines of Business and Staff Offices with responsibilities listed on the Employee Clearance Form shall assume final authority for items within their areas of responsibility. Individuals who sign the Employee Clearance Form must meet the appropriate level of access requirements for systems, accountable items or security credentials.

a. Employee's Organization (e.g., Line of Business/Staff Office--Headquarters, Regional, Field, etc.)

(1) Front Line Manager of Record is responsible for: (Note: this responsibility is assigned to the Air Traffic Manager at Air Traffic Facilities, and may be redelegated as they see fit).

(a) Acting as or identifying a Clearance Coordinator

(b) Ensuring that the objectives of this order are met and that the Employee Clearance Form and process are formally completed no later than 30 days after employee's departure. Even though someone else within the office may be tasked to help the employee complete the process, the final responsibility rests with the front line manager. This includes ensuring that all items on the form are completed.

(c) Establishing internal office procedures to ensure proper Employee Clearance Form processing. In the case of transfer to another FAA office, both the losing and gaining offices will coordinate as to what items (badge, travel card, etc.) the employee may take to his/her new duty station.

(d) The handling of identification badges when employee is not near a Servicing Security Element (SSE):

(e) When the employee is not co-located or within local driving distance of their assigned SSE, then the employee's front line manager needs to collect the DOT/FAA ID Card and sign item 2 of Form FAA-3370-5 acknowledging that they have received the card. The front line manager is then responsible for mailing the DOT/FAA Card to their assigned SSE within one business day of receiving the card from the employee.

(f) Approving and releasing the separation action if the employee is leaving the agency (note: if transferring within the agency, gaining office initiates the personnel action).

(g) Ensuring that as the last step the clearance process is complete, and that the completed Employee Clearance Form is faxed to Miscellaneous Receipts and Accounts Receivable Branch (AMZ-350) for central retention immediately upon completion. The original must be kept in the originating office for a period of 6 years, 3 months. AMZ-350 will verify for any outstanding debts and ensure that the debts are collected when the final check is sent.

(h) Making reasonable determinations on appropriate clearance actions for employees going on extended leave or absence, e.g., lowering purchase and travel card limits, securing property, etc.

(i) Proper Disposition of Travel Cards:

1) The Agency Program Coordinator (APC) must be advised of all known transfers, separations, and retirements. Cardholders co-located with the APC will present the Employee Clearance Form in person and obtain the APC's signature in the appropriate block. Cardholders not co-located with the APC will either email or fax the form to the APC for signature. The APC will furnish a copy of the signed page to the Cardholder by email or fax.

2) A list of APCs is available on the Employee Web site at:
https://employees.faa.gov/tools_resources/travel/charge_card/media/AOPC.xls.

3) Transferring within the FAA – The Manager or Cardholder should advise the APC no later than two weeks before the effective transfer date. The APC of the transferring office will advise the APC of the gaining office of the change. Employees must check-in with their new APC to have their card transferred to the new APC's hierarchy.

4) Separations and Retirements - The Manager or Cardholder should immediately advise the APC of known separation or retirement dates, but no later than two weeks before the effective date. Travel during the employees' last two weeks or 30 days, whichever is greater, should be minimal. This allows enough time for all charges to post to the travel card account, travel vouchers to liquidate, and payment of the full balance before separation or retirement. The Cardholder must surrender the travel card to the APC during checkout. The APC should sign for the travel card and destroy the travel card in the Cardholder's presence, if possible. The APC must close the account in

the contract bank database. The Cardholder is responsible for payment of all undisputed charges made to the travel card.

(j) Proper Closeout of Purchase Card Bank Access:

1) The Agency Program Coordinator (APC) or Alternate APC must be advised of all known transfers, separations, and retirements. Employees co-located with the APC will present the Employee Clearance Form in person and obtain the APC's signature in the appropriate block. Employees not co-located with the APC will either email or fax the form to the APC for signature. The APC will furnish a signed copy to the employee by email or fax.

2) A list of APCs is available on the FAA Purchase Card website at:
<http://faapcard.amc.faa.gov/Documents/faapcs.doc>

3) Cardholders transferring within the FAA. Before transferring, cardholders shall coordinate with their new manager who will assess the need for a purchase card. If required, and the job is to a location FAA-wide, coordination with the National Purchase Coordinator (NPC), AJA-432, is required as the NPC will notify the contracted financial institution to make appropriate changes for the card transfer. The APC will notify the contracted financial institution to make appropriate changes for the card transfer.

4) If the acquiring manager determines no need for the transfer of the employee's purchase card, the cardholder shall surrender their purchase card to their APC. Cardholders not collocated with the APC shall surrender their purchase card to their current approving official. The approving official must notify the APC confirming all purchase card check out requirements have been met. All open transactions in the bank database must have both cardholder and approving official approvals completed before the APC will sign the clearance form.

5) Any remaining unused purchase card checks for closed/cancelled accounts shall have the check numbers recorded and the checks shredded. All valid written, unused, and lost/stolen check numbers shall be reported to the APC. The APC must close the cardholder account in the contract bank database. Purchase card files are to be retained in the approving official's office for a period of 6 years, 3 months when a cardholder is separated from FAA or retires.

6) Approving Officials, Reviewers and Other Users with Bank Access: the APC will remove or transfer bank access for other users as necessary.

7) Separations and Retirements - The Manager or Cardholder should immediately advise the APC of known separation or retirement dates, but no later than two weeks, before the effective date. Card purchases made during the employees' last two weeks or 30 days, whichever is greater, should be minimal. No checks should be written during the employees' last two weeks or 30 days prior to separation or retirement, whichever is greater, in order to allow sufficient time for all charges to post and be approved.

(k) Ensures that if employee leaving is the designated Property Custodian, property responsibilities are reassigned accordingly and property clearance is signed by appropriate level manager.

(l) Ensures that the employee performance summary and appraisal closeout was completed.

(2) *Employee* is responsible for:

(a) Notifying the front line manager at least two weeks prior to planned separation

(b) Completing the Employee Clearance Form and process, by any means necessary, to include walking form to pertinent offices, if needed. Note: failure to complete this process may delay the prompt payment by the government of any funds due to employee, to include a pension.

(c) Employees who work offsite must contact their front line manager or clearance coordinator for instructions on how to complete the process.

(3) *Clearance Coordinator (e.g., Administrative Officer)* is responsible for:

(a) Issuing the Employee Clearance Form to the employee

(b) Working with the front line manager and employee to identify the offices responsible for completing the Employee Clearance Form

(c) Assisting in the preparation and review of the Employee Clearance Form for the front line manager's signature

(d) Initiating the releasing personnel action if the employee is leaving the agency (note: if transferring within the agency, gaining office initiates the personnel action)

(4) *Timekeeper* is responsible for:

(a) Helping, if needed, to identify any leave discrepancies that must be resolved and communicating these to Payroll as early as possible.

(b) Ensuring that proper leave or leave without pay is recorded on the timecard if the employee has not completed the Employee Clearance Form and, or process

b. Financial (The Office of the Assistant Administrator for Financial Services) is responsible for: providing agency-wide policies and procedures for those aspects of the FAA clearance process that relate to internal controls, safeguarding assets and collecting of outstanding debts or advances.

c. Security (The Office of the Assistant Administrator for Security and Hazardous Materials) is responsible for:

(1) Providing agency-wide policies and procedures for those aspects of the FAA clearance process that relate to internal (facility, classified/sensitive unclassified information, communications security, identification media, and credentials) and;

(2) Personnel security (security clearances)

d. Regions and Center Operations (The Office of the Assistant Administrator for Region and Center Operations) is responsible for:

(1) Providing agency-wide policies and procedures for those aspects of the FAA clearance process that relate to facilities management, mobile devices, and Telecommunications for Headquarters and regions.

(2) The Miscellaneous Receipts and Accounts Receivable Branch (AMZ-350) will retain completed clearance forms for a period of 6 years, 3 months

e. The Air Traffic Organization is responsible for: providing agency-wide policies and procedures for those aspects of the FAA clearance process that relate to contracting, property and equipment, and telecommunications.

f. General Counsel (The Office of the Chief Counsel) is responsible for: Providing agency-wide policies and procedures for those aspects of the FAA clearance process that relate to post employment ethics. *(Not required for employees who are transferring to another FAA organization, federal agency, or on extended leave/absence or deceased.)*

g. Human Resources (The Office of the Assistant Administrator for Human Resource Management) is responsible for:

(1) Providing agency-wide policies and procedures for the standardized, centralized clearance process as well as those aspects of the FAA clearance process that relate to processing of the personnel actions.

(2) Following FAA FPPS Business Processes for separations and retirements.

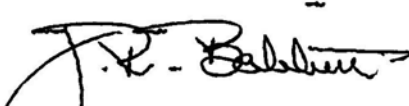
(3) Monitoring and evaluating the effectiveness of the FAA clearance process

(4) Implementing the FAA Separation Questionnaire that collects data on reasons why employees leave the FAA, as well as analysis and the preparation of reports.

(5) Assisting in the completion of the form by answering any questions, if needed.

h. Information Technology (The Office of the Assistant Administrator for Information Services) is responsible for: Providing agency-wide policies and procedures for those aspects of the FAA clearance process that relate to information security, access to systems, and protection of personally identifiable information, in accordance with Order 1370.82A, Information Systems Security Program.

12. Distribution. This order is distributed to all FAA employees, excluding contractor personnel.



J. Randolph Babbitt
Administrator

Appendix 1. Employee Clearance Form

Print Form

Employee Clearance Form



Part 1 Request for Clearance:

Frontline Manager bears the responsibility for ensuring that this form is completed and processed no later than 30 days after employee's departure.

(Note: this responsibility is assigned to the Air Traffic Manager at Air Traffic Facilities, and may be re delegated as they see fit)

Instructions for Clearance Coordinator or Equivalent:

Working as an agent for the employee's Frontline Manager, initiate this form at least 10 business days prior to an employee's separation. Advise the separating employee on local procedures for the clearance process. Ensure that the employee signs this form in Part II and that the form is faxed to AMZ-350 (405-954-5938) before the employee separates.

1. Name of Employee <input style="width: 95%;" type="text"/>	3. Date of Separation <input style="width: 95%;" type="text"/>
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4. Frontline Manager's Name and Org Code / Routing Symbol / Region <input style="width: 95%;" type="text"/>	5. Address to Send Final Check / Correspondence <input style="width: 95%;" type="text"/>
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6. Reason for Clearance

<input type="checkbox"/> Terminated / Resigning	<input type="checkbox"/> Transferring to Another Agency	<input type="checkbox"/> Retiring
<input type="checkbox"/> Extended Leave or Absence	<input type="checkbox"/> Deceased	<input type="checkbox"/> Move to Another FAA Location

7. Employee Participation
Did the Employee Participate in the Clearance Process? Yes No If No, Please Explain

8. Withhold final salary payment pending resolution of outstanding debts or unresolved property. Yes No

Frontline Manager's Certification I certify that the clearance process for the separating employee has been completed		Date	Telephone Number
Signature	Print Name		

Part II Instructions for Employees: (Refer to FAA Order 3370.5A for Privacy Statement information)
To avoid delays in final salary payments, this form must be completed and returned to your Clearance Coordinator or equivalent before you separate. **You must clear every item applicable to you and then sign the employee certification below.**

Employee Certification:
I certify that I have no Government property, computer software/hardware, keys, records or official documents, including classified material issued or furnished by the Federal Aviation Administration. I understand that the depreciated value of Government property charged to me may be withheld from monies due me if the loss, theft or damage to such property is determined by a Board of Survey and the Reviewing Official to be due to negligence or intent on my part.

Signature of Employee	Date
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Part III Unrecovered Property:

Instructions for the Clearance Official / Front Line Manager:
If any chargeable item listed in Part IV was not accounted for or returned, indicate the dollar value of the unaccounted item to be collected from the employee's final salary payments.

Item	Amount	Signature of Clearance Official	Print Name
Remarks			
Item			
Remarks			
Item			
Remarks			

Part IV Instructions for the Clearance Official:

Indicate clearance of chargeable items by signing your name, organization code and date in the appropriate blocks. Note in Part III the reason why any chargeable item was not accounted for or returned and indicate the dollar value of the unaccounted item that will be collected from the employee's final salary payments.

NOTE: All items must be cleared by checking the appropriate box.

Name of Employee _____

	Room	Cleared By: Signature and Organizational Code	Date	Cleared		
1. Physical Access Control Devices (keys, access cards, etc.)	<input type="checkbox"/>			<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
2. DOT / FAA Identification Badge	<input type="checkbox"/>			<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
3. DOT / FAA Credentials / Passport / Airport Badge	<input type="checkbox"/>			<input type="checkbox"/> Yes	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
4 DOT / FAA Parking / Vehicle Decal	<input type="checkbox"/>			<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
5. Washington / Regional Operation Command Center Access Control Devices	<input type="checkbox"/>			<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
6 Security Debriefing (For Secret / Top Secret SSE will provide a Security Termination Statement to be signed at departure. For TS / SCI & SAP contact AEO-300 10 days before departure.)	<input type="checkbox"/>			<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
7 Property Inventoried and Transferred (If Property Custodian)	<input type="checkbox"/>			<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
8 Voice Mail (Messages Cleared / Password reset)	<input type="checkbox"/>			<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
9 Transit Benefits (If applicable, mostly in Headquarters)	<input type="checkbox"/>			<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
10 Government Purchase Card (For Clearance Contact:) MMAC and Regions---AMQ-440 (405-954-7350) HQ---AJA-43 (202-267-8836) Tech Center---AJA-473 (609-485-4083 or 6747)	<input type="checkbox"/>			<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
11 Government Travel Card / Travel Advances (see link in paragraph 11,A,1 (H) of Order)	<input type="checkbox"/>			<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
12 Unfulfilled Service Agreement Training-Verified by Employee's Organization. Recruiting, Retention, Relocation can be Verified by HR Servicing Personnel Office.	<input type="checkbox"/>			<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
13 National Workers Compensation Office (718) 553-3171 (verify no unauthorized monetary benefit)	<input type="checkbox"/>			<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
14. Notify Local Helpdesks to Clear Access to Systems. (DELPHI, PRISM, GOVTRIP, LOTUS, etc.)	<input type="checkbox"/>			<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
15 Personally Charged Property (laptops, blackberries, cell phones, library items, tools, ste/crypto cards, GETS card, etc.)	<input type="checkbox"/>			<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
16. Research Subscriptions terminated (Gartner, Forester, Jeppesen, etc)-if paid by the FAA for the employee.	<input type="checkbox"/>			<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
17 Contracting (COTR) Responsibilities transferred. (if employee is a COTR)	<input type="checkbox"/>			<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
18 Post Employment Ethics Information (check with your AGC office) Not required if transferring to another FAA Org, Federal office, extended leave or absence, or deceased	<input type="checkbox"/>			<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
19 Employee Notified of On Line Separation Questionnaire at https://employees.faa.gov/org/staffoffices/ahr/program_policies/exiting_employee/	<input type="checkbox"/>			<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
20 Timekeeper - Ensure compliance with 11 a (4) of Order.	<input type="checkbox"/>			<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> N/A
21. Employee performance summary and appraisal closeout completed.	<input type="checkbox"/>			<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
22. Outstanding debts (travel advance, PCS, overpayments, other debts) Fax completed form to AMZ-350 (Misc. Rcts and Accts Recv) Fax # 405-954-8969. NOTE: Frontline manager should retain original, in a secure location, for a period of 6 years, 3 months.	<input type="checkbox"/>			<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A

FAA 3370-5 (04/10)

Previous editions are obsolete