



U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL AVIATION ADMINISTRATION

**ORDER  
1350.14B**

National Policy

Effective Date:  
12/24/13

**SUBJ:** Records Management

---

**1. Purpose of this Order.** This Order prescribes the requirements and responsibilities for conducting the agency's Records Management Program. This order will ensure that the Federal Aviation Administration (FAA) Records Management Program and records owned by the FAA are in compliance with applicable law, the National Archives and Records Administration (NARA) regulations, U.S. Department of Transportation (DOT) policies and guidance, and best practices adopted by the FAA. The purpose of this order is to also establish the FAA Records Management Manual, which will provide specific guidelines and procedures for management of FAA records, in both paper and electronic format, that was formerly contained in order 1350.14A.

**2. Who this Order affects.** This Order applies to all FAA Lines of Business (LOB), Staff Offices (SO), officials, employees, and contractors.

**3. Where Can I Find This Order?** This Order is located in electronic format on both the FAA's Intranet and Internet websites at the following links:

[https://employees.faa.gov/tools\\_resources/orders\\_notices](https://employees.faa.gov/tools_resources/orders_notices)

[http://www.faa.gov/regulations\\_policies/orders\\_notices](http://www.faa.gov/regulations_policies/orders_notices)

**4. This Order Cancels.** FAA Order 1350.14A Records Management, dated February 25, 1980, and FAA Order 1350.15C, dated August 29, 2001 are cancelled.

**5. Scope and Applicability.** This Order covers all records, regardless of physical form or characteristics, made or received by FAA under Federal law. It includes all records about the FAA's public business transactions that it preserves or might want to preserve as evidence of its organization, functions, policies, decisions, procedures, operations, or other activities.

**6. Background.**

**a.** The Federal Records Act (FRA) of 1950, as amended, requires all Federal agencies to make and preserve records containing adequate and proper documentation of their organization, function, policies, decisions, procedures, and essential transactions. These records are public property and must be managed according to all applicable laws. Records serve a number of purposes including: facilitating administrative and program planning; the continuation of key functions and activities in the event of an emergency or disaster; evidencing FAA activities; protecting legal and financial rights; enabling oversight by Congress and other authorized entities; and documenting FAA's history.

**b.** The FRA also requires agencies to establish a records management program, which will be a planned and coordinated set of policies and activities to manage its recorded information. Essential elements of the records management program include issuing up-to-date records management

directives, properly training those responsible for program implementation and maintenance, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency.

**7. Authority Requirements.** The following statutes, regulations, executive policy, and other stated best practice references govern the FAA Records Management Program.

- a. Freedom of Information Act (FOIA) of 1966 (5 U.S.C. § 552)
- b. Privacy Act of 1974 (5 U.S.C. § 552a)
- c. Paperwork Reduction Act of 1995, as amended (44 U.S.C. Chapter § 3501 et seq)
- d. Concealment, Removal, or Mutilation of Records (18 U.S.C. § 2071)
- e. National Archives and Records Administration (NARA), Records Management Regulations Code of Federal Regulations 36 CFR Chapter XII, Subchapter B  
<http://www.archives.gov/about/regulations/subchapter/b.html>
- f. General Services Administration (GSA) (Creation, Maintenance and Use of Records), 41 CFR Subchapter G, part 102–193
- g. Office of Management and Budget (OMB) Circular A-123 – Management’s Responsibility for Internal Control  
[http://www.whitehouse.gov/omb/circulars/a123/a123\\_rev.html](http://www.whitehouse.gov/omb/circulars/a123/a123_rev.html)
- h. OMB Circular A-130 – Management of Federal Information Resources  
<http://www.whitehouse.gov/omb/circulars/a130/a130trans4.html>
- i. International Standard to International Organization of Standardization (ISO) 15489-1:2001 – Information and documentation – Records Management – Part 1: General
- j. International Standard ISO/TR 15489-2:2001 – Information and documentation – Records Management – Part 2: Guidelines
- k. OMB Directive – Managing Government Records
- l. DOT Order 1351 – Chief Information Officer Policy
- m. DOT Order 1640.4D – Classified Information Management

**8. Definitions.** Glossary of Records Management Terms.

**a. National Archives and Records Administration (NARA):** The Federal agency responsible for appraising, accessioning, preserving, and making available Permanent Records and for issuing disposition authority for Temporary Records.

**b. Active Records:** Records necessary to conduct current FAA business and therefore stored onsite or otherwise kept readily accessible, physically or electronically.

**c. Disposition Instructions:** Directions for cutting off records and carrying out disposition actions in compliance with the applicable NARA-approved records retention schedule.

**d. Official Files List/File Plan:** A classification scheme that prescribes the description, arrangement, storage, retrieval, and ownership of hard copy records and electronic records.

**e. Temporary Records:** Records for which NARA has approved a finite (definite) retention period based on the length of time the records are needed for the Federal agency's administrative, legal, or fiscal purposes. Temporary Records do not have historical or other value warranting permanent (indefinite) preservation at the National Archives. Also referred to as disposable or non-permanent records.

**f. Permanent Records:** Records appraised by NARA as having sufficient historical or other value to warrant permanent preservation at the National Archives after they are no longer needed for FAA's administrative, legal, or fiscal purposes. Also referred to as archival or historical records.

**g. Records Manager (RM):** Manages the Records Management Program for the FAA. DOT Order 1328.1, "Records Management," refers to this position as Records Management Officer.

**h.** A comprehensive listing of terms can be found at: [Glossary of Records Management Terms](#)

**9. Explanation of changes.** The FAA Records Management Manual, in electronic format, will provide specific guidelines and detailed operating procedures for the management of FAA records that was formerly contained in Order 1350.14A.

**10. Policy.** This Order establishes specific requirements under which FAA records are to be effectively and efficiently managed throughout their life cycle. It helps the FAA accomplish its program and administrative missions, preserve official FAA records in accordance with applicable statutory law, and promote access to information by FAA staff, stakeholders, and the public, as appropriate.

**a. Records Creation:** Create and receive official records providing adequate and proper documentation and evidence of FAA's activities.

**b. Records Maintenance:** Manage all records, regardless of format, including electronic mail records in accordance with applicable law, regulations, DOT guidance, and best practices adopted by the FAA. Print and file those records that have archival value, document the history of decision making, or support program requirements in a paper recordkeeping file system when an enterprise-wide electronic content management system is not available. Official records are to be maintained in accordance with this Order and the FAA Records Management Program Manual.

**c. Records Disposition:** Maintain records in accordance with Order 0000.1G, "FAA Standard Subject Classification System," allowing for timely access and retrieval of records. Records will also be transferred and disposed of in accordance with their applicable records disposition schedule. Any

changes to approved records schedules will be coordinated by FAA RM with NARA.

**d. Records Safeguarding:** Secure records by access control, or lock and key to protect the legal and financial rights of the FAA and persons/entities affected by FAA activities.

**e. Vital Records:** Records that contain information necessary to re-establish the organizational operations and mission support in the event of an emergency or disaster. This includes information and records needed to rebuild FAA's legal and financial information base.

(1) Any record identified as vital must be secured in a manner that completely preserves and protects the integrity of the record. Examples of securing vital records include locking in fireproof file cabinets, safes, or other fireproof storage devices, using an offsite storage facility, and/or using an offsite data recovery/backup center.

(2) The FAA must ensure that methods to protect and safeguard the vital records from loss, misuse, and unauthorized access or modification are created and implemented in accordance with this Order. The FAA RM must develop and implement a plan, in coordination with FAA's Continuity of Operations (COOP) planners, to protect vital records and assess damage to and the recovery of any records affected by an emergency or disaster. The plan must include information and instructions to:

- (a) Identify vital records and prepare a vital records inventory.
- (b) Update vital records, as needed, and remove and destroy outdated copies.
- (c) Certify the inventory and send the certification through senior management to the FAA RM at least annually.
- (d) Participate in COOP exercises and tests and report results to management.
- (e) Identify records affected by a disaster, assess damage, and carry out appropriate recovery and salvage efforts.
- (f) Provide training, validation, and updating of the vital records and disaster recovery plans.

**f. Records Training/Staffing:** Ensure records training and staffing as necessary to ensure program compliance.

**g. Electronic Records (e-mail):**

(1) The purpose of this Order is to require the preservation of e-mail messages that document the organization, functions, policies, decisions, procedures, and essential transactions of the agency. E-mail message creators must decide whether a particular message is appropriate for preservation. In making these decisions, all personnel should exercise the same judgment they use when determining whether to retain and file paper records.

(2) Federal regulations require that these records must be properly stored and preserved,

available for retrieval, and subject to appropriate approved disposition schedules. Agency information may be either records or non-record personal materials; personal material is not subject to FAA's records disposition schedules. If an electronic mail message meets the definition of a record under the FRA, it is required to be retained in accordance with FAA records disposition schedules. Electronic mail messages also may constitute agency records under FOIA. If an electronic mail message is an agency record for FOIA purposes, it must be disclosed where responsive to a FOIA request, unless protected from disclosure under a FOIA exemption. Finally, an e-mail message whether a record or not, may be relevant to an ongoing litigation and subject to retention and production for litigation beyond any normal record retention period.

(3) In accordance with 36 CFR, chapter 1222, subpart 38, the type of e-mail records that are to be preserved are:

(a) Records that document the formulation and execution of basic policies and decisions and the taking of necessary actions.

(b) Records that document important meetings.

(c) Records that facilitate action by agency officials and their successors in office.

(d) Records that make possible a proper scrutiny by the Congress or other duly authorized agencies of the Government.

(e) Records that protect the financial, legal, and other rights of the Government and of persons directly affected by the Government's actions.

(4) As with paper records, electronic mail messages that constitute government records **must not be removed except for conducting FAA official business**. Additionally, electronic mail messages that are records under the FRA or that are the subject of a FOIA request received by the agency must not be destroyed except as authorized in a NARA approved records disposition schedule. Finally, an Email message subject to a litigation hold may not be destroyed except as authorized by the Office of the Chief Counsel.

## **11. Roles and Responsibilities.**

**a. The FAA Administrator**, in accordance with 44 U.S.C. 3102, is responsible for establishing and maintaining an active, continuing program for the economical and efficient management of the records of the agency. This program must make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, operations, or other activities of the FAA. These records must be designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities. Additionally, the Administrator has responsibility for ensuring the FAA vital records inventory is current and complete. This responsibility has been delegated to the Deputy Assistant Administrator for Information Services and Chief Information Officer (CIO).

**b. The Deputy Assistant Administrator for Information Services and Chief Information Officer (CIO) is responsible for:**

- (1) Establishing the Records Management Program within FAA that is consistent with this Order.
- (2) Designating an Office of Primary Responsibility (OPR) to be responsible for implementation of a Records Management Program within the FAA in accordance with Order.

**c. The Director, Office of IT Enterprise Services is responsible for:**

- (1) Being the OPR, as designated by the CIO, for implementing the agency's Records Management Program that is consistent with this order and with all applicable Federal laws and regulations.
- (2) Providing leadership, planning, overall policy/guidance, and oversight of the FAA Records Management Program in FAA, while incorporating it into the broader information resources management framework.
- (3) Forwarding Letter of Delegation (**Appendix A**) and changes to the FAA RM appointee to the Departmental Records Management Officer (DRMO) to implement Records Management Program policies and procedures for the FAA.
- (4) Ensuring that the FAA RM communicates records management policies, procedures, and guidance that are consistent with applicable law, regulations, DOT guidance, and best practices adopted by the FAA.
- (5) Ensuring that the FAA RM appraises senior FAA officials of their records management responsibilities via tailored, role-based training.
- (6) Conducting periodic evaluations of the effectiveness and efficiency of the Records Management Program as part of FAA's information resource management review and oversight program.
- (7) Overseeing the implementation and delivery of records management training and support to FAA records management personnel and FAA's workforce.
- (8) Ensuring that Records Management Program principles are included in the design of new information technology infrastructure and systems.
- (9) Assisting in planning and implementing information management technology and reviewing the purchase of records management equipment and services to ensure they conform to all Federal statutory, regulatory, and DOT and FAA records management requirements.
- (10) Developing and issuing agency-wide standards for an effective vital records program.
- (11) Providing advice and assistance on vital records management to heads of offices, services, regions, and centers.

(12) Coordinating the overall vital records program and evaluating program effectiveness.

**d. Heads of FAA Lines of Business (LOB) and Staff Offices (SO) are responsible for:**

(1) As appropriate, designating a Records Management Officer (RMO) to oversee the Records Management Program within their respective LOB/SO.

(2) Submitting a Letter of Delegation for the RMO, signed by appropriate manager, with a copy forwarded to the FAA Records Manager (FAA RM).

(3) Ensuring that the RMO has adequate skills, resources, and time to perform the functions associated with this position.

(4) Ensuring that all managers and staff within their organizations receive regular records management briefings and/or training.

(5) Developing, in coordination with the FAA RM, and disseminating directives and operating procedures, as needed, to supplement FAA-wide policy to meet the unique and/or local requirements of their Records Management Program for their LOB/SO.

(6) Ensuring their organizations utilize the most responsive and cost-effective means for managing the program.

(7) Delegating the authority to the appropriate Program Managers to appoint Records Coordinators (RC) and File Custodians (FC) to effectively administer the Records Management Program throughout their LOB/SO.

(8) Ensuring Program Managers delegate RCs and FCs by memo, with a copy of the delegating memo forwarded to their respective RMO.

(9) Ensuring a program is implemented to select, inventory, identify, pack, and ship copies of vital records to protective areas. The LOB/SO will provide a copy of their vital records inventory to the FAA RC and a copy to their respective Emergency Operations Facility.

(10) Implementing a vital records plan to ensure the continuation of key functions and activities in the event of an emergency or disaster.

(11) Ensuring that the vital records selected are adequate to meet operational needs in an emergency situation.

(12) Ensuring maintenance is provided to stored records at protective areas before, during, and after an emergency.

(13) Arranging for the update of vital records on a recurrent basis and maintain a master list or index of all records placed in protective storage.

**e. The FAA Records Manager (FAA RM) is responsible for:**

- (1) Developing and implementing records management procedures, guidance, and training that are consistent with this Order and established records management practices.
- (2) Serving as the Records Management Program liaison between the FAA and the DOT for all matters pertaining to the Records Management Program.
- (3) Submitting RM program documents to the DRMO for coordination prior to issuance.
- (4) Serving as the FAA's primary point of contact with outside government agencies to include NARA, OMB, and GSA for Records Management Program issues, and disseminating RM program information from those entities to FAA Records Management Program staff.
- (5) Providing leadership, program guidance, and technical advice to assigned records management personnel throughout the FAA.
- (6) Conducting and coordinating a periodic review cycle, and updating of this Order when necessary, in accordance with FAA Order 1320.1, Directives Management.
- (7) Conducting periodic evaluations of the Records Management Program throughout the FAA to determine their effectiveness, responsiveness, and compliance with this Order.
- (8) Assisting LOB/SO to incorporate records management requirements into information technology systems development and enhancements.
- (9) Delivering and making accessible to all FAA organizations, RM training on establishing and maintaining an effective Records Management Program.
- (10) Approving all SF 115s, "Request for Records Disposition Authority" for all official FAA records prior to submission to DOT and NARA.
- (11) Providing consultation to FAA LOB/SO when developing additional organizational guidelines, instructions, or procedures that supplement this order.
- (12) Establishing and managing FAA's Records Management Review and Oversight Program.

**f. The FAA Records Coordinator (FAA RC) is responsible for:**

- (1) Managing the FAA Vital Records Program.
- (2) Ensuring the Vital Records Program meets Federal and FAA requirements.
- (3) Developing agency-wide vital records procedures.
- (4) Conducting training and outreach activities.
- (5) Reviewing lists of vital records submitted by LOB/SO and maintaining a consolidated list of all FAA vital records.



(6) Ensuring that all forms SF 258, "Agreement to Transfer to the National Archives," and NA 13001, "Notice of Eligibility for Disposal," are coordinated with the RMO of the program area owning records, prior to returning to NARA for disposition of subject records.

(7) Ensuring that all FAA records that are destroyed on site are properly disposed of, and its destruction date is documented on DOT form 1324.2, "Records Destruction Form."

(8) Ensuring that all FAA official records are transferred to, or stored only at NARA-compliant records storage facilities.

(9) Approving all SF 115s, "Request for Records Disposition Authority" for all official FAA records prior to submission to NARA in the absence of the FAA RM.

(10) Working with the Privacy Office to ensure correct records disposition is applied correctly on all privacy documents requiring disposition.

(11) Maintaining a current listing of all FAA Records Management Program contacts.

(12) Ensuring the FAA RM is provided with a Vital Records Inventory Report annually.

**g. The Records Management Officer (RMO) in each LOB/SO is responsible for:**

(1) Serving as the records management program liaison between his/her program area(s) and the FAA RM on matters pertaining to the FAA Records Management Program.

(2) Establishing and maintaining their LOB/SO Records Management Program, consistent with the law, regulations, DOT guidance, and best practices adopted by the FAA.

(3) Maintaining a current listing of Records Coordinators (RC) and File Custodians (FC) within their LOB/SOs and forwarding a copy of the listing and changes made to the listing to the FAA RC.

(4) Assisting RC and FC with implementing their LOB/SO records management program and periodically assessing its compliance with records management policy and procedures.

(5) Assisting RC and FC with developing file plans and implementing procedures.

(6) In accordance with approved records disposition instructions, assisting with the transfer of temporary or permanent records and performing other records disposition activities as required.

(7) Periodically reviewing records against their approved records schedules to ensure schedules are current; and preparing forms SF 115, "Request for Records Disposition Authority," for submission to the FAA RM when new records are created and/or when changes are necessary to existing record schedules.

(8) Ensuring that sensitive and classified records are protected according to all Federal, DOT, and FAA requirements.

(9) Coordinating the identification and maintenance of vital records within their program area(s), and submitting an updated listing of those vital records to the FAA RC on an annual basis.

(10) Maintaining, or having access to, records documenting the approved retirement, transfer, or destruction of all records within their program area(s).

(11) Completing records management training, as needed, to keep current on new regulatory policies, procedures, and best practices used within the records management field.

(12) Consulting with appropriate program managers for the disposition of records eligible for either transfer to the National Archives or destruction, and forwarding status of records to the FAA RC.

(13) Ensuring that all FAA records that are destroyed on site are properly destroyed, and their destruction date is documented on DOT Form 1324.2, "Records Destruction Form."

(14) Ensuring that all FAA official records are transferred to, or stored only at NARA-compliant records storage facilities.

(15) Consulting with their Privacy Manager to ensure records management coordination on the Privacy Impact Assessment form, System Disposal Assessment form, and Privacy Threshold Assessment form prior to submission to the FAA Privacy Office.

(16) Responding to all data calls from the FAA RM for information concerning records maintained by their organization.

(17) Assisting in the development of COOP plans for redundant or alternate operations to ensure access to vital records during emergency situations.

(18) Ensuring vital records are identified and maintained in accordance with established Vital Records Program requirements.

(19) Working with program staff and FAA's agency and regional emergency coordinators to assess possible threats and risks to determine the level of protection or response that may be required.

(20) Working with program staff and FAA's Agency and regional emergency coordinators to develop an action plan for protection of vital records and systematically reviewing and testing the plan at least annually.

(21) Preparing and updating the list of vital records and how they are protected.

(22) Annually submitting the list of vital records to the FAA vital records coordinator, certifying that the list has been reviewed and updated.

(23) Transferring and replacing copies of vital records as documented in the vital records inventory.

(24) Conducting or coordinating the performance of vital records briefings, training sessions, and validation tests.

**h. The Records Coordinator (RC) at the program level is responsible for:**

(1) Serving as the primary records management program liaison between his/her program area and his/her Records Management Officer (RMO).

(2) Establishing and maintaining their organization's Records Management Program.

(3) Maintaining a level of records management proficiency to effectively manage their LOB/SO Records Management Program.

(4) Reviewing official records against approved records schedules to ensure records are current and scheduled, and inform the RMO of the creation of new records.

(5) Maintaining a listing of FCs assigned to offices within their area of responsibility, and forwarding that listing to their RMO whenever changes occur.

(6) Ensuring that official records are filed in accordance with their applicable file plan.

(7) Preparing records, required documentation, and record boxes for transfer or retirement of official records.

(8) Disposing of records in accordance with applicable records disposition instructions.

(9) Responding to all data calls from his/her RMO for information concerning records maintained by his/her LOB/SO.

(10) Ensuring that inactive official records are transferred to, or stored only at NARA compliant records storage facilities. Maintaining 2 years of inactive records onsite is a sound records management practice.

(12) Filing and coding records in accordance with Order 0000.1G, "FAA Standard Subject Classification System."

(13) Coordinating the identification and maintenance of vital records and submitting an annual list of vital records to the RMO.

(14) Ensuring that all FAA records that are destroyed onsite are properly destroyed, and their destruction date is documented on DOT Form 1324.2, "Records Destruction Form."

**i. The File Custodian (FC) is responsible for:**

(1) Maintaining a level of records management proficiency to effectively manage his/her office files.

(2) Ensuring that official FAA records are filed in accordance with their applicable file plan.

(3) Preparing records, required documentation, and record boxes for transfer or retirement of official records.

(4) Filing and coding records in accordance with Order 0000.1G, "FAA Standard Subject Classification System."

(5) Ensuring that all FAA records that are destroyed onsite are properly destroyed, and their destruction date is documented on DOT Form 1324.2, "Records Destruction Form."

(6) Responding in a timely manner to all data calls from their RMO for information concerning records maintained by his/her office.

**j. The Office of the Chief Counsel is responsible for:**

(1) Advising appropriate FAA management officials, the FAA RM, and directly affected employees of the impact of litigation holds (aka legal hold) on their record management responsibilities.

(2) Providing legal advice, when necessary, to the FAA RM and appropriate management officials to assist them in determining which records are needed to provide adequate, proper documentation of FAA activities and in specifying appropriate dispositions for FAA records, including electronic mail.

(3) Providing legal advice, when necessary, on the interpretation of records management law, DOT guidance, and FAA requirements and policies.

(4) Providing guidance, when necessary, to administer litigation holds and other notifications required to represent the FAA in litigation.

(5) Providing legal support to the FAA RM and COOP planners in the creation of COOP Emergency Records Plans for the FAA.

(6) Providing legal advice, when necessary, on whether data maintained either in an automated or manual data system can be disclosed under applicable law and FAA requirements. Responsibility for any decision regarding the release of the records remains with the applicable program office.

**k. The Chief Privacy Officer is responsible for:** Assisting the FAA RM in formulating policy and supporting procedures to create, use, maintain, safeguard, and dispose of records containing Personally Identifiable Information (PII), regardless of the media (requirements are outlined in FAA Order 1280.1).

**1. Information Technology (IT) and System Managers are responsible for:**

(1) Working with the FAA RM and the RMO of the mission organization being supported to establish and update records schedules for electronic systems and electronic records in the LOB/SO they support.

(2) Assisting the RMO of the mission organization being supported in identifying the official office of record for the records being created.

(3) Assisting the RMO of the mission organization being supported to determine if the data being created is record or non-record material.

(4) In consultation with the RMO of the mission organization, applying appropriate disposition instructions for the records being created including the disposition of permanent records.

(5) Ensuring records management personnel are routinely consulted on the recordkeeping requirements of newly designed systems, or the retrofitting of other systems.

(6) Implementing systems to back up electronic records to safeguard against the loss of records due to equipment malfunction, deterioration of the record medium, or human error.

(7) Implementing proper recordkeeping procedures for existing information systems and ensuring recordkeeping requirements are included in proposed systems.

(8) Ensuring recordkeeping requirements are included in proposed systems designs.

(9) Ensuring that information systems that carry out electronic records management functions comply with NARA and FAA requirements for electronic recordkeeping systems.

(10) Maintaining electronic information systems in accordance with approved records schedules and NARA requirements.

(11) Working with their RMO and the FAA RC to transfer permanent records to the National Archives in accordance with NARA approved records schedules and requirements.

(12) Ensuring that Internet and Intranet postings, electronic mail (e-mail), and other electronic communication formats containing official records are managed, maintained, and disposed of in accordance with DOT and FAA recordkeeping requirements.

(13) Providing records management services to their customers in accordance with service level agreements.

(14) Requiring that all modifications, upgrades, and changes to existing systems comply with this Order.

**m. Contracting Officer's Representative is responsible for:**

(1) Working with Contracting Officers to ensure that contracts and agreements include recordkeeping clauses as outlined in NARA guidance.

(2) Coordinating with the FAA RC, and the appropriate RMO or RC, on transferring records from contractors to the FAA.

**n. All FAA Employees and Contractors are responsible for:**

(1) Creating and identifying records necessary to document the FAA's official activities and action, including those records generated by FAA contractors and grantees, in accordance with FAA recordkeeping requirements.

(2) Only destroying records in accordance with NARA approved records schedules and applicable litigation holds. **The removal of records is only authorized when conducting FAA official business.**

(3) Filing records in accordance with their file plan, for safe storage and efficient retrieval.

(4) Managing records in accordance with approved FAA policies and procedures.

(5) Maintaining personal papers and non-record materials separately from official FAA records.

(6) Implementing procedures to protect records in their possession from theft, loss, and unauthorized access.

(7) Storing or filing records in approved recordkeeping systems (if made available and authorized by management) to ensure that records are maintained safely and securely in accordance with NARA requirements.

(8) Retaining, transferring, or destroying records according to the applicable records retention schedule, unless a litigation hold applies to the record. Records must be approved prior to its destruction and documented on DOT Form 1324.2, "Records Destruction Form."

(9) Coordinating and cooperating with the FAA RM, FAA RC, RMO, RC and FC on all aspects of managing and administering records.

(10) Notifying the respective RMO, RC or FC of organizational or program changes that may require establishing new types of records, transferring or terminating records no longer required, or changing the retention time.

(11) Reporting to any Records Management Program personnel any unlawful or accidental removal, defacing, alteration, or destruction of FAA records.

(12) Knowing which appointed Records Management Program staff are assigned to their

program area.

## **12. COOP and Vital Records planners are responsible for:**

### **a. The Office of IT Enterprise Services:**

(1) Completing a COOP Emergency Records Plan for FAA's records, consistent with the requirements of DOT Order 1351.28, "Records Management," and FAA Order 1910.1 "Continuity of Operations Plan for Washington Headquarters."

(2) Providing training, advice, and assistance on vital records management to all FAA offices when required.

(3) Coordinating the overall vital records program and evaluating program effectiveness.

(4) Maintaining a complete inventory of vital records cover sheets as provided by FAA offices.

(5) Reviewing the vital records program regularly to address new security issues and identify problem areas.

(6) Determining requirements to share vital records at multiple sites.

(7) Developing and issuing agency-wide standards for an effective Vital Records Program.

(8) Providing advice and assistance on vital records management to heads of offices, services, regions, and centers.

(9) Coordinating the overall Vital Records Program and evaluate program effectiveness.

### **b. Heads of LOB/SO:**

(1) Establishing a continuing program to select, inventory, identify, pack, and ship copies of vital records to protective areas. The LOB/SOs will ship one copy to the FAA RC and one copy to their respective Emergency Operations Facility.

(2) Ensuring that the vital records selected are adequate to meet operational needs in an emergency situation.

(3) Providing maintenance of stored records at protective areas before, during, and after an emergency.

(4) Arranging to update vital records on a recurrent basis and maintain a master list or index of all records placed in protective storage.

(5) Providing the Office of IT Enterprise Services, AES-200, with a Vital Records Inventory Report annually in January.

**c. Emergency Operations Staff (ASH):**

(1) Providing and maintaining storage facilities at Emergency Operations Facilities and other suitable locations.

(2) Working with records management staff to implement the vital records plan to ensure the continuation of designated COOP essential functions.

(3) Ensuring that vital records are accessible from designated COOP locations.

(4) Assisting FAA LOB/SO offices and services on vital records protection matters.

**d. Records Management Officer (RMO).** RMOs are responsible for assisting their LOB/SO heads in carrying out the requirements of the Records Management and Vital Records Programs. Records Officers in the regions will assist in obtaining suitable storage areas for the protection of records at their relocation sites and at other locations.

**e. FOIA Program Manager.** The FOIA Program Manager will assist the FAA RM and program offices with guidance on the release of records under the FOIA. Order 1200.23, Public Availability of Information, provides additional guidance on the provisions of the FOIA Program.

**13. Dates.**

**a.** There must be an annual review of this Order to ensure it remains consistent with all applicable laws, regulations, DOT guidance, and FAA requirements.

**b.** The FAA RM reminds all employees and contractors annually concerning the FAA's procedures for identifying, scheduling, managing, and disposing of FAA records.

**c.** The FAA RM, with the assistance of the systems program manager, must create and submit a records disposition schedule to NARA not later than 1 year after identifying unscheduled records or implementing a new system.

**d.** All FAA offices are to make every effort to only transfer records during the months of February, May, August, and November to coincide with NARA's records destruction schedule in an effort to reduce NARA storage costs to the FAA.

**e.** On a biennial basis, all FAA offices are to conduct an inventory of records. Inventory results must be forwarded to the FAA RM and DOT DRMO.



#### **14. Mandatory Requirements**

**a.** All FAA offices must maintain a centralized filing system to facilitate the maintenance and disposition of official FAA records when an electronic recordkeeping system is not available, when space can accommodate one, and with management approval.

**b.** All FAA offices maintaining either an electronic or paper format centralized filing system are to ensure that a current file plan, FAA Form 1350-7, "Official Files List," is completed on an annual basis and filed with record holdings.

**c.** All paper format centralized filing system folders containing official FAA records must be filed in a subject file arrangement. In an effort to maintain consistency throughout the agency, folder labels (when practical) should include the minimum information:

- (1) Record series classification code
- (2) Current year
- (3) Subject series title
- (4) If applicable, cutoff date

Note: Medical and personnel records are exempt from this requirement.

**d.** All FAA offices, where feasible, should maintain 2 years of inactive records onsite in order to conduct their normal business activities when space and filing systems allow. All other inactive records are to be transferred for storage to a NARA compliant storage facility and/or properly disposed of in accordance with its applicable records disposition instructions.

**e.** All FAA offices will (must) conduct a biennial records inventory during the month of January.

**f.** All requests for a file code for unscheduled records must be accompanied by a completed SF 115, "Request for Disposition Authority."

#### **15. Compliance**

**a.** The Office of IT Enterprise Services must conduct annual strategic evaluations of the Records Management Program within select FAA operating units and notify the non-compliant organization and FAA CIO of areas of significant non-compliance. The report must include required corrective actions and a timetable for correction.

**b.** As part of DOT's Records Management Review and Oversight Program, DOT reserves the right to conduct periodic strategic evaluations of the Records Management Program within select Operating Administrations and LOBs and advise the Secretary or his/her designee of significant non-compliance.

**16. Waivers.** Requests for waivers to this Order must be provided to the FAA RM.

**17. Authority to change this Order:** The Office of IT Enterprise Services (the designated Office of Primary Responsibility for this Order) may issue changes to this Order necessary to implement and administer the Records Management Program. The FAA Administrator reserves the authority to issue changes that contain policy or assign responsibility.

**18. Distribution.** This Order is distributed to the office and service level in Washington Headquarters, and to the branch level in the Office of Aerospace Medicine (AAM), Aircraft Certification Service (AIR), Flight Standards Service (AFS), and to all RMOs, and limited distribution to all field offices and facilities.

**19. Additional information.** For further information about this Order, please contact the FAA Office of Information Services, Office of IT Enterprise Services.

A handwritten signature in black ink, appearing to read "Michael P. Huerta", with a circled number "1" at the end of the signature.

Michael P. Huerta  
Administrator

**Appendix A. Letter of Delegation**



Federal Aviation  
Administration

---

---

**Memorandum**

Date: [Type date here]

To: [Type your RMO or RC Name here]

From: [Type from whom here]

Subject: Delegation of [Type RMO, RC or Files Custodian, whichever is appropriate]

---

---

This memorandum delegates the following named individual as the Records Management Program liaison for the Office of [Type organization here] serving as its [Type job function here, i.e. Records Management Officer (RMO), Records Coordinator (RC) or Files Custodian (FC)].

Name [Type name here]

Phone # [Type phone # here]

Changes to appointee will be provided to the appropriate RMO or RC and the FAA RM.

## **Appendix B. Related Publications**

44 U.S.C. Chapter 31 – Records Management by Federal Agencies (Federal Records Act) [<http://www.archives.gov/about/laws/fed-agencies.html>]

44 U.S.C. Chapter 33 – Disposal of Records [<http://www.archives.gov/about/laws/disposal-of-records.html>]

44 U.S.C. Chapter 35 – Coordination of Federal Information Policy (Paperwork Reduction Act of 1980, as amended, Paperwork Reduction Reauthorization Act of 1995, and Government Paperwork Elimination Act) [<http://www.archives.gov/about/laws/fed-information-policy.html>]

National Archives and Records Administration (NARA), Records Management Regulations, 36 CFR Chapter XII, Subchapter B

General Services Administration (Creation, Maintenance and Use of Records), 41 CFR Subchapter G, part 102–193

Records Disposal Act of 1943 (44 U.S.C. 3301 et seq.) as amended

Federal Property and Administrative Services Act of 1949 (40 U.S.C.471 et seq.), as amended

National Archives and Records Administration (NARA), Records Management Regulations Code of Federal Regulations, Title 41, Part 101

Federal Emergency Management Agency (FEMA) Federal Preparedness Circular 65 - Federal Executive Branch Continuity of Operations (COOP)

Freedom of Information Act of 1966 (5 U.S.C. § 552)

Privacy Act of 1974 (5 U.S.C. § 552a)

Federal Records Act of 1950, as amended (44 U.S.C. § 21, 29, 31, 33, 35, and 36), as amended

Paperwork Reduction Act of 1995, as amended (44 U.S.C. Chapter § 3501 et seq)

Concealment, Removal, or Mutilation of Records (18 U.S.C. § 2071)

FAA Order 1280.1 -Protecting Personally Identifiable Information (PII)

**Appendix C. FAA Form 1320-19, Directives Feedback Information**



U.S. Department of Transportation  
**Federal Aviation Administration**

**Directive Feedback Information**

Please submit any written comments or recommendations for improving this directive, or suggest new items or subjects to be added to it. Also, if you find an error, please tell us about it.

Subject: 1350.14B, Records Management

To: Directive Management Officer, \_\_\_\_\_

*(Please check all appropriate line items)*

An error (procedural or typographical) has been noted in paragraph \_\_\_\_\_ on page \_\_\_\_\_ .

Recommend paragraph \_\_\_\_\_ on page \_\_\_\_\_ be changed as follows: *(attach separate sheet if necessary)*

In a future change to this directive, please include coverage on the following subject *(briefly describe what you want added)*:

Other comments:

I would like to discuss the above. Please contact me.

Submitted by: \_\_\_\_\_ Date: \_\_\_\_\_

FTS Telephone Number: \_\_\_\_\_ Routing Symbol: \_\_\_\_\_

FAA Form 1320-19 (8-89)