ORDER

1350.14A

(INCLUDES CHG. 2)

RECORDS MANAGEMENT

February 25, 1980

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

Distribution: A-W-3, A-XYZ-2, A-E-1, A-FAS-1, (LTD)
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A-FAT-0 (LTD), ZMS-322

Initiated By: AMS-410

RECORD OF CHANGES

DIRECTIVE NO. 1350.14A

CHANGE TO BASIC	SUPPLEMENT			OPTIONAL	CHANGE TO BASIC	SUPPLEMENTS			OPTIONAL
1				11/18/80					
2				8/15/84					

FAA Form 1320-5 (6-80) USE PREVIOUS EDITION

CHANGE

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

1350.14A CHG 1

11/18/80

Cancellation Date: Retain

SUBJ: RECORDS MANAGEMENT

1. PURPOSE. This change transmits a revised page to Chapter 9, Protection of Vital Records.

2. EXPLANATION. This revision changes copy requirements for vital records storage at the FAA Records Center Facility and other Emergency Operating Facilities. These copies will be sent to the FAA Record Center Facility. Previously one copy was provided.

PAGE CONTROL CHART

Remove Pages	Dated	Insert Pages	Dated
75	2/25/80	75	11/18/80
76	2/25/80	76	2/25/80

for BROOKS C. GOLDMAN
Director of Management Systems, AMS-1

Distribution: A-W-3, A-XYZ-2, A-E-1, A-FAS-1 (ltd) A-FFS-1, 2, 3, 4, 6, 7, A-FAF-2, 3, 4, 7 A-FAT-0 (ltd), ZMS-322

Initiated By: AMS-140

CHANGE

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

1350.14A CHG 2

8/15/84

SUBJ: RECORDS MANAGEMENT

1. PURPOSE. This change transmits a revised page to Chapter 1, The Records Management Program.

2. DISTRIBUTION. This change is distributed to the branch level in Washington, division level in the regions and centers, resident directors and limited distribution to Airport Field Offices, Aircraft Certification Offices, General Aviation District Offices, Air Carrier District Offices, Flight Inspection Field Offices, Airway Facilities Field Offices, Air Traffic Field Offices, and Records Officers.

3. EXPLANATION OF CHANGES. This change:

a. Cancels the requirement to submit the Annual Records Volume Report RIS: MS-1350-1. The General Services Administration (GSA), National Archives and Records Service (NARS), eliminated the Standard Forms (SF) 136 and 137, Annual Summary of Records Holding Report, effective immediately. Therefore, paragraph 11 has been withdrawn.

b. Includes the requirement to submit to the Office of Management Systems the name of each person designated as records officer and alternate records officer.

4. DISPOSITION OF TRANSMITTAL. After filing the attached pages, this change transmittal shoud be retained.

PAGE CONTROL CHART

Remove Pages	Dated	Insert Pages	Dated
iii and iv	2/25/80	iii	8/15/84
		iv	2/25/80
5 and 6	2/25/80	5	8/15/84
		6	2/25/80

E. T. Harris
Acting Director of Management Systems

Distribution: A-W-3; A-XYZ-2, A-E-1, A-FAS-(LTD), ZMS-322, A-FAC-0(LTD), A-FFS-1,2,4,7; A-FAF-0(LTD), A-FAT-0(LTD)

Initiated By: AMS-410

FOREWORD

This order prescribes the policy and legal requirements for the FAA Records Management Program, assigns program responsibility and provides standards for the organization, maintenance, use, and disposition of all agency records. The order provides: (1) statutory and regulatory limitations on the removal of papers by officials and personnel who resign, retire, or transfer to another agency; and (2) establishes a standard record system for all engineering and manufacturing certification records (hard copy and microforms).

Langhorne Bond
Administrator

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CHAPTER 1. THE RECORDS MANAGEMENT PROGRAM

1. PURPOSE. This chapter prescribes the authority, policy, objectives and legal requirements of the records management program; provides standards for the organization, maintenance, use and disposition of all agency records, and assigns program responsibility.

2. DISTRIBUTION. This order is distributed to the branch level in Washington headquarters, to the division level in the regions and centers and managers in the overseas area offices; limited distribution to all Airports District Offices; to the General Aviation District Offices, Air Carrier District Offices, Engineering Offices and Groups, Aircraft and Avionics Maintenance Bases, and Flight Standards District Offices; General National Airspace Systems Sectors, Air Route Traffic Control Center Sectors, Air Force Structures and Ground Groups and Field Maintenance Parties and Sector Field Offices, Sector Field Units, Sector Field Office Units; limited distribution to Air Traffic Field Offices and all records officers.

3. CANCELLATION. Order 1350.14, Records Management, 3/29/71.

4. EXPLANATION OF CHANGES. This revision:

a. Cancels the Paperwork Management Report, RIS: MS 1300-7, and the Vital Records Protection Status Reports, Parts I and II.

b. Provides statutory and regulatory limitations on the removal of papers by officials and personnel who resign, retire, or transfer to another agency.

c. Establishes procedures for the organization and control of engineering and manufacturing certification records (hard copy and microforms).

d. Updates referenced forms and the order in general.

e. Provides new procedures for the transfer and disposal of records.

5. DEFINITIONS.

a. Records Management. The term "records management" means the planning, controlling, directing, organizing, promoting and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition.

b. Records Material. All books, maps, photographs, papers, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government in pursuance of 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.

c. The term "records" includes not only paper documentation but also all other record media such as microfilm, sound recordings, magnetic tape, and all other machine-readable devices. All these records, regardless of how produced are subject to the disposition standards set forth in Order 1350.15A, Records Organization, Transfer and Destruction Standards.

d. Nonrecord Material. Papers having no administrative, fiscal, legal, or historical value are considered nonrecord material. These include, but are not limited to, stocks of publications, library material, duplicate papers of record material such as day files, reading files, etc., and papers of transitory value such as drafts, worksheets, informal notes, and route slips.

e. Disposal Authority. Authorizations obtained by the Records Management Officer, AMS-140, from the National Archives and Records Service (NARS), for the destruction or other disposition of records either immediately or after the lapse of a given period of time.

f. Disposal Schedule. A disposal schedule describes a group of records with reference to the nature and duration of their administrative, fiscal, legal, and historical value, and establishes, after approval by NARS, a retention period after which the records will be destroyed, or transferred to a Federal Records Center. (See FAA Order 1350.15A, Records Organization, Transfer and Destruction Standards.)

6. POLICY. It is the policy of the administration to ensure that its organization, functions, policies, procedures and financial transactions are adequately and properly documented by essential records, to protect the legal and financial rights of the Government and persons directly affected by the agency's activities, in accordance with statutory and regulatory requirements.

7. LEGAL REQUIREMENTS. The Records Disposal Act of 1943 (44 U.S.C. 3301 et seq.), as amended; the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 471 et seq.), as amended; and the Federal Records Act of 1950 (44 U.S.C. 471 et seq.), as amended contain the general principles controlling the management of Federal records. The Code of Federal Regulations, Title 41, Part 101, implements the laws pertaining to Federal records management. The Freedom of Information Act (5 U.S.C. 522) covers release of records to the public. The Privacy Act (5 U.S.C. 552) protects the rights, interests, and privacy of individuals.

8. OBJECTIVES. The objectives of the program are to:

a. Provide policy, standards, and effective controls over the creation, organization, maintenance, and use of agency records.

b. Provide standards for the preservation of records of continuing value, and the systematic disposal or transfer to storage areas or centers of all records of temporary value in accordance with applicable laws and regulations.

c. Simplify systems and procedures in each program element and effect cost savings.

9. GOVERNMENT OWNERSHIP OF RECORDS.

a. All information received, created, or compiled by the officers and employees of the Federal Government for the use of the Government is official Government record material and is, therefore, the property of the United States. No Federal officer or employee has by virtue of his position, any personal or property right to record material even though he may have helped develop or compile it.

b. The unlawful destruction, removal from files, and use of official records is prohibited by the U.S. Criminal Code (18 U.S.C. 2071).

c. For papers that may be removed by officials and personnel who resign or retire, see chapter 2.

10. RESPONSIBILITIES.

a. The Office of Management Systems is assigned the following responsibilities:

(1) Develop and implement agencywide records management policies, systems, standards, and procedures.

(2) Evaluate the records management program operations to promote management improvements and cost savings; and to determine program effectiveness.

(3) Provide technical advice and assistance to other offices responsible for the records management functions.

(4) Represent the agency through the National Archives and Records Service in obtaining approval for the disposal of records.

(5) Ensure compliance with statutory, regulatory, and Departmental requirements and standards.

(6) Represent the agency in contacts with national headquarters offices of the General Services Administration, General Accounting Office, and other organizations on matters pertaining to records management.

(7) Develop and administer systems for microfilm applications, services, and related equipment.

b. The Head of each Office and Service and, for the purpose of this order, the Director, Metropolitan Washington Airports is responsible for instituting records management activities to carry out program objectives and implementing the provisions of this order in his/her respective area. He/she will designate a qualified person to serve as records officer and

an alternate. They will assist in carrying out these general responsibilities and will be specifically responsible for:

(1) Preparing and submitting requests for new and revised disposal criteria to the Office of Management Systems for review and approval and National Archives and Records Service (NARS) final approval.

(2) Authorizing the transfer of records to and the retrieval of information or records from records storage areas.

(3) Preparing and submitting prescribed and special reports to the Office of Management Systems.

(4) Reviewing and approving requests for all filing equipment, copymaking equipment, and microphotographic service and/or equipment. (See chapter 6, paragraph 64.)

(5) Recommending designation of records coordinators, where deemed necessary, at various organizational levels to serve as focal points for guidance in records matters, and for helping in the implementation and maintenance of the agency records program.

c. Heads of Regions and Centers.

(1) The head of each region is responsible for instituting records management activities to carry out program objectives and implementing the provisions of this order within the area of his/her jurisdiction.

(2) The heads of the Aeronautical Center and NAFEC are responsible for instituting records management activities to carry out program objectives and implementing the provisions of this order at the centers and at any FAA tenant activities associated with the centers.

(3) The head of each region and center will designate a records officer and an alternate. They will assist in carrying out the general responsibilities of the program and will be specifically responsible for:

(a) Preparing and submitting requests for new and revised disposal criteria to the Office of Management Systems for review and approval and National Archives and Records Service (NARS) final approval.

(b) Authorizing and arranging for the transfer of records to and the retrieval of information or records from records storage areas.

(c) Preparing and submitting prescribed and special reports to the Office of Management Systems.

(d) Reviewing and approving requests for all filing equipment, copymaking equipment, and microphotographic service and/or equipment. (See chapter 6, paragraph 64.)

(e) Recommending designation of records coordinators, where deemed necessary, at various organizational levels to serve as focal points for guidance in records matters, and for helping in the implementation and maintenance of the agency records program.

(f) Representing the agency in contacts with local or area offices of the General Services Administration and other Governmental organizations on records management matters.

* 11. WITHDRAWN--CHG 2. *

12. CHANGES TO THIS ORDER. The Director of Management Systems may approve changes to this order except changes in policy, and assignment of responsibility after appropriate coordination.

* 13. DESIGNATION OF RECORDS OFFICERS. The name, office, routing symbol, and telephone number of each person designated as records officer and alternate records officer shall be reported by the head of each office, service, region, FAA Technical Center, and the Aeronautical Center to the Office of Management Systems, AMS-410. *

14.-19. RESERVED.

FIGURE 1. GUIDE FOR COMPUTATION OF RECORD VOLUME

GROUP A: By filing cabinet drawer and by shelf filing or lateral files (estimate to nearest degree of fullness)

	Cubic Feet			
	Full	3/4 Full	1/2 Full	1/4 Full
Filing cabinet drawer (24" deep)				
Letter size.....	1.5	1.125	.75	.375
Legal size.....	2.0	1.5	1.0	.5
Shelf file or Lateral files (36" wide).....				
Letter size.....	2.25	1.688	1.125	.563
Legal size.....	2.75	2.063	1.375	.688
Card file drawer (16" deep)				
For 5 x 3" cards.....	.133	.1	.066	.033
For 6 x 4" cards.....	.213	.166	.106	.054
For 8 x 5" cards.....	.333	.25	.166	.083
For 10 x 8" cards.....	.666	.5	.333	.166
Tabulating card drawer (27" deep).	.375	.281	.187	.094

GROUP B: By unit count--Estimate to nearest 1/2 unit

Cards by size.....	5 x 3"	4 x 6"	8 x 5"	10 x 8"
As used in visible files (Unit is 100 cards).....	.0083	.013	.021	.083
Plastic microfilm record card (Microfilm inserted into channels in card) (Unit is 100 cards)	.025	.04	.063	.245
Plastic microfilm record card (Microfilm cemented or fused to plastic) (Unit is 100 cards)	.0166	.025	.042	.166

3 ring binders, standard, as used for directives, notices, etc. (Unit full binder)

1" thickness .05 c.f. 2" thickness .1 c.f.

FIGURE 1. GUIDE FOR COMPUTATION OF RECORD VOLUME (Continued)

Maps, plans, drawings, etc. (maintained in map or plan cabinets, on hangers or in rolls). Unit is 100 times of each given size:

8 x 10 1/2"	.025 c.f.	28 x 40"	.3 c.f.
11 x 17"	.05	28 x 50"	.35
17 x 22"	.10	34 x 50"	.45
22 x 34"	.20	40 x 50"	.5
34 x 44"	.40		

Microfilm roll (35 mm) (unit 100 ft. roll)....085 cu. ft.
Magnetic tape (7 reels) .....1.0 cu. ft.

GROUP C: Other computations

Record shipment and storage boxes (14 3/4 X 12 X 9 1/2 inches).....1.0 cu.ft.

Outsized equipment ..... compute inside cubic measurements.

CHAPTER 2. REMOVAL OF PAPERS BY OFFICIALS AND PERSONNEL WHO RESIGN, RETIRE, OR TRANSFER TO ANOTHER AGENCY

20. GENERAL. This chapter summarizes the requirements of Federal law and related regulations governing the removal of papers by agency officials and personnel upon leaving the Federal Aviation Administration.

21. BACKGROUND. Records made in connection with the transaction of public business or pursuant to Federal law belong to the Federal Government and their disposition is governed by statues and by regulations. Records are disposed of in accordance with provisions of 44 U.S.C. Chapter 33. Government publications are public property and are disposed of in accordance with 44 U.S.C. 1720. Strictly personal and private documents are exempt from any of these provisions and may be removed.

22. PERSONAL PAPERS. There is no precise definition of the term "personal papers" given in law or regulations. In general, personal papers may be described as including papers and library material brought from private life; personal and unofficial professional correspondence and other writings; personal notes, diaries, and working-aids.

23. STATUTORY AND REGULATORY LIMITATIONS.

a. Official Information Classified pursuant to E.O. 11652. There is no provision for removal of classified material by agency personnel. Criminal statutes stipulate penalties for such removals. Limited arrangements for access for historical research purposes are allowed under Section 12 of E.O. 11652.

b. Restricted Data under the Atomic Energy Act of 1954, as amended. No matter what its form this restricted data may not be removed. Criminal penalties apply to violations.

c. Confidential or Classified Information Within the Meaning of Various Statutes, (e.g., information involving confidential private information, codes, crytographic systems, etc.). The unauthorized removal of papers falling under these special statutes is subject to criminal penalties.

d. Records. Material which falls under the statutory definition of "records" may be disposed of only with the approval of the Administrator of General Services as specified in 44 U.S.C. Chapter 33, and through procedures prescribed in the Federal Property Management Regulations (FPMR) (41 CFR 101-11). Provisions of the FPMR of concern to individuals regarding their papers and the removal of them are as follows:

(1) Section 101-11.202-2 - Documentation Standards. "...(d) Papers of a private or unofficial character which pertain only to an individual's personal affairs that are kept in the office of a Federal

official will be clearly designated by him/her as nonofficial and will at all times be filed separately from the official records of his/her office. In cases where matters requiring the transaction of official business are received in private personal correspondence, the portion of such correspondence that pertains to official business will be extracted and made a part of the official files (see Section 101-11.406-6)."

(2) Section 101-11.406-6 - Mutilation and Destruction of Records.

(a) The Administrator and the heads of Federal agencies are responsible for preventing the unlawful removal, defacing, alteration, or destruction of records. (44 U.S.C., 2905, 3106.)

(b) The penalties for the willful and unlawful destruction, damage, or alienation of Federal records are contained in the U.S. Criminal Code (18 U.S.C. 2071).

(c) Private files are not governed by these provisions.

24. PAPERS THAT MAY BE REMOVED.

a. All personal and private papers may be removed.

b. No material, even though judged to be nonrecord, should be withdrawn if this will create such a gap in the files as to impair the completeness of the essential documentation. Indexes or other finding aids necessary to the use of the official files may not be removed.

c. Personal diaries, which are really private records of public activities, are private property and may be removed. When the matters dealt with in such work-aids as office diaries, logs, memoranda of conferences and telephone calls are elsewhere covered by adequate records such work-aids may be removed.

d. Extra copies (carbon, photocopy, etc.) of records may be removed under certain circumstances. Prior to removal it should be determined that there are no legal or policy reasons for keeping the information contained therein confidential and that the record copy and other necessary copies are available. If the copy is of a document originating with another agency the wishes of that agency should be determined.

e. National security information or restricted data papers may not be removed under any circumstances. Historical research may be carried on in accordance with provisions of Section 12, E.O. 11652.

25. REVIEW OF PAPERS.

a. National Archives and Records Service (NARS). Representatives of the National Archives and Records Service are always available should any questions arise about any official's records. The Office of Presidential Libraries is interested in the private papers of officials since they are an invaluable adjunct to the public record of an Administration. A retiring official may place such restrictions on access to his papers as he deems necessary if he decides to make use of these archival depositories.

b. Responsibility for Review of Classified Information. E.O. 11652 provides for review and downgrading of national security information. As preparations are made for the removal of personal papers it is recommended that official files be reviewed to fulfill these duties. A statement should be made a part of the official file regarding this review in order to facilitate later review and ultimate research use.

26.-29. RESERVED.

CHAPTER 3. MANAGEMENT OF FILES

30. OFFICIAL FILE STATIONS. Official File Stations are specifically designated organizational elements of the FAA where official record copies and other authorized files are maintained. The physical locations of Official File Stations shall be determined by the heads of offices, services, regions, and centers. Official File Stations will be located at the point of maximum use or convenience, sufficiently accessible to using activities to preclude the maintenance of duplicate files.

a. Official Files Lists. Each office, service, region, and center maintaining records shall prepare and keep current an Official Files List, using FAA Form 1350-7 to identify all files the office maintains. These lists when properly used ensure that each file series is named and described and has adequate standards for arrangement, cut-off, transfer, and destruction. Files lists serve as a convenient index to the contents of each file station, and should be kept as the first file item in a file station.

b. Planning Files Location

(1) Planning the proper location of files, arranging files to facilitate their use and disposition, are the first steps in effective maintenance of files. Files must be properly located to provide maximum utilization with a minimum of duplication.

(2) Each office is responsible for the custody, maintenance, and disposition of current documents of the offices which it serves. To ensure conservation of personnel, equipment, and space; rapid and economical filing and reference; and the protection of records, consideration should be given to such factors as access, security, space, and equipment.

c. Centralization and Decentralization.

(1) To be completely centralized, the records of all units in an organization would be maintained at one location. To have completely decentralized files, all records would be kept in the organizational units immediately responsible for the function with which the records are related.

(2) Centralization of all records in one file room may be practical for the small office or facility; however, larger organizations will usually find their needs are best met by a combination of centralized and decentralized files. With partly decentralized files, certain records are maintained in a central file room, while others are maintained at designated office locations throughout the organization.

(3) Typically, the central files will include general policy and overall administrative records and records used jointly by several offices. The decentralized or "office" files will include material used almost exclusively by one office and should not duplicate material maintained centrally.

(4) Consider locating records in a centralized file when:

(a) More than one work unit has need for the same record.

(b) Units are located near the central file for prompt service.

(c) Security for classified material can better be provided by central files.

(5) Consider locating records in a decentralized file when:

(a) Records are of interest to only one work unit.

(b) Centralized filing is too distant for prompt service.

(c) Information must be immediately available.

(d) Constant reference is made to the records by a particular organizational unit.

31. FILES SPACE.

a. Files space includes all floor space occupied by files equipment and personnel involved in maintaining and servicing files. To keep space requirements for filing equipment to a minimum, only current records will be maintained. Inactive records must be promptly retired or destroyed in accordance with approved records disposition schedules as outlined in Order 1350.15A, Records Organization, Transfer and Destruction Standards.

b. As a convenience to users, any file that is not referred to more than once a month per file drawer is considered inactive. Such files may be transferred to the nearest Federal Records Center for economical and secure storage. The center will provide reference service to the FAA owner of the files or to public users if FAA grants permission for access to the files.

c. FAA filing equipment currently is valued at $2.5 million. It occupies floor space equivalent to $1.5 million yearly in rental. Because of the expense involved and the shortage of office space, only officially approved files will be maintained in FAA filing equipment.

d. Space selected should be suitable for requirements of the file operation. The following rules are applicable to file equipment maintained in individual offices as well as to files located in formal file rooms:

(1) Ventilation and heating should be comparable to that utilized in space in which other administrative type operations are performed.

(2) Lighting should be sufficient to allow file operations to be performed without excessive eyestrain. The standard for lighting throughout the file room should be at least 25 foot-candles on a horizontal surface at desk height.

(3) File room furniture should be arranged to utilize as much daylight as possible. Desks, where close work is done, should be placed near windows. Rows of cabinets should be placed at right angles to the window where practicable, so that the aisles and opened file drawers will receive as much daylight as possible.

(4) Aisles between file cabinets, placed face to face, should be at least 36 inches; 60 inches is preferable for active files. Desks should have at least 36 inches between the back of one and the front of another when they face the same direction.

(5) Floor loading must be considered for the safe support of files and equipment.

(6) Work flow should follow straight lines through the receiving, processing, and filing operations with a minimum of travel and back-tracking.

32. ACCESS TO FILES.

a. To ensure an efficient filing system, access to the files should be limited to regularly assigned files personnel. Others should not be permitted to extract or refile material. This is a common cause of mis-filed documents.

b. Control over the access to records bearing a security classification is mandatory. To facilitate access control for these records, they shall be segregated from unclassified records. Exception to this rule should be made only when there is a high proportion of classified to unclassified records. In such cases, interfiling and protection of all records at the level required for the highest classification filed may be the most economical approach.

33.-39. RESERVED.

CHAPTER 4. TYPES OF FILES

40. GENERAL. There are two basic arrangements for files, alphabetic and numeric. All other arrangements are simply variations or combinations of these two. Experience shows that general files are most usable if arranged according to their subject content. This is especially true for general correspondence, consisting of letters, memos, telegrams, etc. Case files, such as project files, personnel folders, etc., are normally segregated from general subject files and maintained as separate files series to facilitate their use. However, when general and case files are used, correspondence should be filed with material to which it relates so that the complete story of any transaction will be in one place. The types of files described below should be considered when establishing any new file or organizing any existing file.

41. SUBJECT FILES. Subject files are those types of records which ordinarily include correspondence, memoranda, reports, and other documents which are more logically classified and filed under subject categories. The subject file is used for material not readily adaptable to case files, and where individual transactions are specific in subject content, or involve several individual topics, individuals, or organizations. In the subject file, documents are arranged by primary subjects and then by secondary and tertiary subjects as needed. Subject files are maintained on a calendar year basis.

a. Standard Classification Codes. FAA Order 0000.1E, Standard Subject Classification Systems, will be used for classifying general correspondence and other documents to which reference is made by subject. This order provides a single coordinated system for identifying documents by classification codes, thus eliminating dual systems, which will improve reference service and simplify files training.

b. Subdivisions. Where necessary the classification codes provided in Order 0000.1E may be further subdivided for filing purposes. Offices with a small volume of files are urged to use only those file designations as actually needed. Subdivisions will be assigned arabic numerals to reduce time and effort in marking material for filing. For example:

1600	Security
1600-1	Personnel
1600-2	Records and Information
1600-2-1	Declassification and Downgrading
1600-2-2	Transmission and Receipt
1600-3	Plant Protection

c. Control. To maintain control and standardization, the basic pattern of classification codes provided in Order 0000.1E will be carefully followed. Therefore, no changes will be made without the prior approval of the Office of Management Systems, except that subdivision of classification codes is permissible to provide for the detail that may be required. Recommended changes or additions to classification codes should be referred to the Office of Management Systems (AMS-100).

42. CASE OR PROJECT FILES. This file contains material relating to a specific action, event, person, organization, location, product, or thing. The documents may cover one or more subjects concerning a case or project but will always be filed by a specific title, or number. A distinguishing feature in a case or project file is the similarity in the nature of the papers within each case folder constituting the total file. Papers within each case file are generally arranged in chronological order, with the most recent papers placed in front of the folder. Case or project files are normally terminated upon occurrence of an event or action and placed in an inactive file. Case files may be filed alphabetically by name, title, country, or organization; or numerically to permit ease of filing and finding, and to preclude the use of separate indexing and guide cards.

43. REFERENCE FILES. Reference files are organized collections of materials used for convenient reference. Reference files are not the official records that document the user's activities. This material may include extra copies of documents which are officially recorded elsewhere, books, periodicals, brochures, copies of reports, studies, special compilations of data, drawings, copies of administrative and regulatory issuances, notices, and catalogs. Considerable savings in time and space can be realized by eliminating duplicate filing of reference material; for example, there should be little need for offices to maintain long-term, extra reading files or periodicals that are available in libraries. Similarly, offices should maintain only those manuals which directly concern their functions. Reference files should be reviewed periodically, and only those which are current and of significant reference value should be retained.

44. CHRONOLOGICAL FILE. Commonly known as the "reading" or "date" file, the chronological file is composed of one extra copy of outgoing correspondence, arranged by date without regard to name, subject, or file designation. This file is used for informational purposes within a given office. It may also serve as a quick aid to locate material when the date is known.

45. ALPHABETICAL NAME INDEX. The alphabetical name index is a finding medium through which correspondence and other documents filed by subject may be located when the available source of identification is the name of

a person or organization referred to in correspondence or other documents. The index may be composed of extra copies of outgoing communications or of name cross-reference forms arranged alphabetically by name. Careful consideration should be given to the actual need and the expense of such an index before establishing one. The following standards should be used in determining if such an index should be established.

a. The index SHOULD be established if:

(1) The correspondence or documents are more frequently asked for by name of addressee or names of individuals or organizations mentioned in the records than by subject.

(2) Most of the material filed consists of correspondence with individuals or organizations covering a wide variety of subjects.

(3) The quantity of material filed is large and the use of this auxiliary medium of locating material will facilitate servicing the records.

b. The index SHOULD NOT be established if:

(1) The quantity of material filed by subject is so small that no difficulty will be encountered in locating it by subject.

(2) The type of records filed is susceptible to an alphabetical arrangement by name within the subject files.

(3) The type of material can be located easily by case or project symbol, number, or other means of identification, without the aid of an alphabetical index.

46.-49. RESERVED.

CHAPTER 5. FILING PROCEDURES

50. GENERAL. The success or failure of the filing system depends upon several basic steps being carried out properly. These steps consist of arranging guides and folders; preparing and filing material; retrieving material; preparing charge outs; maintaining the files in an orderly fashion; and transferring or destroying inactive and useless files. These steps are explained in detail so that standard filing systems can be established in FAA offices.

51. FOLDER AND GUIDE ARRANGEMENT. The orderly appearance and efficiency of any file depends upon the careful preparation, use, and arrangement of folders and guides in the file drawer. Folders are necessary to keep related papers together and in order. Guides serve as "sign posts" to help speed up the filing and finding operations. Too many or too few folders or guides will retard, rather than aid, these operations. Generally, there should be one divider for each 10 and 20 folders. Approved types of folders and guides are described in chapter 6.

a. Subject File.

(1) Folders and guides should be arranged as illustrated in figure 5-1, page 31. Place folders and guides in the file drawer in numerical sequence, starting from the front of the drawer, with the guides preceding the related folders. When shelf files are used, the sequence of folders on a shelf is from left to right. The sequence of the drawers or shelves should be from top to bottom of the cabinet. The sequence of cabinets is from left to right. Use the first position of a one-third cut guide for primary, second position for secondary, and third position for tertiary subdivisions. These subdivisions of standards codes are locally developed, as needed.

(2) It is often desirable to break files into blocks by year or years, starting a new set of folders periodically. This facilitates transfer and destruction of older material without the need for time consuming and expensive screening through individual folders and papers. In some files, it is also important to break the file into current and canceled or closed cases. This also facilitates finding, transfer, and destruction. When using file breaks by year or by canceled cases, use dividers to show the file breaks. Where practical, transfer or destruction dates may also be shown on folder labels to facilitate removal of folders at the proper time.

(3) Prepare folders only for those subjects for which there is a current need. Prepare a second folder should the material in any one folder reach normal capacity of approximately three-fourths inch. The

second folder should begin and end at a logical point such as the beginning of a month or a calendar quarter. Place folders behind related guides. If there is little or no need for the use of subdivisions of some of the primary subjects, do not prepare folders for them. If only an occasional piece of correspondence is classified under a secondary or tertiary subject, place the material in the primary subject folder. Type subjects on the guide inserts for guides, or on labels for folders. Standard subject classification titles may be shortened to reduce unnecessary typing in file designations.

b. Alphabetical Name Index. Guides and folders should be set up as illustrated in figure 5-2, page 32. If it is difficult to determine in advance how large the index will be, it is advisable to start first with a folder for each letter of the alphabet and make folders for subdivisions of these letters as the file grows. Special folders for common names, such as "Smith," "Brown," "Adams," etc., and names of organizations or individuals with which the organization has frequent correspondence may be made as required. Use FIRST position, fifth-cut guides for the 26 letters of the alphabet (i.e., A, B, C, D); SECOND position, fifth-cut guides for the additional letter subdivisions of the alphabet (i.e., AL, AM, BL); and THIRD position fifth-cut guides for common name subdivisions. Type alphabetical captions on guide inserts, or on labels. Alphabetic captions for 100, 200, and 300 subdivisions of the alphabet are provided in appendix 1. The requirements of many offices may be met by providing one folder for each letter of the alphabet. The simpler the system, the better, if it adequately meets office needs.

52. FILING THE MATERIAL. The real test of any file system is not how quickly material can be filed - anyone can place papers in a folder in the filing cabinet - but how quickly it can be produced when it is needed. Therefore, care should be exercised in processing, classifying, and filing the material.

a. Preparing File Copies. The following preliminary steps should be taken in preparing documents for filing:

(1) Determine that the file is complete and that enclosures or related papers are retained or accounted for. If the action is complete but essential documentation is missing, follow-up with the originating office to obtain the missing documents.

(2) Destroy identical duplicate copies of documents to be filed in the same series, except the originals and grid (file) copies of correspondence.

(3) Remove all mail control forms, classified cover sheets, envelopes, and memo routing slips, except those containing remarks of significant record value.

(4) Remove rubber bands, paper clips, spring clips, and other temporary fasteners.

(5) Mend or reinforce, with transparent tape, torn or frayed papers.

(6) Ensure that parts of another file are not accidentally attached.

(7) When incoming correspondence, which did not require a reply is sent to file, write the word "file," the date, and the initials of the person forwarding the communication for filing in the upper right margin of the correspondence.

b. Assembling File Material. Assemble each unit of file material by stapling the grid file copy on top of the incoming communication. If enclosures are too bulky to attach to correspondence records, show on the original incoming communication where the enclosure is filed. Make sure that each unit of material is complete, and then assemble in chronological order with the latest date on top. Be sure that the left and upper edges of each unit of material are even and then staple one-fourth inch from top and side in left upper corner.

c. Bringing Forward Related Papers. Bring forward and combine related papers. Combine papers of a later date which directly relate to or refer to papers of an earlier date only when reference requirements clearly require such action. If reference requirements justify such action, Optional Form 22, Continuity Reference, shown in figure 5-6, page 35, may be substituted for papers brought forward to maintain continuity. EXCEPTION: A reference to earlier papers does not necessarily require that the papers be combined. Do not combine such papers as recurring reports and the policy documents requiring the reports; papers on the same subject relating to different transactions--such as two separate requisitions for filing supplies, or reports of inspection of two different organizations.

d. Classifying Papers for Filing. After the papers have been prepared for filing, the next step is to code or classify them. Classification segregates the papers into logical categories for ease of filing and finding. In classifying documents for file, personnel should exercise care in determining their administrative, legal, and research value to the agency; their relationship to other relevant records; relationship to organization; usefulness as archives; and cost in keeping them. Observe the following procedures:

(1) In selecting a file number, first read and analyze the correspondence to determine the major subjective category that represents the subject matter, and specific subdivision if needed.

(2) Select the proper file classification code by referring to Order 0000.1E, to ensure that the code selected comes from the appropriate major group of related subjects.

(3) Indicate the filing code (file number) in the upper right corner of the document, as shown in figure 5-3, page 33. The posting of filing codes is not required on such documents as reference publications, requisitions, or bills of lading, etc.

(4) If the material being filed involves one or more subjects by which it may be requested, indicate the cross-reference file number for the additional subject by placing it below the file number shown for the major subject (see figure 5-3, page 33). The cross-reference is preceded by an "X" to distinguish it from the major subject file number and to indicate that it is a cross-reference.

(5) If a copy is prepared for an alphabetical name index, underscore the name by which it will be filed in the index. (See figure 5-4, page 33). Additional name cross references can be shown on the name index copy preceded by an "X."

(6) A few helpful hints to the classifier:

(a) Look for essential key words or phrases. However, if the subject cannot be easily determined, it is helpful to consider the correspondence in this light, "Why was it written - what was it that prompted the writer to write?" Usually it will be found that the purpose for writing suggests the subject under which it should be filed.

(b) Refer to previous correspondence already on file to verify a tentatively selected file designation.

(c) The subject line of correspondence may be misleading; do not determine the classification on this basis alone; be sure to read the contents.

(d) When the subject of the material is not clear enough to determine the file classification, ask the dictator or someone familiar with the material for more information.

e. Cross-Reference Forms. Cross-references are made to locate documents promptly when they are needed. A cross-reference is a paper filed under one classification and date to show the location of material

filed elsewhere. Name cross-references should be made when the document is LIKELY to be requested by a name mentioned in the body of the document or, in the case of an incoming letter filed without reply, by the name of the writer. AVOID MAKING AND FILING UNNECESSARY CROSS-REFERENCES. THEY CONSUME VALUABLE TIME AND CREATE VOLUMINOUS FILES UNNECESSARILY. Remember that most correspondence file material is never referred to after filing. When needed, prepare the cross-reference form as follows:

(1) Count the number of additional subject designations (prefixed with an X) in the upper right corner of the subject file copy. If there is no outgoing communication, the designations will appear in the upper right corner of the incoming communication.

(2) Count the number of name cross-references indicated by X's placed above or beside the names.

(3) Select the appropriate number of Cross-Reference Forms, Form OF-21 (figure 5-5, page 34). Type the appropriate information beside each caption. If only one cross-reference is required, use only one copy of the form.

(4) As each indicated cross-reference is recorded on the cross-reference form, draw a horizontal line through the X appearing on the subject file material.

f. Continuity Reference. When it is necessary to bring forward earlier correspondence, prepare a Continuity Reference Form, Form OF-22 (figure 5-6, page 35) for each file that is being consolidated with the latest correspondence. The continuity reference form is used to show that material has been brought forward from one year to another or from one file to another; or to correct material that has been previously misclassified. Fill in the appropriate information opposite each caption.

g. Placing Material in the Files. When the material has been properly marked and assembled, take each group (i.e., Subject File, Alphabetical Name Index and so forth) and arrange it in filing order. Be consistent when arranging alphabetically. Unless one set of rules is followed, it will become difficult to find wanted documents. Rules for alphabetical filing are provided in appendix 1.

(1) Sort subject file material in filing code sequence.

(2) Arrange alphabetical name index copies alphabetically by the underscored name of the individual or organization. Arrange identical names by date with the latest date in front.

(3) Place each unit of file material in the appropriate folder with the left side of the material down. Material within the folder should

be arranged with the latest date in front. If successive folders containing material on the same subject are necessary, the folders should be arranged chronologically with the latest in front.

53. CLASSIFIED FILE MATERIAL. Safeguard classified files in accordance with applicable security regulations, as follows:

a. The interfiling of unclassified and classified papers should be restricted to those papers which directly support, explain, or document the record of the action. Each page of a folder which is not permanently bound shall be stamped or marked at the top and bottom according to its own content, including the designation "unclassified" when appropriate.

b. The front and back of the folder containing classified material will be stamped with the highest classification of the records filed therein.

c. Folders containing classified documents or other materials must be filed/stored in approved security containers or secure areas appropriate for the classification of the material to be protected.

54. FINDING PAPERS IN THE FILES. To find papers, use the information available concerning them and relate this information to the filing system. The following steps illustrate how to do this:

a. When receiving a request for file material, obtain, if possible, sufficient information to identify the file; that is, names of individuals or agencies, the date, and the subject of the material.

b. If given name or title of a case file, go directly to that case file.

c. If given the subject of the file, go directly to that subject if possible.

d. If uncertain of the exact subject, consult the subject classification table or the index to subjects for the proper subject designation.

e. If only name references are given, go to the alphabetical name index and locate the appropriate copy concerned. In the upper right corner will appear the file designation showing the location of the material in the subject file.

f. If the material cannot be located in the files and is of recent date, check the unfiled material.

55. CHARGING MATERIAL FROM THE FILES.

a. Charge-Out Procedures. Prepare OF 23, 24, or 25 to place in files as a substitute for papers or other documents borrowed or permanently withdrawn from the files. (See figure 5-7, page 36 and 5-8, page 37.) The charge-out card should be placed in the folder at the exact place where the material was filed so that the OUT portion is visible. This facilitates identification of charged-out files and expedites refiling them. When charged-out material is refiled, the entry on the form will be lined out and the form reused.

b. File Backing Sheet. To assure return of loaned material to the proper file, provide a file backing sheet and record the name, room number, and telephone extension of the file unit. When individual letters or documents are charged out of the file, staple requested material to the file backing sheet, and deliver to the requester. (See figure 5-9, page 38.)

c. Overdue Charge-Outs. Charged-out material should be returned after a one- or two-week period, depending upon the nature of its use. Review the charge-out cards in the file to find out which material is overdue. Prompt follow-up of overdue materials is important because it becomes increasingly difficult to trace material which has been out longer than a week or two. When a charge-out period is extended, enter on the charge-out card the date of the follow-up, the new due date, and any pertinent information regarding the return of the file.

d. Returned Charge-Outs. When loaned papers or other documents are returned remove the charge-out card from the subject file and line out the entry on the card. Detach the charged out material from the file backing sheet and return papers to their proper place in the subject file.

56. MAINTAINING THE FILES. Neatness and orderliness are the essence of filing efficiency. Following are standards that will help to maintain the office files in a neat and orderly manner.

a. Loose Filing. File papers loosely in the folder with the latest action date in front. Papers will not be fastened to the folders unless they are a part of a specific authorized system such as official personnel folders and case or project files. Loose filing permits the removal of one or more pieces of paper from the folder without removing the entire folder from the filing medium (cabinet, shelf-file, etc.). Papers pertaining to an individual transaction will be stapled together in the upper left corner before they are placed in the folder. (See figure 5-11, page 39.)

b. Secure Filing. Where all the papers pertaining to an individual project, case, or specific transaction are filed together in a single file folder, and it is important to keep the file sequence, fasten them securely to the file folder with a metal prong fastener. (See figure 5-10, page 39.)

c. Keep Papers Straight. When placing material in file folders, do not let the papers extend beyond the edges of the folders. (See figure 5-12, page 40.)

d. Folder Labels. Folder labels usually are placed on the left corner or right corner of the folder, depending on whether correspondence cabinet files or shelf files are used. Labels show the subject classification code, or other identifying code(s), and the subject. Folder labels should include the year(s) covered, or inclusive dates covered. If files are divided into groups by years, file dividers labeled by year(s) may be used to separate groups. In some cases the year shown on a drawer label is adequate if each yearly group is located in a different drawer.

e. Avoid Overloading File Folders. When the contents of a folder increases to the point that papers begin to obscure folder labels (about 3/4 of an inch) prepare a new folder and indicate the dates covered on both the old and new folders. (See figure 5-13, page 40.)

f. Identify File Drawers. Label ALL file drawers adequately to indicate what files, subjects, or names are filed in them. Also indicate the year, if appropriate. Label empty drawers as EMPTY. (See figure 5-14, page 41.)

g. Keep the Filing Current. Don't let a backlog of unfiled material accumulate. File material each day on an established scheduled. (See figure 5-15, page 41.)

57.-59. RESERVED.

FIGURE 5-1. SUBJECT FILE ARRANGEMENT

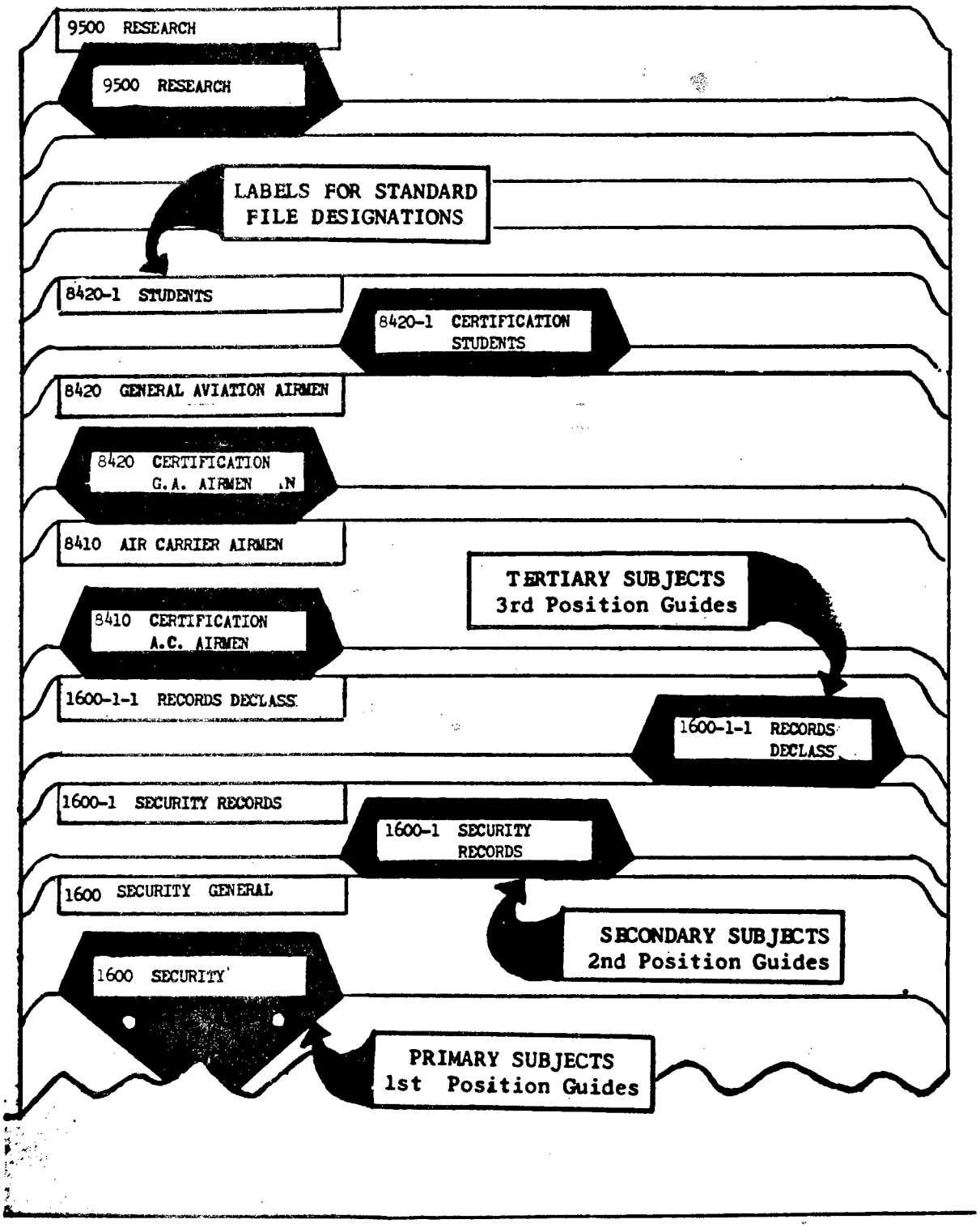


FIGURE 5-2. ALPHABETICAL FILE INDEX

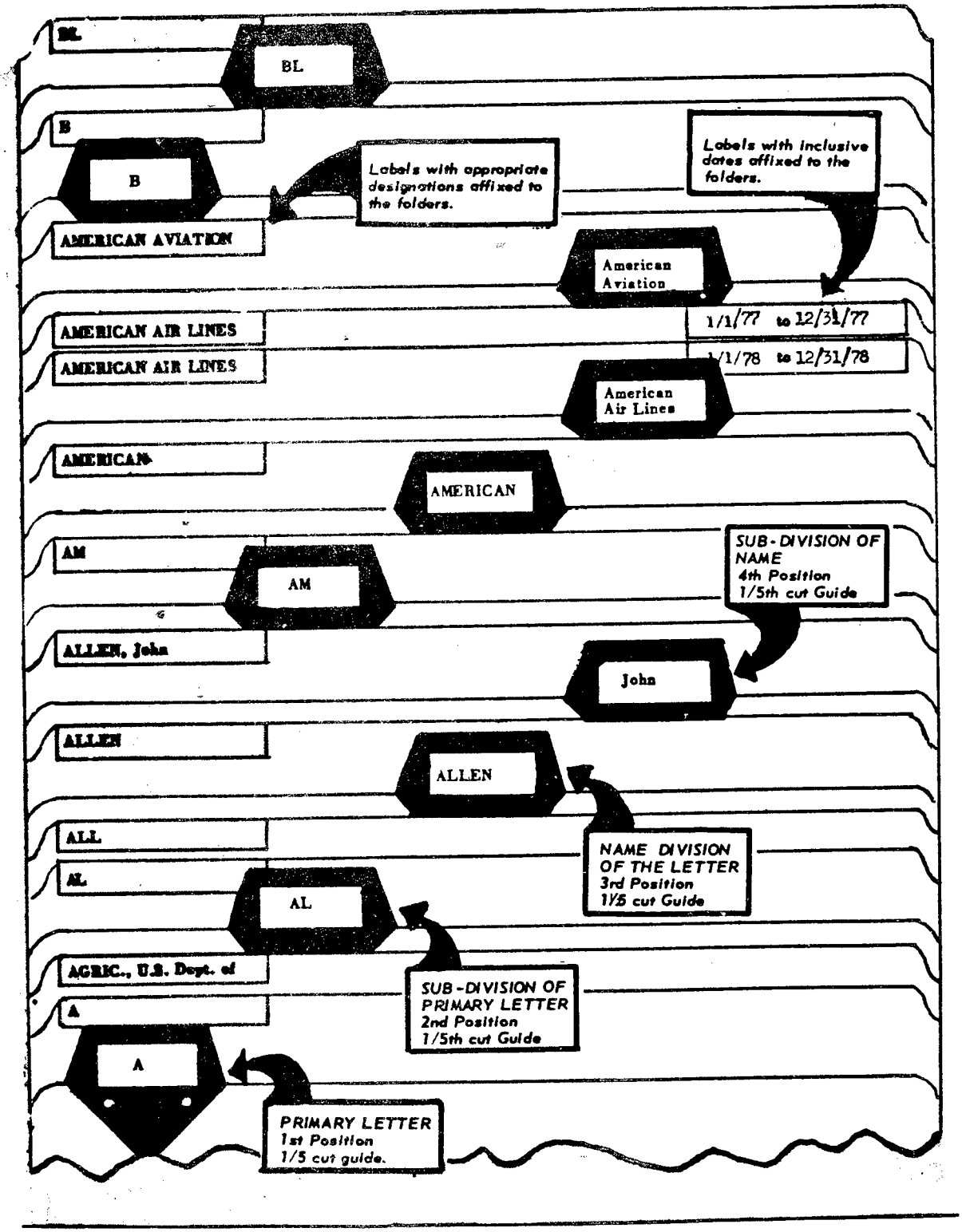


FIGURE 5-3. MARKING COPY WITH FILE DESIGNATION

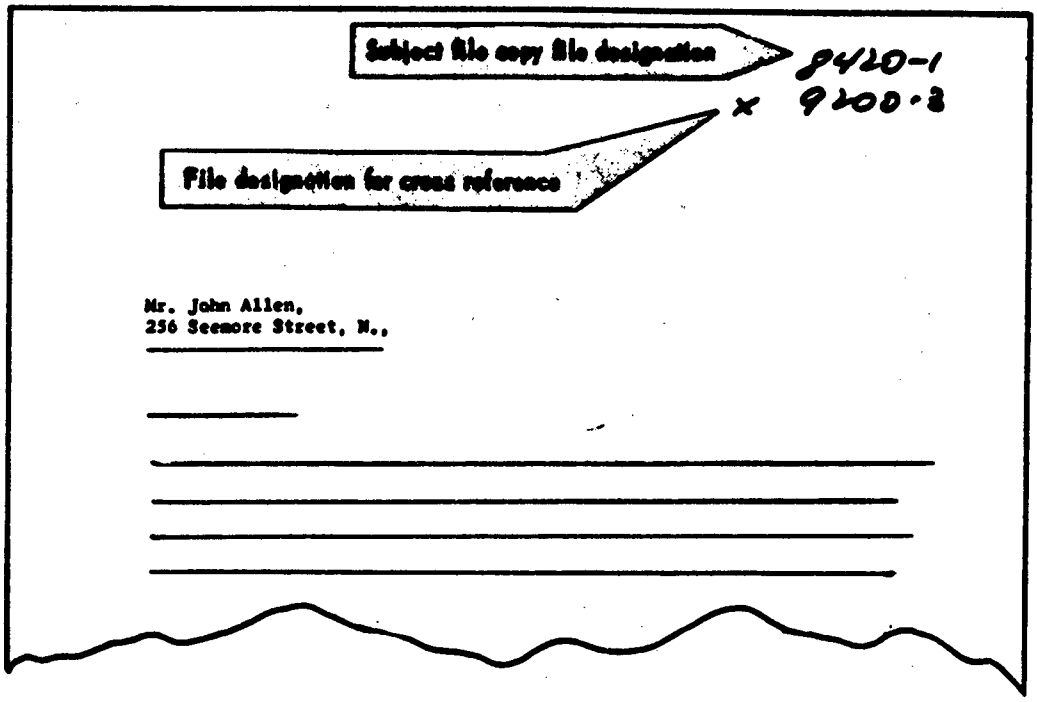


FIGURE 5-4. MARKING COPY FOR ALPHABETICAL FILE INDEX

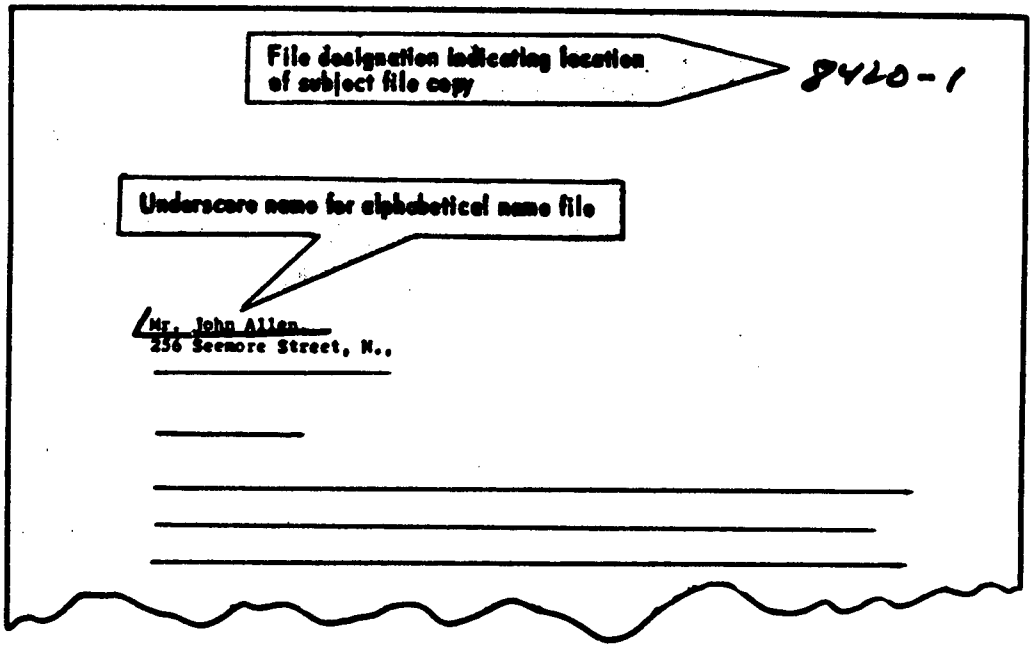


FIGURE 5-5. CROSS-REFERENCE FORMS (OF-21)

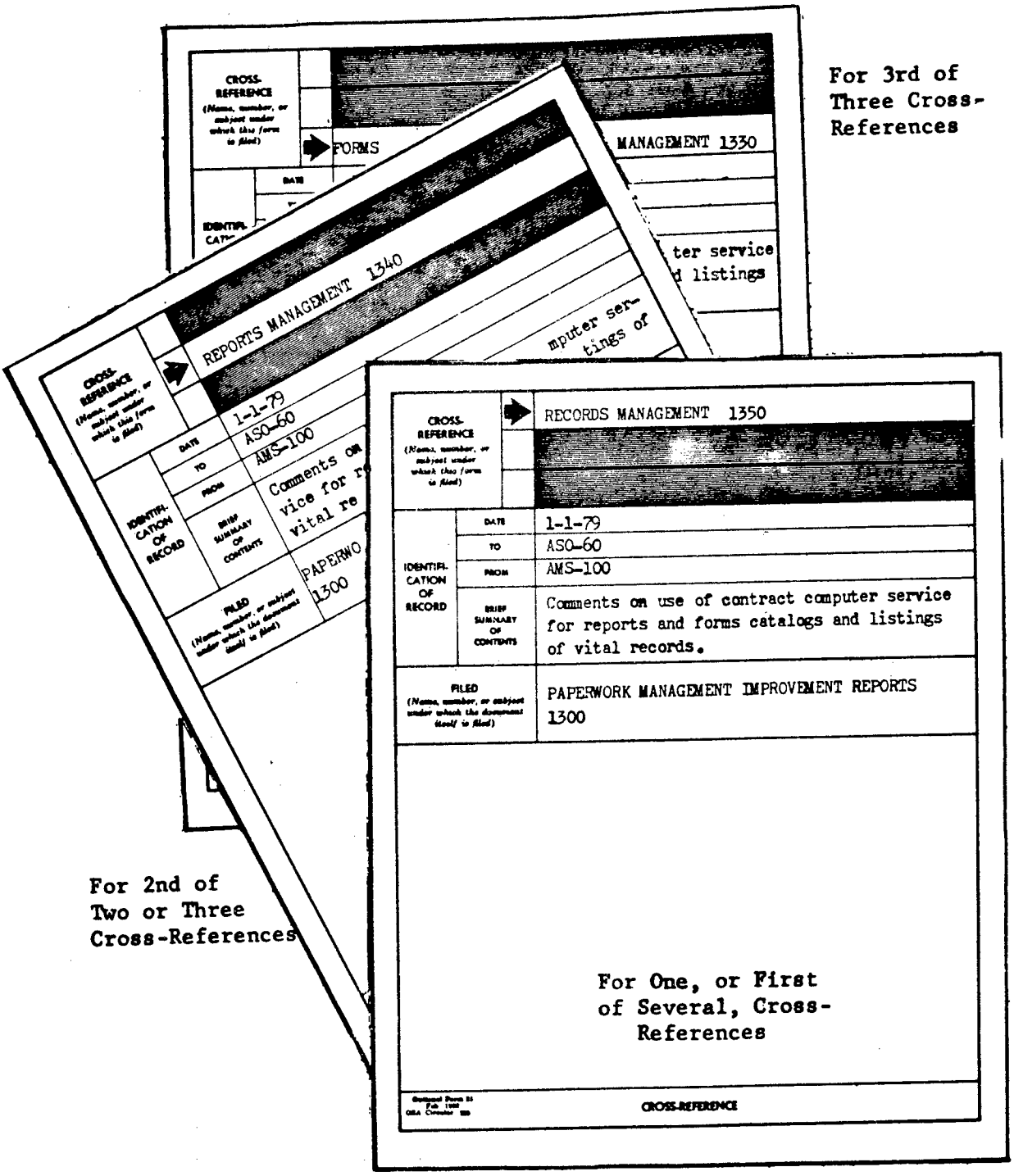


FIGURE 5-6. CONTINUITY REFERENCE FORM (OF-22)

DESCRIPTION OF CORRESPONDENCE OR DOCUMENT BEING BROUGHT FORWARD	
SUBJECT (*Under which this form is filed*)	PAPERWORK MANAGEMENT EVALUATION REPORT 1300
DATE (*Under which this form is filed*)	2-2-78
TO	ASW-60
FROM	AMS-100
BRIEF SUMMARY OF CONTENTS	REPORT OF PAPERWORK MANAGEMENT PROGRAM STATUS IN SOUTHWEST REGION
BROUGHT FORWARD and filed with the documents described below	
SUBJECT	PAPERWORK MANAGEMENT EVALUATION VISIT
DATE	1-2-79
TO	ASW-60
FROM	AMS-100
Optional Form 20 Feb. 1962 GSA Circular No. 200	CONTINUITY REFERENCE

FIGURE 5-7. CHARGE-OUT CARD (OF-23)
FOR USE IN FILING CABINETS

OUT

IDENTIFICATION OF RECORD (NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT)	CHARGED TO (PERSON & OFFICE)	DATE CHARGED OUT
1300 PAPERWORK MGT. EVALUATION REPORT-1977 6-1-77	A.B. SBE (AMS-140)	7-11-79

OPTIONAL FORM 23
FEB 1962
GSA Circular No. 259

CHARGEOUT RECORD
5022-101

DATE CHARGED OUT	CHARGED TO (PERSON & OFFICE)	IDENTIFICATION OF RECORD (NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT)

OUT

FIGURE 5-8. CHARGE-OUT CARDS
FORM OF-24, LETTER SIZE
FORM OF-25, LEGAL SIZE
FOR USE IN SHELF FILING EQUIPMENT

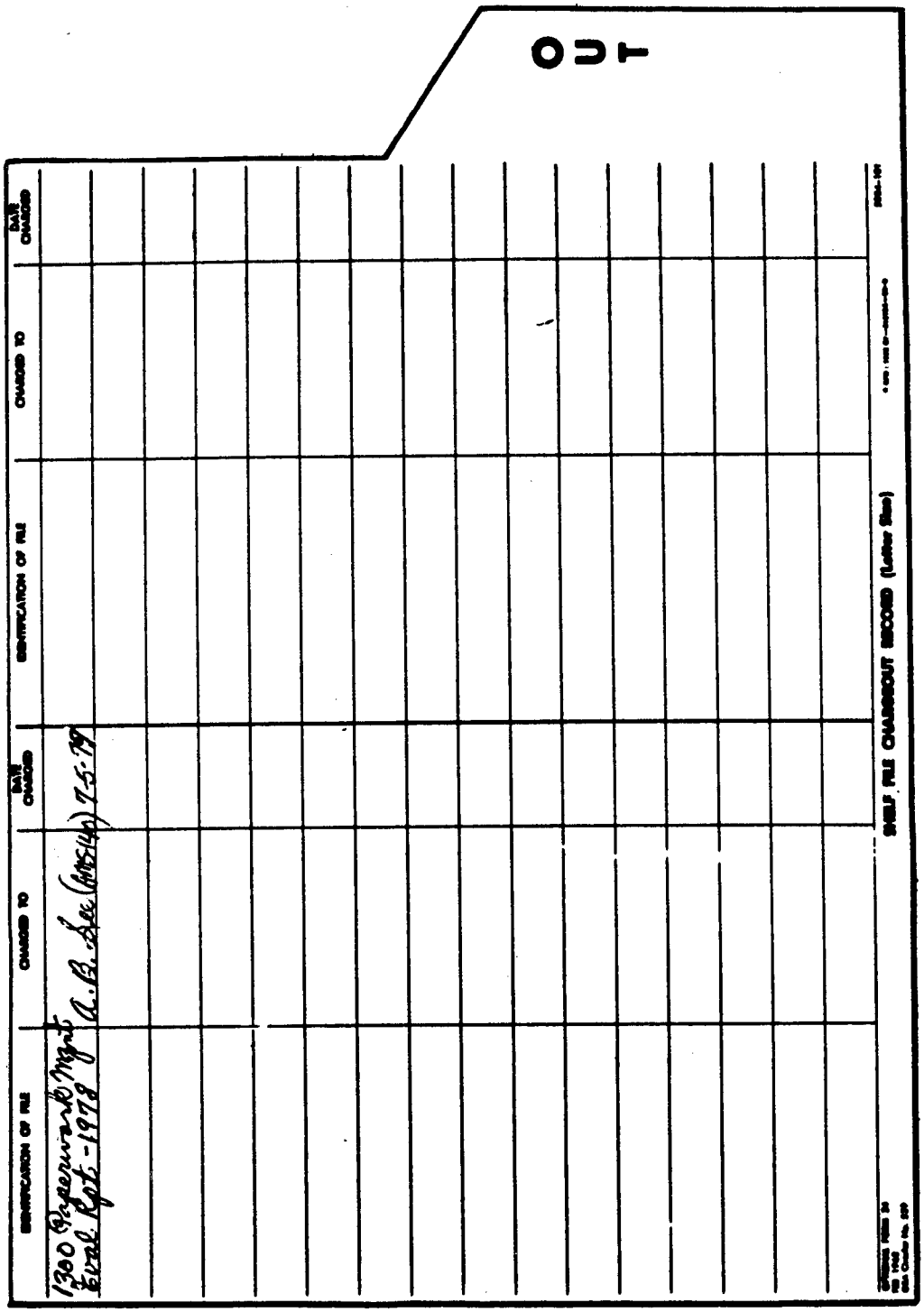


FIGURE 5-9. FILE BACKING SHEET

DO NOT REMOVE MATERIALS FROM THIS BACKING SHEET

THIS FILE HAS BEEN CHARGED TO YOU - PLEASE RETURN WITHIN ONE WEEK
IF FILE IS TRANSFERRED, CALL Ext. 68735

RETURN TO: AMS-140

FAA Form 3079

FIGURE 5-10. CASE FILE ARRANGEMENT

Fasten all papers to folder
with metal prong fasteners.

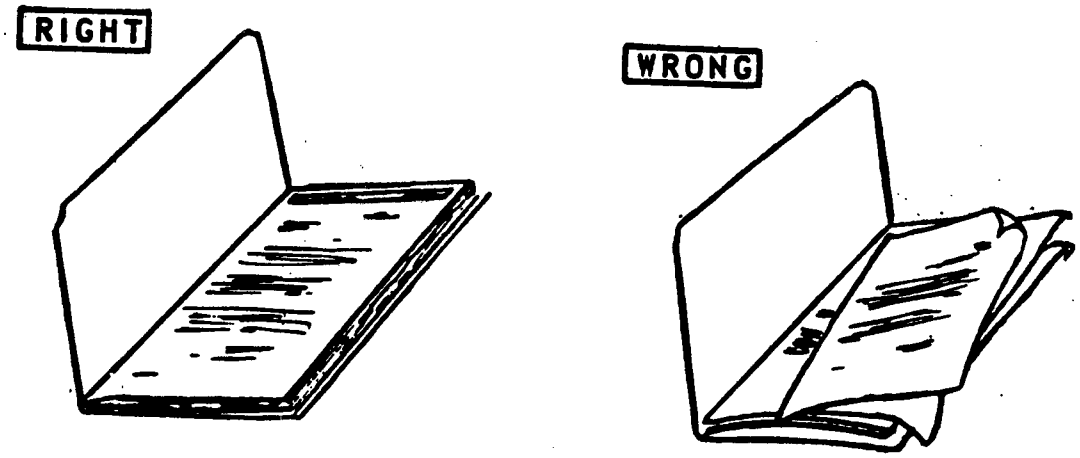


FIGURE 5-11. SUBJECT FILE ARRANGEMENT

Place papers loosely in folders.
Papers representing a single transaction
are to be stapled together in upper left
corner.

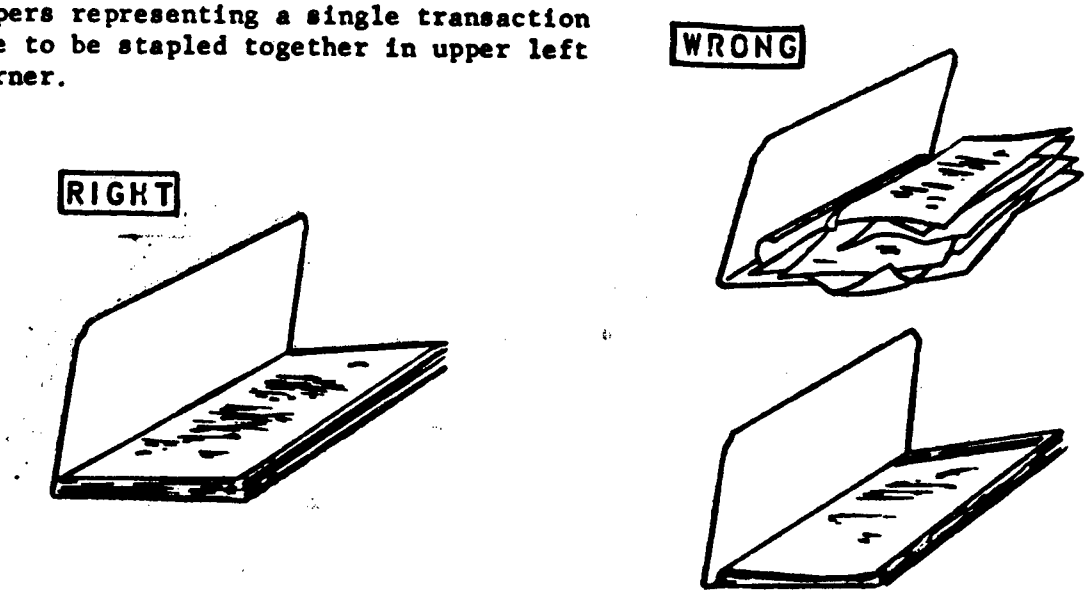


FIGURE 5-12. KEEPING PAPERS STRAIGHT

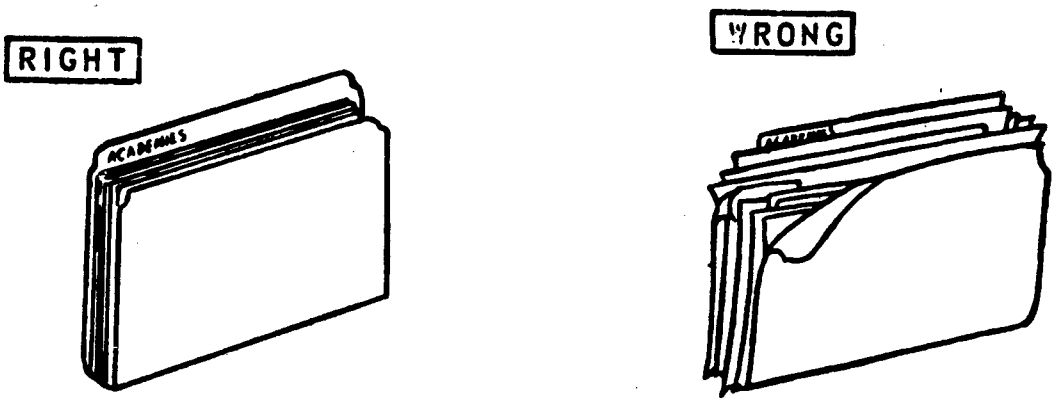


FIGURE 5-13. AVOID OVERLOADING FILE FOLDERS

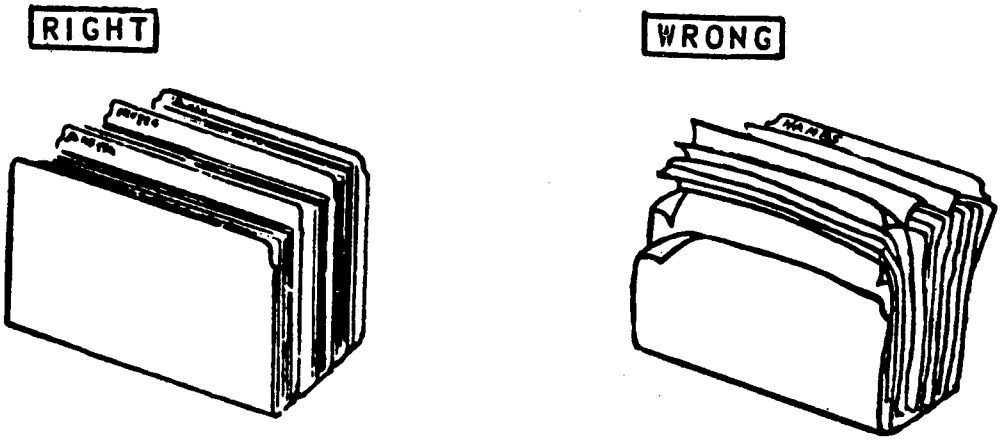


FIGURE 5-14. LABELING FILE DRAWERS

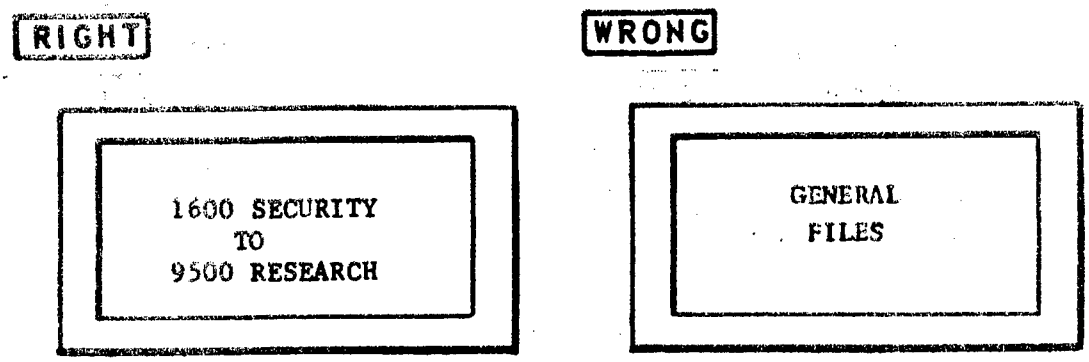
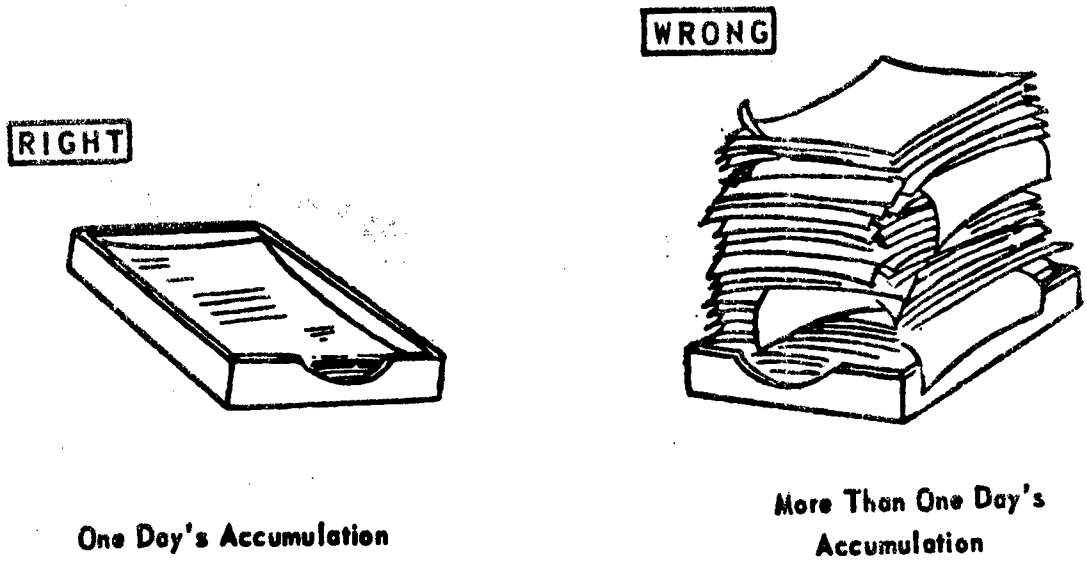


FIGURE 5-15. KEEPING FILING CURRENT



CHAPTER 6. FILING EQUIPMENT AND SUPPLIES

60. GENERAL. Filing equipment and supplies used within the agency will be the most economical possible to meet filing requirements. Filing equipment should not be requested solely to improve appearance, office decor, status elevation, nor because of a desire for the latest design. Used or reconditioned equipment will be used until stocks are exhausted. As equipment becomes excess to local needs, it will be turned in to supply channels for disposition.

61. STANDARD FILING EQUIPMENT. Standard equipment listed in the GSA Stores Stock Catalog and/or the Federal Supply Schedules will be used in preference to nonstandard items, unless there is a requirement for a special files operation.

a. File Cabinets. Careful consideration should be given to selecting the equipment best suited for a particular files operation. The five-drawer filing cabinets have been standardized because they provide 25 percent more filing area in the same amount of floor space than the four-drawer cabinets. The use of legal size filing cabinets are authorized only when 25 percent or more of the papers are legal size. Letter and legal filing cabinets will be steel, noninsulated, and without locks and guide rods.

b. Standard Card File Equipment. Standard steel cabinets 16" deep will be used to house cards of various sizes. Standard size cards, 3 by 5, 4 by 6, and 5 by 8, will be used wherever possible.

c. Shelf Files. Shelf filing equipment costs less than standard filing cabinets, requires less space, and permits ease of filing operations. Standard shelf filing may be more appropriate than filing cabinets for records that are alphabetically or numerically arranged, such as case or project files. Shelf filing should be used when records total 50 cubic feet or more and when:

(1) The purchase of new filing equipment is contemplated.

(2) Additional space for filing operations is required and only a limited amount of space is available.

(3) The filing station is in a relative permanent location.

d. Roll-Out Shelf Files. Roll-out shelf files are available for large volume, correspondence-type files that require filing and finding of loose papers without removing file folders from the shelves.

e. Security Files. Classified documents and material will be stored in security containers and filing equipment as authorized in security regulations.

62. STANDARD FILING SUPPLIES. The use of standard types of file folders and guides will provide for neat, orderly files, as well as conserve storage space by eliminating the need for stocking a variety of file folders and guides. The standard files supplies listed below will be utilized to the maximum extent practicable. Figure 6-4, page 49, lists standard supplies for agency files.

a. File Folders. Kraft file folders, square cut, reinforced top, 11 point, scored for 3/4 inch expansion are available in legal and letter size are to be used in the FAA (See figure 6-1, page 47). These folders are suitable for all files and indexes, and they eliminate the need for stocking other types, cuts, tab positions, and styles. The advantage of the full-cut folder is that the folder label can be placed in any position to meet filing needs. The same kind of folders equipped with a built-in prong fastener are authorized ONLY for case and project files. Legal-size file folders will be used ONLY when it is proved that letter-size folders are not practical.

b. Pressboard Folders. Pressboard folders are recommended for case or project files. This type folder may also be used for subject files that require extensive handling.

c. Folder Labels. Standard folder labels are packed in a continuous strip (roll or fan-folded). They may be fed directly into a typewriter, typed, or for large volume files be run on electric accounting or addressing equipment, and then separated along the perforations for mounting. Self-adhering labels are available and are to be used when their additional expense is offset by savings in application time.

d. File Guides. Use self tab pressboard guides when they will be retired or destroyed along with the related file folders. Use gray pressboard guides with angular metal tabs for the insertion of labels when they will continue to be used after the related file folders are removed. (See figure 6-2, Page 47.) The guides will not have lower eyeleted projections for guide rod insertions. Be consistent when using files guides. There should not be more than one file guide for each 10-20 folders. Too many guides will hinder rather than aid retrieval.

e. Forms. Stocks of blank forms used in files maintenance such as cross-reference sheets and charge-out forms, may be obtained through normal supply channels.

63. UTILIZATION STANDARDS FOR FILING EQUIPMENT.

a. Records maintained in FAA files will be limited to CURRENT, OFFICIAL records. Noncurrent records will be transferred to a Federal Records Center or destroyed in accordance with approved records schedules. Unofficial records will not be kept in active files space or equipment.

b. Letter-size cabinets will be used for letter-size documents. Legal-size cabinets will be used only when at least one-fourth of the documents are of legal size and cannot be replaced by letter-size papers. Small quantities of legal-size documents will be folded to fit letter-size cabinets.

c. Security-classified material will be stored in equipment authorized by security directives. Unused portions of file cabinets used for the storage of classified documents may be used to store unclassified papers, however, unclassified papers should be filed in a separate drawer.

d. Filing cabinets will not be used to maintain blank forms, publications, and office supplies when the drawer space is needed for files. Such material may be kept in filing cabinets only when the volume is small and it is advantageous to utilize otherwise empty drawers.

e. Visible and other specialized filing equipment will be used only for records where quick visibility is essential and posting operations can be accomplished without removal of records. Vertical filing equipment will be used in lieu of specialized filing equipment unless the operational savings resulting from the use of visible equipment are greater than the increased equipment costs involved.

64. REQUESTS FOR FILING EQUIPMENT. Requests for files equipment will be forwarded to the appropriate records officer for review. Equipment standards and review procedures are given in FAA Order 4620.4A, Standards for Office Furniture and Equipment. Records officers will approve or disapprove requests, based on determinations of compliance with approved records schedules, proper utilization of the equipment on hand, projected rate of expansion of the records for which the equipment is requested. Requests for specialized filing and records equipment such as visible files, rotary files, electromagnetic files, power-driven shelf files, copymaking equipment, microphotographic service and/or equipment will be forwarded through the appropriate records officer to the Office of Management Systems, AMS-100, for final review and approval before procurement. Each request for specialized filing equipment will be accompanied with complete justification for need and use, including savings or benefits that may result.

65. FILING AIDS AND DEVICES. Many items of equipment and supplies are available to speed and simplify the task of preparing and filing material. A number of such items are described below and are recommended if the office handles a sufficiently large volume of communications to warrant their procurement and use.

a. Sorting Equipment. Sorting devices are beneficial when numerous sorts are required and the volume of work to be processed is great. The specific type of device selected should be the one best suited for a

particular sorting operation, rather than letting the device determine the procedures. The advantage of using a sorting device, rather than desk top sorting, is that fewer paper handlings are required. It also provides an indexed position for papers to be filed. (See figure 6-3, page 48.) In selecting a sorting method, consider the type of filing arrangement (alphabetic, subject, or adaptation of these); the volume of material; the number of sorts; and the size and weight of paper.

(1) Desk Sorters. The leaf sorter is the most common sorting device. Placed on a desk or table, this device contains a series of guides mounted on a base. Papers to be sorted are inserted horizontally between the guides. Similar sorters are available with a circular base. Others have guides mounted rigidly in a vertical position. A desk sorter may be improvised by stapling a series of file folders together with about one inch of each folder visible for labeling purposes. (See figure 6-3, page 48.)

(2) Bin Sorters. Leaf or vertical sorters arranged in bins on roll-bases may be useful in large operations. These may be moved to the files for direct filing.

(3) Rack Sorters. Rack sorters with "pigeon holes" are particularly useful in name and numeric sorting.

(4) Desk Trays. Desk trays are used for temporarily holding and segregating papers before filing. For greatest efficiency, use a minimum number of trays and label each one properly. (See figure 6-3, page 48.)

(5) Finger Cots. Finger cots, commonly referred to as rubber fingers, are useful for sorting and handling papers. Their use on the index finger, and sometimes on both the index finger and thumb, speeds up the separation of papers.

b. Filing Shelf. A filing shelf is a tray which is suspended from the handle or side of a file drawer. (See figure 6-3, page 48.) It is used to hold papers during the filing process. This device helps to keep papers to be filed in their proper order.

c. Filing Stool. A small filing stool, with casters, enables one to sit comfortably when filing in the lower two drawers of file cabinets. (See figure 6-3, page 48.) Filing stools mounted on casters should not be used for standing to reach into upper drawers, because of the danger of falling. Special ladders are designed for reaching inaccessible material on shelves and in transfer cases stacked above ordinary reaching height.

66.-69. RESERVED.

FIGURE 6-1. KRAFT FILE FOLDER, FULL-CUT, REINFORCED TAB

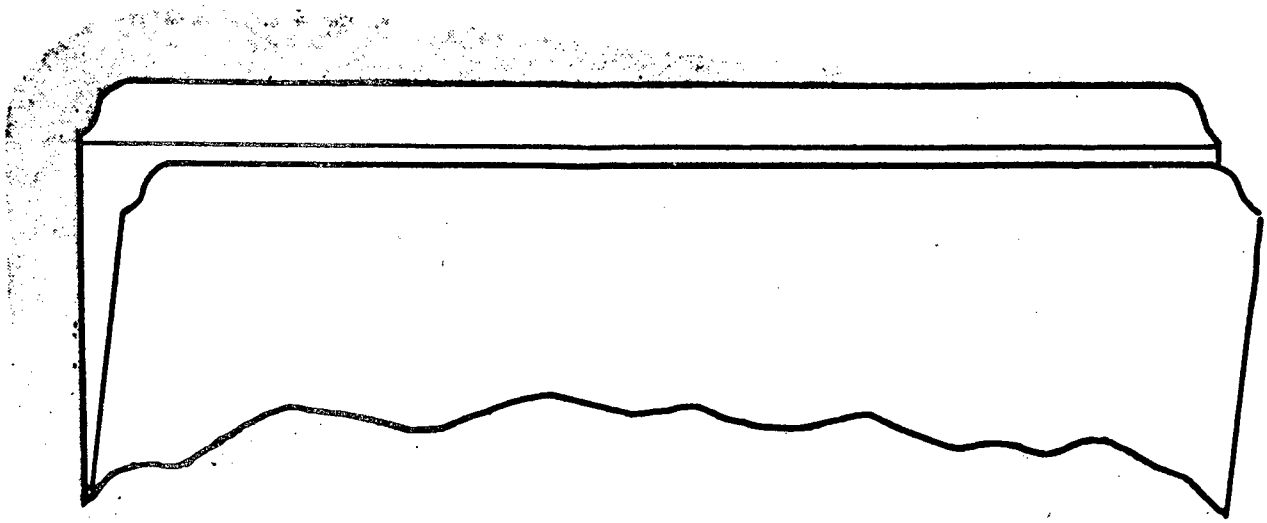
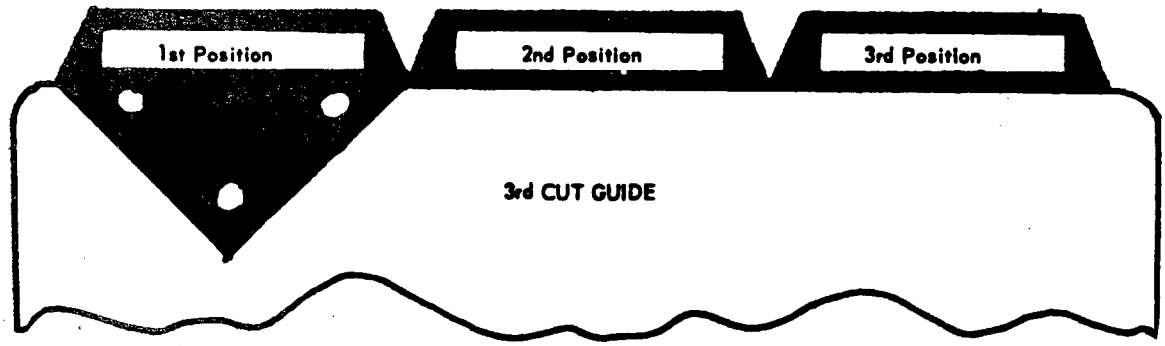


FIGURE 6-2. PRESSBOARD FILE GUIDES WITH METAL TABS



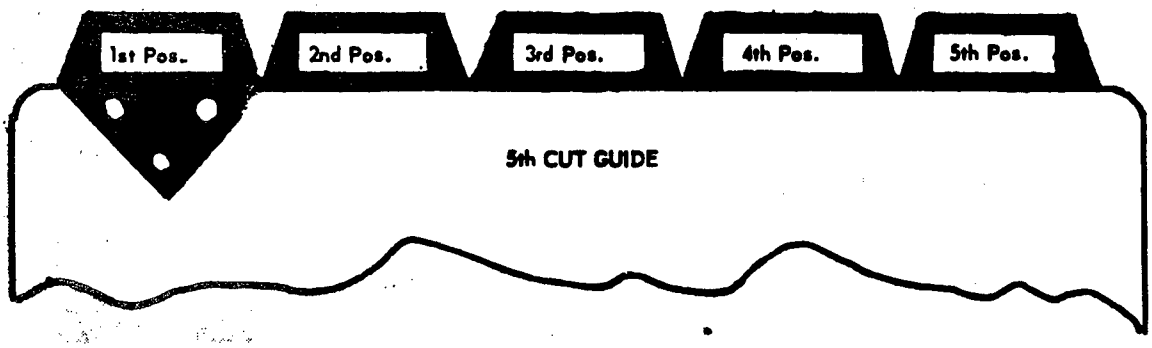
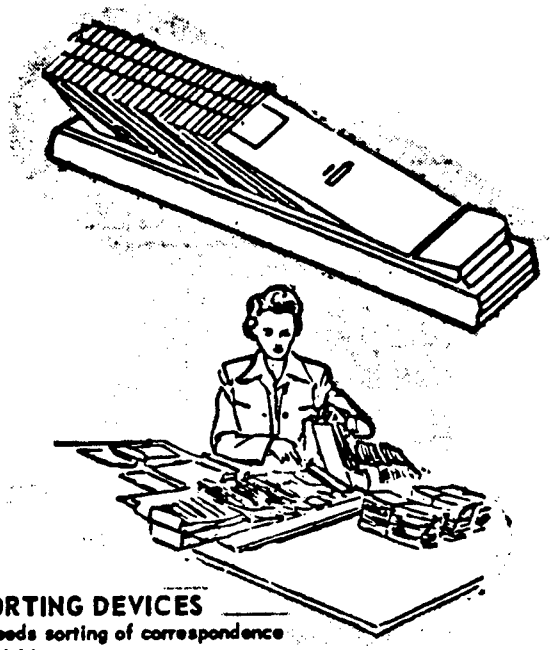
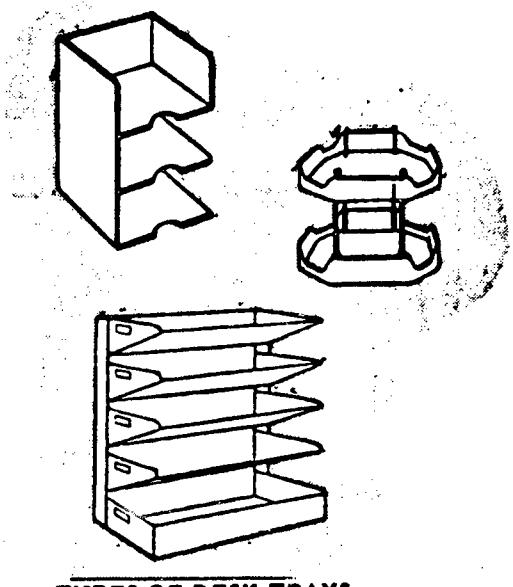


FIGURE 6-3. FILING AIDS AND DEVICES

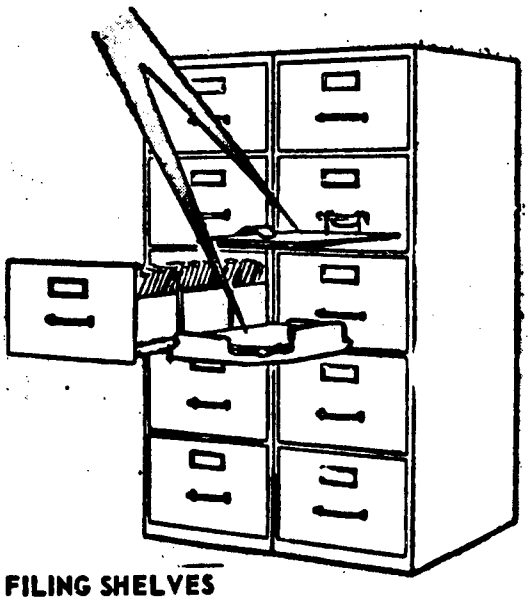


SORTING DEVICES
Speeds sorting of correspondence and filing

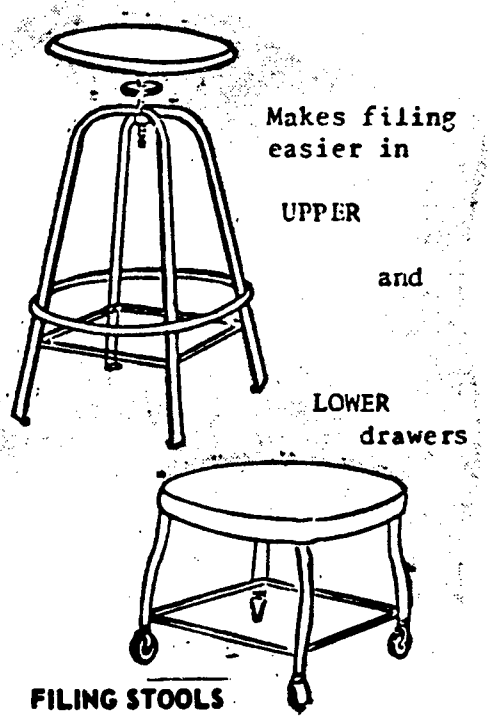


TYPES OF DESK TRAYS
Aids in keeping correspondence in order

Allows clerks to keep hands free for filing



FILING SHELVES



Makes filing easier in UPPER and LOWER drawers

FILING STOOLS

FIGURE 6-4. LISTING OF STANDARD FILE SUPPLIES PRESCRIBED FOR AGENCY FILES

Item	Unit Issue	Catalog No.	(Approximate) Unit Cost
11 pt Kraft file folder reinforced top, square cut Letter size	Hd.	7530-663-0031	$1.30
11 pt Kraft file folder reinforced top, square cut Letter size, with built-in 2½" prong fastener	Hd.	7530-889-3555	3.70
11 pt Kraft file folder reinforced top, square cut Legal size	Hd.	7530-200-4308	1.55
11 pt Kraft file folder reinforced top, square cut Legal size, with built-in 2½" prong fastener	Hd.	7530-559-4512	4.55
11 pt Kraft file folder reinforced end, square cut Letter size	Hd.	7530-881-2957	2.30
11 pt Kraft file folder reinforced end, square cut Letter size, with built-in 2½" prong fastener	Hd.	7530-926-8974	5.30
11 pt Kraft file folder reinforced end, square cut Legal size	Hd.	7530-926-8975	3.40

Side tabbed for fixed shelf file use.
Case file use only.

FIGURE 6-4. LISTING OF STANDARD FILE SUPPLIES PRESCRIBED FOR AGENCY FILES (Continued)

Item	Unit Issue	Catalog No.	(Approximate) Unit Cost
11 pt Kraft file folder reinforced end, square cut Legal size, with built-in 2½" prong fastener	Hd.	7530-926-8976	$6.00
File guide card, gray pressboard 1/3 cut, self tab, Letter size	Hd.	7530-988-6515	2.40
File guide card, gray pressboard, 1/3 cut, self tab, Legal size	Hd.	7530-988-6520	3.00
File guide card, gray pressboard, 1/3 cut, angular metal tab, 1st position, Letter size	Hd.	7530-988-6541	6.20
File guide card, gray pressboard, 1/3 cut, angular metal tab, 1st position, Legal size	Hd.	7530-988-6549	7.00
File guide card, gray pressboard, 1/3 cut, straight metal side tab, 2nd position, Letter size	Hd.	7530-989-0184	11.80
File guide card, gray pressboard 1/3 cut, straight metal side tab, 2nd position, Legal size	Hd.	7530-989-2425	12.90
Form OF -21, Cross Reference	Pad	7540-823-8128	.86
Form OF -22, Continuity Reference	Pad	7540-891-9935	.23

Side tabbed for fixed shelf file use. Case file use only.

FIGURE 6-4. LISTING OF STANDARD FILE SUPPLIES PRESCRIBED FOR AGENCY FILES (Continued)

Item	Unit Issue	Catalog No.	(Approximate) Unit Cost
Form OF-24, Charge Out Shelf file, Letter size	Hd.	7540-823-8131	$1.90
Form OF-25, Charge Out Shelf file, Legal size	Hd.	7540-823-8132	1.40
Form FAA 3079, File Backing	Ea.		N/C

CHAPTER 7. RECORDS TRANSFER AND DESTRUCTION

70. GENERAL. This chapter establishes guidelines and procedures for the systematic destruction or retention of agency records and their retirement to a Federal Records Center (FRC). The retirement of inactive or noncurrent files from operating offices is essential to release high cost space and equipment for the maintenance of current files. Records are considered inactive or noncurrent when they are referred to less than once a month per cubic foot of material involved.

a. Disposition of Agency Records. Disposition of records will be accomplished in accordance with approved disposition standards set forth in Order 1350.15A, Records Organization, Transfer and Destruction Standards, and the General Records Schedule.

b. Annual Review of Records on Hand. An annual housecleaning of records on hand will be conducted to ensure records are retired or disposed of in accordance with approved disposition standards. Records should be disposed of or transferred during slack periods, if possible. The rule should be to interfere as little as possible with current operations.

71. FILES CUT-OFF PROCEDURES. Files cut-off is the segregation of active and inactive files; and the termination of a file after a specified time or event. Established periodic cut-off of files is essential to effectively control the accumulation and growth of documentation and facilitate economic disposition in convenient blocks of records.

b. Cut-off Practices. File clerks should cut-off files and segregate active from inactive; retire, transfer, or destroy eligible material according to the disposition standards contained in Order 1350.15A, Records Organization, Transfer and Destruction Standards, or the General Records Schedule. The following should be observed:

(1) Files maintained on a calendar year basis: Cut-off on December 31 of each year and establish new files.

(2) Files maintained on a fiscal year basis: Cut-off at the end of the applicable fiscal year and establish new files the following day. EXAMPLE: Fiscal Year (FY) 1979 records date from October 1, 1978, through September 30, 1979.

(3) Files with a retention period of less than 1 year and maintained on a monthly basis: Cut-off and dispose after their authorized retention period. EXAMPLE: Large accumulations of records which are disposable after 6 months could be cut-off at the end of each month, a new file started the next day, and the cut-off files disposed of after 6 months.

(4) Files maintained as case or project files are cut-off upon the occurrence of an event, such as separation of personnel, final contract payment, or project completion. Upon cut-off, place all completed or closed case files in an inactive file until they are eligible for destruction or transfer to a Federal Records Center, or the National Archives and Records Service.

b. Screening of files on a paper-to-paper basis should not be undertaken for either the retirement or destruction of files. This method is expensive, cumbersome, and time consuming. Screening operations should only be undertaken when a large percent can be eliminated, and:

(1) The material to be eliminated can be extracted on a bulk basis.

(2) Complete folders can be removed.

(3) Disposable material can be easily separated from individual folders as in the case of temporary records filed on the left side of a folder.

72. RECORDS SCHEDULES.

a. Agency Records Schedules. The records schedules listed in Order 1350.15A, Records Organization, Transfer and Destruction Standards, have been approved by the Archivist of the United States as required by law. The standards supersede all previous schedules, identifies each series of records and contain instructions for the retention or disposal of agency records. The application of this schedule, to provide for the orderly transfer and reduction of records is mandatory.

b. General Records Schedules. These schedules, issued by the General Services Administration govern the retention and disposal of records common to all agencies. General Records Schedules are applicable to records of the FAA, and may be used if needed, until they are incorporated into Order 1350.15A, Records Organization, Transfer and Destruction Standards.

c. Temporary Material. To control the accumulation of temporary material, a records schedule identifying specific kinds of such material is contained in paragraph 7, Order 1350.15A, Records Organization, Transfer and Destruction Standards.

73. APPLICATION AND REVIEW OF SCHEDULES. It is the responsibility of each office, service, center, regional headquarters, and field office to ensure compliance with provisions of FAA records schedules and to ascertain that all records of the organization are covered by appropriate disposal instructions. Each FAA office will review its files at least once annually to determine whether the applicable schedule is adequate and if the record schedule is being followed.

a. Recommendations to improve or complete records schedules will be made when annual reviews disclose:

(1) Record series not covered by the schedule.

(2) Items that should be deleted from the schedule because the records involved are no longer being created or maintained.

(3) Retention periods that need to be changed.

Changes should be recommended only when a need for them is clearly indicated. They should not be made merely to avoid compliance with the schedule.

b. Proposed schedule revisions will be submitted to the Office of Management Systems, AMS-140, through the appropriate records officer. Recommendations should contain the following information:

(1) Organizational unit(s) accumulating the records.

(2) A clear and meaningful description of the records, including the purpose for which the records were created, their relationship to the program activities of the unit creating them, and their relationship with other records, including duplication elsewhere in content or in substance.

(3) A proposed period of retention no longer than necessary to satisfy normal administrative, legal, and fiscal requirements, with a justification for the retention period. Such indefinite terms as "Until no longer needed," or "Until the records become inactive," are not acceptable. If the retention period proposed is longer than that for which the records are in active use, the recommendation should provide for their transfer to a Federal Records Center at as early a time as possible.

c. Recommendations for the permanent retention of records will be restricted to records possessing a continuing value and deserving of preservation forever in the National Archives. The Archivist of the United States, whose agency makes the final determination as to records having continuing value, has described records deserving permanent retention as those which reflect the organization and administrative history of the agency, the policies it followed, and the reasons for their adoption, its working methods, its specific individual transactions which have a general and continuing interest or a legal significance, and the general social, economic, or other conditions with which the agency dealt.

d. Representative samples of paper records recommended for destruction will be submitted with the related recommendations. Samples will not be returned unless requested.

e. The Office of Management Systems, AMS-140 will review, coordinate, and evaluate the recommendations for conformity with established policies and regulations. It will take necessary action to obtain approval of the National Archives and Records Service. Unless the record is unique to the office, requests for disposal authority will be written to cover identical records agencywide. Authorities obtained will be included in subsequent amendments to records schedules. Records recommended for disposal may not be destroyed until such specific amendments are issued.

74. EMERGENCY AUTHORIZATION FOR DISPOSAL OF RECORDS. Records may be disposed of on an exception basis when there is a menace to health, life, or property. Whenever it is determined that certain records constitute a continuing menace (such as rodent or insect infestation, radiation hazard from nuclear dust, etc.), a request for the disposal of such records shall be submitted to the Office of Management Systems, AMS-140. This request must specify the type of records, their location and quantity, and the nature of the menace. If the National Archives and Records Service concurs in the request, the immediate removal of the menace by destruction of the records or by other appropriate means will be directed.

75. METHODS OF DISPOSAL.

a. Sale or Salvage. Small quantities of records authorized for destruction may be placed in wastebaskets. Large quantities of papers are normally sold as wastepaper. Records containing classified security information, however, must be destroyed in accordance with applicable FAA directives on security.

b. Donation for Preservation and Use. Whenever the public interest will be served, FAA may, at its discretion, transfer records authorized for destruction to an eligible government (including a foreign government), organization, institution, corporation, or persons that have made application for them. However, such transfers may be made only if all of the following conditions are met:

(1) The authorized retention period has expired.

(2) The recipient agrees not to sell the records as records or documents.

(3) The transfer is made without cost to the U.S. Government.

(4) Disclosure of information contained in the records is not prohibited by law or would not be contrary to the public interest.

(5) Transfer to a person or business corporation is made only when the records are directly pertinent to the custody or operation of properties acquired from the U.S. Government.

(6) Transfer to a foreign government is made only when that government has an official interest in the records.

Requests to donate FAA records as outlined above shall be addressed by letter through the appropriate records officer to the Office of Management Systems, AMS-140.

76. TRANSFER OF RECORDS TO FEDERAL RECORDS CENTERS (FRC).

a. Federal Records Centers are operated by the General Services Administration for the storage, processing, and servicing of records of Federal agencies. The FRC's will accept for transfer any record offered them provided the records have a retention period of one year or more. The centers also provide reference service on records transferred to them. Organizational elements will transfer eligible records to the nearest center. (See figure 7-1, page 64.)

b. Offices should retain as current records a minimum volume of records consistent with efficient operation.

c. Small volume records (less than one cubic foot) should not be transferred to a FRC. The handling and cost involved in such a transfer action is not justified unless the file is bulky and its continued retention in office space is costly.

d. Records should be retired on an annual or FY basis unless the volume involved warrants more frequent transfers.

77. RECORDS TRANSFER PROCEDURES.

a. Each office, service, region, and center is responsible for transferring its inactive records to a Federal Records Center.

b. In the headquarters, AMS-140 will make arrangements and assist offices in the physical transfer of records to the FRC; in regions and centers the records officers will make the necessary arrangements for such transfers of records to the nearest FRC. The following procedures will apply:

(1) The transfer of records to the FRC requires the completion of a SF-135, Records Transmittal and Receipt, (figure 7-2, page 66) and, if needed, SF-135A, Continuation Sheet, (figure 7-3, page 67). These forms serve to record the transfer of files to the center and provide an inventory sufficiently detailed to aid in the reference, retrieval, and disposition of records. The FRC's, however, will not accept records for storage unless they have a retention value of one year or more.

(2) Offices and services in headquarters will obtain accession number and record group numbers from AMS-140. Information will be required as to the security classification of the records being retired, number of boxes, the room number for pickup of records, and the office symbol of the requester.

(3) Regional offices and centers will be notified of their accession number by the appropriate FRC after transmitting the SF-135.

(4) Procedures for transferring GAO site audit records are the same as for the transfer of other records. However, authority to transfer unaudited accountable officers' accounts which are less than one year old must be obtained from GAO through the appropriate records officer.

78. PREPARATION OF TRANSFER FORMS. The SF-135 and SF-135A (obtained through regular requisitioning process) will be prepared in an original and four copies, and should identify the records being transferred, the office transferring the records, the volume, and disposal authority. NOTE: DO NOT MIX GAO RECORDS OR RECORDS WITH DIFFERENT DISPOSAL STANDARDS IN THE SAME CONTAINERS OR IN THE SAME SHIPMENT.

a. Each office transferring records will provide the following information on each SF-135 submitted.

(1) Item 1 - Enter the mailing address of the FRC in the GSA region in which the records are located. For headquarters, enter STOP 386.

(2) Item 2 - For headquarters, this block will be signed and dated by AMS-140. For regional offices and centers, this block will be signed by the records officer.

(3) Item 3 - Enter the name, office, and telephone number of a contact person who is familiar with the records. This will usually be the organizational segment having custody of the records at the time they are transferred.

(4) Item 5 - For headquarters, include the complete address of AMS-140, as shown on figure 7-2, page 66. For regions and centers, include the complete address of the office retiring or transferring the records.

(5) Item 6(a), (b) and (c) - Except in headquarters, these items are filled in by the FRC.

(6) Item 6(d) and (e) - Enter the volume and the appropriate box number.

(7) Item 6(f) - Provide a brief description of each records series and INDICATE INCLUSIVE DATES OF THE RECORDS. A series of records is a block of records having the same disposal authority and the same disposal

date. If the records are GAO site audit records they should be identified as such. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified in this column.

(8) Item 6(g) - Enter one of the codes listed on the reverse side of the form to show a restriction on the use of the records.

(9) Item 6(h) - Identify the disposal authority by reference to Order 1350.15A, and the appropriate item in the schedules. If there is no schedule item that applies, contact AMS-140 for instructions.

(10) Item 6(i) - Applying the disposal authority previously cited in column (h), enter the month and year in which the records may be destroyed.

b. Distribution of SF-135. After the SF-135 has been signed by the appropriate office official, forward the original and three copies to AMS-140 for review and signature. AMS-140 will forward the original and two copies to the FRC and retain one copy. A copy will be returned to the originating office upon completion of the transfer. Heads of regional offices and centers will forward original and two copies of SF-135 to appropriate FRC, and retain a record copy.

c. Review Prior to Transfer. Before files are boxed for transfer, they should be screened to eliminate nonrecord material and material authorized for destruction. However, such screening should be limited to complete folders or subject classification file breaks and NOT individual papers. In addition, security classified material should be declassified or downgraded, if possible, in accordance with FAA security regulations.

d. Packing the Records. Without disturbing the existing files arrangement, pack the boxes in an upright position to preclude movement or damage in transit. Do not overpack, as this could cause the boxes to split, and will also make it difficult to reference the contents if needed. Record Center boxes may be obtained by requisition from the nearest regional depot of the Federal Supply Service or may be ordered from GSA Retail Stores. Each container measures 15x12x10 inches and holds one cubic foot of files. If cartons are to be shipped to a center by freight, express, or parcel post, reinforce them by either placing a cardboard liner inside the carton, or by taping the corners or edges of the closed carton.

e. Box Identification. After the boxes are filled, mark (using black felt marker) each carton in the shipment with the assigned accession number (if known) in the upper left-hand corner on the front of the box. The box number and the number of boxes in the transfer must be marked on each carton in the upper right-hand corner on the front of the box; e.g., 1-12, 12-12, etc. One copy of the SF-135 will be placed in the first carton of each accession before being shipped to the appropriate center.

f. Oversized and Undersized Records. Maps, drawings, ledgers, and other items too large to fit into regular cartons, should be securely tied in bundles with identification tags attached. Handle each bundle as another carton in the numbering sequence. Secure undersized records, such as 3 x 5 cards, by twine or rubber bands, and pack the bundles as closely in the cartons as possible.

g. Referrals to Stored Records. Even though records are physically stored in Federal Records Centers, they are readily accessible to the offices that transferred them. They may also be made available to the public at the centers if FAA approves. The requester may ask for information from the records or for the loan of the records themselves, through the appropriate records officer.

NOTE: To obtain an official personnel folder from the National Personnel Records Center, personnel offices will submit Standard Form 127, Request for Official Folder (Separated Employee), in duplicate directly to the center.

Persons requesting reference service should specify:

(1) The name and location of the person for whom the request is being made.

(2) The accession number of the transfer in which the records were included, as shown on the agency copy of the SF-135, Records Transmittal and Receipt.

(3) A description of the information and/or records desired.

(4) The number of the carton in which the records will probably be found.

h. Disposal of Records by Federal Records Centers. Records at the National Personnel Records Center, authorized for disposal by FAA schedules or the General Records Schedules, will be destroyed in accordance with those schedules without further agency clearance. FAA records stored at other Federal Records Centers will not be destroyed without FAA written concurrence, unless the Standard Form 135 covering the transfer of the records to the center permit their destruction as scheduled without such concurrence. Disposal actions by centers requiring FAA approval are requested by use of GSA Form 7015 (figure 7-4, page 68). FAA disposal clearances on GSA Form 7015 will be signed and dated by the appropriate records officer.

i. Transfers to National Personnel Records Center. Official personnel folders and related payroll records shall be transferred to the National Personnel Records Center, 111 Winnebago St., St. Louis, Mo. 63118, as prescribed herein. This Records Center does not acknowledge receipt of records sent to it.

(1) Official Personnel Folders.

(a) The official personnel folders of employees who are separated from the Federal Government are placed in an inactive file upon their separation. Thereafter, once each month these inactive folders are transferred to the National Personnel Records Center, St. Louis, Missouri.

(b) Loose papers to be included in official personnel folders previously sent to the Records Center shall be forwarded to the Center with Standard Form 127, Request for Official Personnel Folder (Separated Employee), provided that the papers are prescribed as permanent and essential for inclusion in an individuals' folder. A separate copy of SF-127 shall be used to transmit the papers for each individual. In preparing the form, complete the entries in blocks 2, 4, 5, and 6c, and insert in block 5 the date of separation of the employee.

(2) Payroll Records. Because of their value as auxiliary personnel records, certain payroll records (such as individual earning and service cards, final leave record cards, and in some situations, memorandum copies of payrolls) are transferred to the National Personnel Records Center in St. Louis. Where practical, transfer these records in the standard boxes used by the Federal Records Centers. Forward Standard Forms 135 and 135A in duplicate to the National Personnel Records Center.

79. TRANSFER OF RECORDS OTHER THAN TO FEDERAL RECORDS CENTERS. While most records are subject to retirement to Federal Records Centers, from time to time records may become eligible for transfer within FAA, to other Federal agencies, or directly to the National Archives, as provided below.

a. Transfers Within FAA. Records shall be transferred within FAA only when authorized by official directives prescribing changes in organization or reassignment of functions.

b. Transfers to or from Other Federal Agencies. Except when authorized by statute or by Presidential directive:

(1) The official records of FAA may be transferred to another Government agency only when the other agency expresses a need for the records in a written request. Requests for such transfers will be forwarded to the Office of Management Systems, AMS-140, for proper handling of arrangements for transfer. No physical movement of records may be made without such direction.

(2) The official records of another Government agency may be transferred to FAA only when the requesting FAA organization presents in writing the following information to the FAA Records Management Officer:

(a) The name of the releasing or defunct organization.

(b) A concise description of the records to be transferred, including the volume in cubic feet.

(c) A statement of the restrictions imposed on the use of records.

(d) A statement of the number of reference requests per month made on the records, with information as to the agencies and persons using the records and the purpose of such use.

(e) A statement of the number of persons, if any, assigned to the administration of the records.

(f) A statement of the current and proposed physical and organizational locations of the records.

(g) Information as to why the proposed transfer is in the best interests of the Government.

(h) A justification for the transfer of records more than five years old.

(i) Related record schedule provisions, and any recommended schedule changes.

The Office of Management Systems, AMS-140, will obtain the necessary concurrences of the releasing organizations, obtain the necessary authorization from the National Archives and Records Service, and will direct the physical movement of such records.

c. Transfer to National Archives. The National Archives is authorized to accept for deposit records of any Federal agency that are determined by the Archivist of the United States to have sufficient historical or other value to warrant their continued preservation by the Government. Records normally are transferred to the National Archives from a Federal Records Center. However, certain classes of records may be offered for direct transfer to the National Archives. They are:

(1) Audiovisual records (motion pictures, still photographs, sound recordings, etc.).

(2) Cartographic records (maps, charts, etc.).

(3) Records that have been in existence 25 years or more and are considered to have enduring value.

To initiate a direct transfer of records to the National Archives, forward a letter describing the records, their volume and location, and the name and organization of the custodian to the Office of Management Systems,

AMS-140. The records may not be transferred unless they are specifically appraised by the Archivist and found to be eligible for transfer to the National Archives.

d. Transfer to Local Interim Storage Areas. Some activities have found it advisable and economical to establish local facilities for interim storage of (1) short-term temporary records whose handling and transportation costs do not justify their transfer to a records center, and (2) small amounts of records pending a sufficient accumulation to warrant transfer to a records center. Such local facilities are feasible when the storage area is unattended and references to the records are provided by the unit retiring the records; the records are stored without the use of specialized storage equipment; and unused storage-type space is locally available, e.g., in basements, closets, vacated warehouses, or other unoccupied space not suitable for normal office use. Headquarters personnel will utilize WA Form 1350-2 (figure 7-5, page 69), for storage of records in the headquarters storage room. The forms are available in the Office of Management Systems, AMS-140.

FIGURE 7-1. NATIONAL RECORDS CENTERS, FEDERAL ARCHIVES AND RECORDS CENTERS, AND FEDERAL RECORDS CENTERS

GSA Region	Areas Served	Location
	Designated records of the Department of Defense	National Personnel Records Center (Military Personnel Records) 9700 Page Boulevard St. Louis, MO 63132
	Entire Federal Government for personnel records of separated Federal employees; pay records of all Federal employees; medical records of civilian employees of the Army, Navy, and Air Force; records of agencies in greater St. Louis, Missouri area	National Personnel Records Center (Civilian Personnel Records) 111 Winnebago Street St. Louis, MO 63118
1	Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island	Federal Archives and Records Center 380 Trapelo Road Waltham, MA 02154
2	New York, New Jersey, Puerto Rico, and the Virgin Islands	Federal Archives and Records Center Military Ocean Terminal, Bldg. 22 Bayonne, NJ 07002
3	Delaware and Pennsylvania east of Lancaster	Federal Archives and Records Center 5000 Wissahickon Avenue Philadelphia, PA 19144
3	Pennsylvania except areas east of Lancaster	Federal Records Center Defense Activities, Bldg. 308 Mechanicsburg, PA 17055
3	District of Columbia, Maryland, Virginia, and West Virginia	Washington National Records Center Washington, DC 20409
4	North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida, and Kentucky	Federal Archives and Records Center 1557 St. Joseph Avenue East Point, GA 30344
5	Illinois, Wisconsin, and Minnesota	Federal Archives and Records Center 7358 South Pulaski Road Chicago, IL 60629
5	Indiana, Michigan, and Ohio	Federal Records Center 3150 Bertwynn Drive Dayton, OH 45439
6	Kansas, Iowa, Nebraska, and Missouri except greater St. Louis area	Federal Archives and Records Center 2306 East Bannister Road Kansas City, MO 64131
6	Greater St. Louis, Missouri area	National Personnel Records Center (Civilian Personnel Records) 111 Winnebago Street St. Louis, MO 63118

FIGURE 7.1 NATIONAL RECORDS CENTERS, FEDERAL ARCHIVES AND RECORDS CENTERS, AND FEDERAL RECORDS CENTERS (Continued)

GSA Region	Areas Served	Location
7	Texas, Oklahoma, Arkansas, Louisiana, and New Mexico	Federal Archives and Records Center 4900 Hemphill Street Building 1, Dock 1, Fort Worth, TX
8	Colorado, Wyoming, Utah, Montana, North Dakota, and South Dakota	Federal Archives and Records Center Bldg. 48, Denver Federal Center Denver, CO 80225
9	Nevada (except Clark County), California (except Southern California), and American Samoa	Federal Archives and Records Center 1000 Commodore Drive San Bruno, CA 94066
9	Clark County Nevada, Southern California (counties of: San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Los Angeles, Riverside, Orange, Imperial, Inyo, and San Diego), and Arizona	Federal Archives and Records Center 24000 Avila Road Laguna Niguel, CA 92677
10	Washington, Oregon, Idaho, Alaska Hawaii, and Pacific Ocean area (except American Samoa)	Federal Archives and Records Center 6125 Sand Point Way Seattle, WA 98115

FIGURE 7-2. RECORDS TRANSMITTAL AND RECEIPT FORM (SF-135)

RECORDS TRANSMITTAL AND RECEIPT — Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE 1 OF 2 PAGES

1. TO (Complete the address for the appropriate records center serving your area)

Federal Archives and Records Center
General Services Administration

As shown in FPMR 101-11.810-1

2. AGENCY TRANSFER AUTHORIZATION — TRANSFERRING AGENCY OFFICIAL (Signature and title): See para 78a(2) — DATE

3. AGENCY CONTACT — TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.): See para 78a(3)

4. RECORDS CENTER RECEIPT — RECORDS RECEIVED BY (Signature and title) — DATE

5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt copy of this form will be sent to this address)

Federal Aviation Administration
800 Independence Ave., S. W.
AMS-140, Room 604
Washington, D. C. 20591

Fold line

6. RECORDS DATA

ACCESSION NUMBER RG (a)	FY (b)	NUMBER (c)	VOLUME (cu. ft.) (d)	AGENCY BOX NUMBERS (e)	SERIES DESCRIPTION (With inclusive dates of records) (f)	RESTRICTION (g)	DISPOSAL AUTHORITY (Schedule and item number) (h)	DISPOSAL DATE (i)	COMPLETED BY RECORDS CENTER: LOCATION (j)	ANY PLAN SHELF (k)	TRANSF. COMP. (l)	DISP. AUTO. (m)
237	79	001	13	1 thru 13	General correspondence files, including reports and related documents. January - December 1978	N	1350.15A Item 1300(1)(b)	Jan 84				
237	79	002	2	1 thru 2	Policy correspondence files, including reports and related materials relating to the development and establishment of agency accounting policies, systems and procedures. January - December 1974	N	1350.15A Item 2700(1)	Jan 85				

Standard Form 135 (Rev. 6-76)
Prescribed by GSA
FPMR (41 CFR) 101-11.4

FIGURE 7-3. RECORDS TRANSMITTAL AND RECEIPT FORM (SF-135A)

RECORDS TRANSMITTAL AND RECEIPT (Continuation)

This form is to continue listing of Records Data when space on SF 135 is not adequate. Instructions for completion of SF 135 apply.

TRANSFERRING AGENCY'S NAME: Federal Aviation Administration, 800 Independence Ave. S.W., AMS-140, Room 604, Washington, D.C. 20591

DATE:

PAGE 2 OF 2 PAGES

ACCESSION NUMBER RG (a)	FY (b)	NUMBER (c)	VOLUME (cu. ft.) (d)	AGENCY BOX NUMBERS (e)	SERIES DESCRIPTION (With inclusive dates of records) (f)	RESTRICTION (g)	DISPOSAL AUTHORITY (Schedule and item number) (h)	DISPOSAL DATE (i)	COMPLETED BY RECORDS CENTER: LOCATION (j)	SHELF/PLAN (k)	TAPE CONT. (l)	AUTO. DISP. (m)
237	79	003	8	1 thru 8	Allotment and ledger distribution transaction files. Records, showing status of obligations and allotments under each appropriation. January-September 1978	N	1350.15A Item 2710(11)	Oct 88				

STANDARD FORM 135-A (Rev. 6-76)
Prescribed by GSA
FPMR (41 CFR) 101-11.4

FIGURE 7-4. REPORT OF DISPOSITION OF RECORDS

NOTICE OF INTENT TO DISPOSE OF RECORDS

The records described appear eligible for disposal on the date shown. In accordance with FPMR 101.410.8(b), they will be disposed of unless justification for their retention is received within 30 days from the date of this notice. Write such justification on the reverse side of this form, also propose a new disposal date; and return this form to the records center. If you concur in the disposal, be sure to annotate your SF-135 (all copies) to show that the records have been disposed of.

REMARKS

DATE OF NOTICE

DISPOSAL DATE

RECORDS DESCRIPTION

ACCESSION NUMBER

SUBGROUP

VOLUME (Cubic feet)

SERIES DESCRIPTION

DISPOSAL AUTHORITY

NATIONAL ARCHIVES AND RECORDS SERVICE
WASHINGTON NATIONAL RECORDS CENTER
WASHINGTON, DC 20409

GENERAL SERVICES ADMINISTRATION

GSA FORM 7015 (REV. 4-74)

FIGURE 7-5. RECORDS TRANSMITTAL AND LOCAL STORAGE REQUEST

PAGE OF PAGES

TO: AMS-140	FROM: (Off./Svc. Rods. Off.) (Custodian of Files)	FOR AMS-140 ONLY	Control No.

INSTRUCTIONS: Submit to Agency Records Management Officer in DUPLICATE. A copy will be receipted and returned to originating office. NOTICE: On the Destruction Date 1/ shown below the contents will be destroyed without referral to files custodian or files source.

FILES BELONG TO - Division	Branch	TOTAL NUMBER OF - Boxes	Cartons	Packages	RECORDS MANAGEMENT OFFICER

RECORDS TRANSMITTED

BOX NO.	FILE SERIES	BRIEF DESCRIPTION OF RECORDS WITH INCLUSIVE DATES	DESTRUCTION DATE 1/

NA Form 1350-2 (4-77) RECORDS TRANSMITTAL AND LOCAL STORAGE REQUEST

CHAPTER 8. MICROGRAPHICS

80. GENERAL. This chapter provides standards and procedures for the microfilming of records which shall be managed in accordance with the provisions of Order 1350.20, Micrographics Management Program, Order 1350.21, FAA Microform Standards, and Federal Property Management Regulations (FPMR) 101-11.5.

81. MICROFORM USES. Microform applications are classified into four very broad categories: security and archival storage, science and engineering use, records and information management, and micropublishing. The most popular microforms in use today include 16mm roll microfilm, microfiche and 35mm aperture cards. Requirements for these microforms are outlined in Order 1350.21, FAA Microform Standards.

a. Advantages. Microfilming can (1) save space and equipment in storing records, (2) improve filing and retrieval procedures, (3) provide security copies, (4) produce quick, inexpensive duplicates for low cost distribution and mailing, and (5) save paper through utilization of computer-output-microfilm (COM) techniques.

b. Disadvantages. (1) Microfilming existing records may be cost prohibitive, if much preparation or restoration time is involved. (2) Adding or merging updated information into a microform system may be difficult and expensive, if not properly designed. (3) Special viewing equipment is needed to read the microforms at each user location.

82. MICROFILMING VS. LOW-COST STORAGE. Records can be stored in Federal Records Centers in their original form for approximately 50 years before storage expense equals the normal cost of microfilming. Annual storage costs in Federal Records Centers are currently 68 cents per cubic foot. Therefore, it is FAA recommended practice to transfer inactive records to Federal Records Centers for storage and servicing unless the costs/benefits of microfilming can be justified. Microform storage and retrieval systems are most efficient for records with high reference activity and for which the user has a need for immediate access to the entire record collection.

83. MICROFILMING NONPERMANENT RECORDS

a. Nonpermanent record microforms to be held less than ten years may utilize any film type or processing system found to be feasible and cost effective. The provisions of paragraphs 84, 86, and 87 below should be applied for nonpermanent record microforms to be held longer than ten years. Microform format requirements of Order 1350.21 apply regardless of retention period.

b. When nonpermanent records are microfilmed, in order to dispose of the original records, offices shall request authority for such disposal from the Office of Management Systems, AMS-140. The request must indicate the original record retention period. No destruction of the original records may take place until such authority is granted.

c. Nonpermanent microform records can be safely maintained under the same conditions as most paper records.

84. MICROFILMING PERMANENT RECORDS. Standards for microfilming Federal Government records have been established by Federal Property Management Regulations, Chapter 101-11.5. The requirements also apply to records produced by a computer-output-microfilm (COM) system where no paper originals exist.

a. Permanent record microforms produced for storage shall be the silver original microfilm or silver duplicate plus one copy which may be either silver, diazo, or vesicular microfilm.

b. The integrity of the original records shall be maintained. Copies shall contain all significant record detail shown on the originals, and be so arranged, identified and indexed that an individual document can be located with reasonable ease. Photographic densities of original silver negative copies shall be between 0.9 and 1.5 for source documents and 1.50 to 2.00 for COM. Minimum resolution for distribution microforms shall be 96 lines per millimeter (LPM). Copies of pertinent standards and specifications can be obtained from AMS-140 upon request (see FAA Microform Standards, Order 1350.21).

c. All microforms shall include information identifying the agency and organization whose records they cover; the title of the records; security classification, if any; and, the inclusive dates, names, or other data identifying the recorded information. Any indexes, or other finding aids shall be microfilmed at the beginning of the records to which they relate, except for microfiche. Microfiche indexes shall be located in the last frame or frames of the format.

d. After processing, the film shall contain not more than 0.7 miligram of sodium thiosulfate per square centimeter of clear film. Tests shall be conducted in accordance with the American National Standards Institute (ANSI) PH 4.8-1971. Facilities are available from the National Archives and Records Service, General Services Administration, Washington, D.C. 20408, for testing samples measuring at least 6 square inches each. A charge will be made for each sample tested.

85. DISPOSING OF MICROFILMED PERMANENT RECORDS. When permanent records are microfilmed and the original documents are to be replaced by the film, the original documents themselves may not be destroyed without National Archives and Records Service authority. Requests for such authority will be made to the Office of Management Systems, AMS-140, through the appropriate records officer before the microfilming project is undertaken. Requests must certify that the records shall be microfilmed in accordance with the standards set forth in this chapter. They shall indicate where the original silver microform and duplicate copy is to be stored for permanent preservation. Original records will be authorized for destruction after microform copies have been prepared and verified for completeness and accuracy.

86. USING MICROFORM COPIES. Silver original microform copies of permanent records shall not be used for reference purposes. Silver, diazo, or vesicular copies of the original microform may be used for active reference. The production of more than 250 duplicates from the original microform: i.e., one roll of microfilm or one microfiche, requires the approval of the Congressional Joint Committee on Printing (JCP). Administrative records are exempt of JCP requirements.

87. STORING SILVER MICROFORMS OF PERMANENT RECORDS. This paragraph prescribes standards required for storing silver original microform copies of permanent records not offered to National Archives, or Federal Records Center for preservation.

a. Organizations opting to retain the two microform storage copies of permanent records shall provide a fire-resistive vault or room. The storage area shall not be used for storage of other materials or as an office or work area.

b. The relative humidity of the storage vault or room shall range from 20 percent to 40 percent with 30 percent as optimum. Temperatures shall not exceed 70°F. Solid particles and gaseous impurities that may deteriorate or abrade the microfilm shall be cleaned from the air. Archival microforms shall not be stored in the same room with nonsilver films.

c. Silver original microfilm stored in rolls shall be wound on cores or on reels of noncorroding material. Rubber bands shall not be used for confining film on reels or cores.

d. Silver microforms shall be stored in a closed container made of inert material such as metal or plastic of proven quality.

e. At approximately 2-year intervals, a 1 percent sample of randomly selected microforms shall be inspected for deterioration problems such as aging blemishes, fungus and stains. Inspection results shall be reported to the Office of Management Systems, AMS-140, within 20 days after the inspection is completed. Reports (RIS: MS 1350-8), shall include at least the (1) quantity of microfilm or permanent records on hand; i.e., number of rolls, microfiche, jackets, etc.; (2) quantity of microforms inspected; (3) condition of microforms, any defects discovered, and corrective action taken.

88. RESPONSIBILITIES OF RECORDS OFFICERS. Records officers will supervise the use of micrographics within their organizations in accordance with Order 1350.20, Micrographics Management Program. They will:

a. Assure that a feasibility study is conducted for new or replacement micrographic systems and/or procurable services.

b. Review, evaluate, and recommend approval or disapproval of studies and requests for micrographic equipment and/or procurable services.

c. Monitor all micrographic systems of the organization to assure that only authorized microfilming is being performed; that only authorized destruction of original paper records takes place; and that all microfilm projects are performed as economically as possible. Records officers may obtain technical advice and assistance from the Office of Management Systems, AMS-140. Microfilming advice and assistance may also be obtained from local GSA/NARS regional offices.

89. RESERVED.

CHAPTER 9. PROTECTION OF VITAL RECORDS

90. GENERAL. This chapter provides standards and procedures for agency programs to ensure the protection and availability of records vital to the operation of the agency during and after an emergency.

91. AUTHORITIES. Authority for the establishment of a program to protect certain agency records is derived from Executive Order No. 10346, dated April 18, 1952, and No. 11003, dated February 20, 1962; the Federal Aviation Act of 1958; Title 41 of the Code of Federal Regulations, Subpart 101-11.7, Federal Property Management Regulations; and FAA Order 1900.1~~0~~D, FAA Emergency Operations Plan.

92. DEFINITIONS. There are two general categories of records to be protected.

a. Emergency operating records are records vital to the essential functions of the Federal Government for the duration of an emergency if the country is attacked. Such records include those necessary to the military effort; the mobilization and protection of material and manpower resources, of services, and of systems; the maintenance of public health, safety, and order; and the conduct of essential civil defense activities. These records must be available as needed at or in the vicinity of emergency operating facilities.

b. Rights and interests records are records essential to the preservation of the legal rights and interests of individual citizens and their Government. These records include such groups as Social Security records, retirement records, payroll records, insurance records, and valuable research records. These records require protection, but storage points do not have to be at or in the vicinity of emergency operating centers. Storage points should be chosen to ensure protection, facilitate transfer and maintenance, and provide reasonable accessibility to the personnel most likely to use the vital records.

93. RESPONSIBILITIES.

a. Heads of offices and services, regional directors, and directors of the Aeronautical Center will:

* (1) Establish a continuing program to select, inventory, identify, pack, and ship copies of vital records to protective areas. Headquarters offices and services will ship three copies of their records to the FAA Records Center Facility. *

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

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

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

(5) Provide the Office of Management Systems, AMS-140, with a Vital Records Inventory Report (RIS: MS 1350-3), annually on or before October 10.

b. Emergency Operations Staff (ATF-10) will:

(1) Provide and maintain storage facilities at the FAA Records Center Facility and other suitable locations.

(2) Provide counsel to agency headquarters offices and services on vital records protection matters.

c. The Office of Management Systems will:

(1) Develop and issue agencywide standards for an effective vital records program.

(2) Provide advice and assistance on vital records management to heads of offices and services, regional directors, and directors of the Aeronautical Center and NAFEC.

(3) Coordinate the overall vital records program and evaluate program effectiveness.

d. Records officers in the offices, services, regions, and centers are responsible for assisting their organizational heads in carrying out the requirements of this program. The records officers in the regions and at the centers will also be responsible for obtaining suitable storage areas for the protection of their records at their relocation sites and at other locations.

94. SECURITY ASPECTS OF THE PROGRAM.

a. All classified records requiring protection will be handled in accordance with FAA directives for handling classified material.

b. The agency's principal relocation site is classified information; every precaution must be exercised not to compromise the location of the site. All other relocation sites of the agency are unclassified, but knowledge of their locations and emergency use is FOR OFFICIAL USE ONLY and should be divulged only on a need-to-know basis.

95. SELECTION AND VOLUME. The cost and complexity of work prohibit the protection of every record in the agency that might be used during and following an emergency situation. The truly vital records usually constitute only about 1 or 2 percent of the total records volume. The determination as to whether a given type of record is vital and which category it fits is often a difficult decision to make. The General Services Administration Records Management Handbook entitled "Federal Vital Records Program," National Stock Number 7610-00-543-7722 provides further guides for selection.

a. Emergency operating records requirements should be based upon essential emergency functions assigned to the organization involved. During the emergency period, records needed for routine operations will usually not be of immediate concern. Much of what employees do with records from day to day would not be done in an emergency. Consequently, these records are highly selective and their volume is very small. They include, but are not limited to, statements of emergency missions and other supporting documents required to perform the functions assigned to task groups or alternate headquarters; delegations of authority; successions to command; regulations, orders and practices that have an effect on essential functions; rosters of select employees and listings of their skills that might be useful during and after an emergency.

b. Rights and interests records requirements should be decided upon such factors as the rights of individuals, the rights and interests of the Government, and records necessary to reestablish agency operations following an emergency. Records such as titles of aircraft ownership, employee retirement and leave, and grants of loans to the public protect legal rights. Reconstitution records should be limited to critical data that would serve as a foundation on which to rebuild agency programs and operations. They need not duplicate records that are being treated as vital records by other agencies with whom FAA has dealings. Also, reconstitution records should be chosen after considering possible changes in program needs after a major disaster. It is not usually necessary or desirable to locate these records at relocation sites.

96. FILES.

a. Organize files into groupings identified by office of primary interest. Where practical, sequence and identify file folders or material by item numbers shown on the vital records inventory sheet. Separate and label file material so that one complete folder, publication, or batch of material can be forwarded as a substitute for another, where practical.

b. Common-purpose items, such as collections of directives, can be filed apart from the general files. Common-purpose items should be listed on the inventory of the office responsible for selecting them for vital records site. A listing of common purpose items should be published to ensure that such items are not duplicated unnecessarily in the files.

97. TRANSFER AND STORAGE. Place records in appropriate folders, envelopes, or bundles, identified for ready filing by item number. Each package should be marked so that it can easily be identified as vital records. Materials shipped should indicate whether the shipment is new, replaces items previously filed, or is to be interfiled with material already filed. FAA Form 3457-1, Vital Records Transmittal Slip, is available for this purpose to simplify handling (see figure 9-2, page 81).

98. VITAL RECORDS INVENTORY REPORT (RIS: MS 1350-3). Each office, service, region, and center submits annually to the Office of Management Systems, AMS-140, a vital records inventory report. Each report is complete in itself and supersedes the previous report.

a. Inventory. After determining your vital records, list them on an FAA Form 3457, Vital Records Inventory, (see figure 9-1, page 80). The form identifies each type of record by item number and title or subject. It shows the recording medium, the office of primary interest, the office responsible for shipping items to the site, and the frequency of shipment. Document any subsequent changes, additions, or deletions to the inventory on a supplementary Form 3457, as they occur. The responsible records officer and defense readiness officer sign each inventory and supplement. Prepare a separate inventory for each relocation site or other designated location at which vital records are situated. Prepare sufficient copies for the vital records site, the defense readiness officer, and records officers involved.

b. Description of records. The description of records called for on the inventory form, FAA Form 3457, should adequately explain the types of records involved. The description should be more definitive than a merely broad category such as "Administrative." It should not, on the other hand, list every individual record or form. Generally, the entry will be a file or series covering a subject or activity, and having a similarity in arrangement and physical type of record. When microfilm is involved, as part of the description, tell the number of reels or unitized copies, (microfiche, aperture cards, etc.) and approximately how many documents are covered by the file.

c. Dual items. Some items may fall into both the emergency operating and the rights and interests categories. List the type of records on each inventory form and cross-reference by placing an asterisk after the item number to show that the item appears on both lists.

d. Report due dates.

(1) Reports are due on or before October 10 annually. Show status as of September 30. Reports will be submitted in an original and two copies to the Office of Management Systems, AMS-140. Forwarding memos are not desired.

(2) Make a special advisory report whenever there is a change in the location of the records or whenever a significant change occurs in the status of the program or in the type of records protected. Submit these reports as soon as possible after such changes occur.

99. RESERVED.

FIGURE 9-1. VITAL RECORDS INVENTORY

REPORTS IDENTIFICATION SYMBOL MS 1350-3

VITAL RECORDS INVENTORY	ORGANIZATION RESPONSIBLE	DATE (of inventory)
SIGNATURE OF DEFENSE READINESS OFFICER	SIGNATURE OF RECORDS OFFICER	
LOCATION OF RECORDS (Prepare a separate inventory list for each location)		VOLUME (Cubic Feet)

ITEM NO.	TITLE OR SUBJECT AND BRIEF DESCRIPTION	RECORD MEDIUM[1]	OFFICE OF PRIMARY INT. SYMBOL	SHIPPING OFFICE SYMBOL	SHIPPING FREQUENCY[2]
1	Roster of key personnel (These are sample entries. Items will vary according to office of primary interest)	Paper	APT-1	APT-3 (may be OPI or a distribution point not in OPI)	S SA
2	Roster of military personnel	Paper			
2-1	Air Force	Paper			
2-2	Navy	Paper			
2-3	All other military	Paper			
3 thru 5 (Reserved.) (Numbers may be reserved for expansion.)					
6	(Division and Branch Groupings. List by organization echelons.)		APT-100		
7			APT-120		
8			APT-130		
9	(Division or Branch Grouping)		APT-200		
10			APT-210		
11			APT-210		
12			APT-220		

NOTE: As basic inventory items are added or deleted an addendum or correction sheet will be prepared, using a new Inventory Form and covering only the item involved.

Inventory sheets are held by vital records site custodian, Records Officer and Defense Readiness Officer of responsible organization, and Agency Records Officer.

Site copy is first item in first related organization drawer.

[1] Paper, microfilm, punch-cards, etc. [2] Weekly (W), Monthly (M), Semi-Annual (SA), Annual (A), Situation (S), etc.

FAA Form 3457 (8-64) OBSOLETE PREVIOUS EDITION (1350)

FIGURE 9-2. VITAL RECORDS TRANSMITTAL SLIP

APT item #2 & folder #2)

VITAL RECORDS TRANSMITTAL SLIP	INVENTORY ITEM NO. APT-2-2	
FROM		
SIGNATURE A. B. See	ROUTING SYMBOL APT-3	DATE 7-11-79
TO		

(X)	FILING INSTRUCTIONS
	FILE ONLY
X	SUBSTITUTE FOR PREVIOUS MATERIAL
	FILE AS NEW ITEM FOR INVENTORY
	DESTROY ITEM (
	TAKE THE ACTION DESCRIBED BELOW.

/Some shipments go via Records Officer. Some, such as directives and aero charts, may go directly from shipping or distribution points. The latter need no Form 3457-1, but are identified by the address plate and vital records site code.

Filing is by item number and by item and folder number in some cases.

Group, handle, and forward items by folder or item when practical. This simplifies operations.

Material intended for separate file items should have separate slips (Form 3457-1)/

FAA Form 3457-1 (1380)

FIGURE 9-2. VITAL RECORDS TRANSMITTAL SLIP

APT item #2 & folder #2)

VITAL RECORDS TRANSMITTAL SLIP	INVENTORY ITEM NO. APT-2-2	
FROM		
SIGNATURE A. B. See	ROUTING SYMBOL APT-3	DATE 7-11-79
TO		

(X)	FILING INSTRUCTIONS
	FILE ONLY
X	SUBSTITUTE FOR PREVIOUS MATERIAL
	FILE AS NEW ITEM FOR INVENTORY
	DESTROY ITEM (
	TAKE THE ACTION DESCRIBED BELOW.

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FROM		
SIGNATURE A. B. See	ROUTING SYMBOL APT-3	DATE 7-11-79
TO		

(X)	FILING INSTRUCTIONS
	FILE ONLY
X	SUBSTITUTE FOR PREVIOUS MATERIAL
	FILE AS NEW ITEM FOR INVENTORY
	DESTROY ITEM (
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FROM		
SIGNATURE A. B. See	ROUTING SYMBOL APT-3	DATE 7-11-79
TO		

(X)	FILING INSTRUCTIONS
	FILE ONLY
X	SUBSTITUTE FOR PREVIOUS MATERIAL
	FILE AS NEW ITEM FOR INVENTORY
	DESTROY ITEM (
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Material intended for separate file items should have separate slips (Form 3457-1)/

FAA Form 3457-1 (1380)

CHAPTER 10. ENGINEERING AND MANUFACTURING CERTIFICATION RECORDS - ORGANIZATION AND CONTROL

100. GENERAL. This chapter establishes procedures to be used in organization and control of engineering and manufacturing certification records. These requirements apply to all engineering and manufacturing organizations (including the Wichita Engineering and Manufacturing District Office (EMDO) and the Aircraft Certification Staff) in all regions excluding any so titled organization located in the centers.

101. ACTION. The engineering and manufacturing organizations affected by this chapter, shall implement the standards within the succeeding five fiscal years from the effective date of this order.

102. SCOPE. This chapter prescribes a standard record system of all records (hard copy and microforms) documenting the granting of an FAA approval (certification). This chapter does not include those records (administrative and technical) which are unique to an individual organizational operation.

103. DEFINITIONS.

a. Holder. An applicant who has been granted an approval for a Type Certificate (TC), Supplemental Type Certificate (STC), Parts Manufacturer Approval (PMA), Production Certificate (PC), or Technical Standard Order (TSO).

b. Controlled Records. Material relating to and supporting the basis for granting an applicant an approval for a TC, STC, PMA, PC, or TSO.

c. Model - The particular identity of an article. It may include the manufacturers name, a trade name or number, and other designations which give the article a unique identity.

104. OFFICIAL FILE STATIONS. Each engineering and manufacturing organization shall establish official file stations for the maintenance and use of controlled records. Suggestions on proper use of file space are included in chapter 3.

105. ACCESS TO RECORDS. To ensure efficiency and integrity of the records system, access to controlled records should be limited to regularly assigned file room personnel. In cases where it is not practical, written procedures should be established and each user of the records system instructed in the procedures.

106. ORGANIZATION OF CONTROLLED RECORDS. This material represents completed actions where an FAA approval has been granted.

a. The controlled records should consist of five primary divisions. They are:

(1) Type Certification records.

(2) Supplemental Type Certification records.

(3) Parts Manufacturer Approvals.

(4) Production Certification records.

(5) Technical Standard Order authorizations.

b. All other records determined necessary to be maintained as a part of the official records (including pending approvals and denials) may be filed in a manner prescribed by the individual organization. The filing system chosen for these records must not interfere with the organization and operation of the controlled records.

107. STANDARD RECORD CODES AND FILE ARRANGEMENT. The standards contained in this paragraph are primarily concerned with the organization and marking of the controlled records. The basic content of the record label is specified in paragraphs a through e. Additional label information may be added to satisfy local filing requirements, but this information must not interfere with the basic label information.

a. Type Certification File. Organize records by holder's name and model, and identify as follows. The principle order of filing shall be alphabetical by holder's name, then alpha and/or numeric by model designation.

(1) The records shall be coded 8110-0 - Holder's name will begin each TC holder section. The folder will contain material which does not name any specific identity, i.e., model.

(2) The records will be further divided by model designation. The folder shall be coded 8110-1 - Holder's name - model. All NEW files of this subdivision, which contain correspondence or other records which may be subject to freedom of information regulations, must be separated into groups presumed to be releasable or nonreleasable. Releasable should be on the right and nonreleasable should be on the left of folders.

(3) Drawings will be filed in separate TC drawing files by name and drawing number. Reports and specifications will be filed separately also, by the manufacturer's sequential logic.

(4) All folders or microfiche should be color coded with a red stripe. Label size and placement should conform to chapters 5 and 6.

(5) Folders should only be prepared when material is received for filing. When material exceeds capacity of one folder, create new folders and identify as Folder 1, Folder 2, etc.

b. Supplemental Type Certificate File. Organize the records by STC number. The record shall be coded 8111-1 - STC #.

(1) Individual STC records will be identified by the STC number. This file shall include all documents related to the STC approval (including drawings). All NEW files of this subdivision, which contain correspondence or other records which may be subject to freedom of information regulations, must be separated into groups presumed to be either releasable or nonreleasable; releasable should be on the right and nonreleasable should be on the left of folders.

(2) All folders or microfiche should be color coded with a blue stripe. Label size and placement should conform to chapters 5 and 6.

(3) Folders should only be prepared when material is received for filing. When material exceeds capacity of one folder, create new folders and identify as Folder 1, Folder 2, etc.

c. Parts Manufacturer Approval File. Organize the file by holder's name.

(1) The record shall be coded 8112 - Holder's name. This folder will contain all material which is related to the PMA action. All NEW files of this subdivision, which contain correspondence or other records which may be subject to freedom of information regulations, must be separated into groups presumed to be either releasable or nonreleasable; releasable should be on the right and nonreleasable should be on the left of folders.

(2) All folders or microfiche should be color coded with a gold stripe. Label size and placement should conform to chapters 5 and 6.

(3) Folders should only be prepared when material is received for filing. When material exceeds capacity of one folder, create new folders and identify as Folder 1, Folder 2, etc.

d. Production Certificate File. Organize the file by holder's name.

(1) The record shall be coded 8120 - Holder's name. The folder will contain all material which is related to the PC action. All new files of this subdivision, which contain correspondence or other records which may be subject to freedom of information regulations, must be separated into groups presumed to be either releasable or nonreleasable; releasable should be on the right and nonreleasable should be on the left of folders.

(2) All folders and microfiche should be color coded with a green stripe. Label size and placement should conform to chapters 5 and 6.

(3) Folders should only be prepared when material is received for filing. When material exceeds capacity of one folder, create new folders and identify as Folder 1, Folder 2, etc.

e. Technical Standard Order Authorizations. Organize the file by holder's name.

(1) The record shall be coded 8150-0. This record will begin each TSO holder's section. This folder will contain material not related to any specific TSO. (Note: This is not necessary if holder has only one TSO authorization.) All NEW files of this subdivision, which contain correspondence or other records which may be subject to freedom of information regulations, must be separated into groups presumed to be either releasable or nonreleasable; releasable should be on the right and nonreleasable should be on the left of folders.

(2) A holder's record will be further subdivided to the TSO's authorized. The record shall be coded 8150-1 - Holders's name - TSO #. It is intended that this folder contain all material related to that particular TSO (including drawings), with the exception of reports and specifications. Reports and specifications will be filed separately by the manufacturer's sequential logic.

(3) All folders or microfiche should be color coded with a white label. Label size and placement should conform to chapters 5 and 6.

(4) When material exceeds capacity of one folder, create new folders and identify as Folder 1, Folder 2, etc.

108. RECORDS DISPOSITION. All records will be retained or destroyed in accordance with Order 1350.15A, paragraph 19.

109. RECORDS TRANSFER.

a. Transfer Between Regions. Upon notification from the holder of an FAA approval that he/she is transferring to a new location under another region's control, the sending region will:

(1) Coordinate the transfer with the Engineering and Manufacturing Records Manager of the receiving region.

(2) Identify all records related to the transfer.

(3) Review records to determine they are complete.

(4) Prepare a checklist.

(5) Withdraw all related records stored in Federal Records Center (FRC).

(6) Transfer all hard copy and "master" copy microforms, except duplicate copies will be retained when they apply to one or more projects that are not leaving the region.

(7) The method chosen to transfer the records shall have sufficient control to minimize the risk of loss during the transfer (i.e., registered mail).

(8) Forward original checklist to receiving region, retain one copy and forward one copy to AWS-100.

(9) Notify affected Engineering and Manufacturing District Offices in sending region when transfer is completed.

(10) The receiving region's Engineering and Manufacturing Records Manager will inventory the material received and advise the sending region accordingly.

b. Transfer to FRC's. Transfer of records to a Federal Records Center will be accomplished in accordance with chapter 7.

110. MICROFORM. Order 1350.21, FAA Microform Standards, shall be used as a guideline to determine proper microform formats and reduction ratios.

APPENDIX 1. ALPHABETICAL BREAKS AND RULES FOR ALPHABETICAL FILING

CAPTIONS FOR 100 DIVISIONS OF THE ALPHABET

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RULES FOR ALPHABETICAL FILING

1. Individual names should be filed surname first, followed by given name or initials.

Written	Filed
Dr. John M. Brown Edward J. White	Brown, John M. (Dr.) White, Edward J.

2. Individual surname prefixes such as De, de, d', du, von, Le, Der, L', Mac, Mc, and O' are considered parts of the surname. The apostrophe, the hyphen, the space or capitalization, if any, are disregarded in determining the order of filing.

Written	Filed
Charles DeGraun Der Amerikaner Francois D'Olier duPont de Nemours L'Aiglon Restaurant	DeGraun, Charles Der Amerikaner D'Olier, Francois duPont de Nemours L'Aiglon Restaurant

3. Hyphenated firm or corporate names are treated as separate words.

Written	Filed
Air-O-Pad Co. Scripps-Booth Co.	Air O Pad Co. Scripps Booth Co.

4. Hyphenated surnames of individuals are treated as one word.

Written	Filed
Ernestine Schumann-Heink David Lloyd-George	SchumannHeink, Ernestine LloydGeorge, David

5. "And," "&," "of," "for," are disregarded in filing, but are enclosed in parentheses.

Written	Filed
Pomeroy & Jones Home for the Aged	Pomeroy (&) Jones Home (for the) Aged

6. When a firm or corporate name embodies the full name of an individual the first name or initials are transposed.

Written	Filed
L. S. Ayres and Co. Harry Dodson & Co.	Ayres, L. S. & Co. Dodson, Harry & Co.

7. The dictionary arrangement of "Mac" and "Mc" is simple and correct.

Written	Filed
John W. MacBride Richard L. Madden James W. McWilliams Jean M'Dan David E. Mellen	MacBride, John W. Madden, Richard L. McWilliams, James W. M'Dan, Jean Mellen, David E.

8. Abbreviations and titles such as Jr., Sr., 2d, Dr., Capt., and Mrs. are enclosed in parentheses and follow the name.

Written	Filed
Marshall Field 3d Dr. Robert J. Smalley	Field, Marshall (3d) Smalley, Robert J. (Dr.)

9. Firm names composed of numerals are filed as though the numerals were spelled out.

Written	Filed
7th Avenue Tailors 10th Street	Seventh Avenue Tailors Tenth Street Garage

10. Names of banks, trust companies, building and loan associations, civic clubs, chambers of commerce, and the like are filed by the names of the cities in which they are located.

Written	Filed
City National Bank of Marion Rotary Club of Keokuk	Marion (Ohio) City National Bank Keokuk Rotary Club

11. Abbreviated names are treated as though spelled in full.

Written	Filed
Jos. Brown John St. John St. Louis Dairy	Brown, Joseph Saint John, John Saint Louis Dairy

12. When one firm name has office locations in different cities, group all records alphabetically by towns, disregarding the state.

Written	Filed
The Coca Cola Bottling Co.	Coca Cola Bottling Co., Chicago, Ill.
The Coca Cola Bottling Co.	Coca Cola Bottling Co., Lawrence, Kan.
The Coca Cola Bottling Co.	Coca Cola Bottling Co., Wilmington, Del.

13. Firm or corporate names made up of a surname without initials or other limiting terms, precede the same surname having initials. Very often these single surnames are in the possessive case.

Written	Filed
Cassady's	Cassady's
A. L. Cassady	Cassady, A. L.
The Cassady-Brown Co.	Cassady Brown Co. (the)

14. Names of hotels, cafes, and taverns or restaurants should be filed so that, regardless of the form in which the firm name appears, the distinguishing title becomes the filing term rather than the words "Cafe" or "Hotel."

Written	Filed
Astor House	Astor House
Hotel Broadview	Broadview Hotel
Cafe du Nord	du Nord Cafe

15. Names of foreign governments and state and municipalities should be filed using the name of the geographic area as the identifying factor.

Written	Filed
Canadian Bureau of Customs	Canada, Customs, Bureau of
City of Chicago	Chicago, City of

16. When there is voluminous correspondence with agencies or bureaus of the Federal Government, different methods can be adopted, but the simplest method is to subdivide the material by the title of the agency or bureau, regardless of the Department to which it may be subordinate.

Written	Filed
U.S. Department of Agriculture, Forest Service	Forest Service
U.S. Department of Commerce, Bureau of the Census	Census Bureau

(Continued on following page)

6. When a firm or corporate name embodies the full name of an individual the first name or initials are transposed.

Written	Filed
L. S. Ayres and Co. Harry Dodson & Co.	Ayres, L. S. & Co. Dodson, Harry & Co.

7. The dictionary arrangement of "Mac" and "Mc" is simple and correct.

Written	Filed
John W. MacBride Richard L. Madden James W. McWilliams Jean M'Dan David E. Mellen	MacBride, John W. Madden, Richard L. McWilliams, James W. M'Dan, Jean Mellen, David E.

8. Abbreviations and titles such as Jr., Sr., 2d, Dr., Capt., and Mrs. are enclosed in parentheses and follow the name.

Written	Filed
Marshall Field 3d Dr. Robert J. Smalley	Field, Marshall (3d) Smalley, Robert J. (Dr.)

9. Firm names composed of numerals are filed as though the numerals were spelled out.

Written	Filed
7th Avenue Tailors 10th Street	Seventh Avenue Tailors Tenth Street Garage

10. Names of banks, trust companies, building and loan associations, civic clubs, chambers of commerce, and the like are filed by the names of the cities in which they are located.

Written	Filed
City National Bank of Marion Rotary Club of Keokuk	Marion (Ohio) City National Bank Keokuk Rotary Club

11. Abbreviated names are treated as though spelled in full.

Written	Filed
Jos. Brown John St. John St. Louis Dairy	Brown, Joseph Saint John, John Saint Louis Dairy

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The Coca Cola Bottling Co.	Coca Cola Bottling Co., Lawrence, Kan.
The Coca Cola Bottling Co.	Coca Cola Bottling Co., Wilmington, Del.

13. Firm or corporate names made up of a surname without initials or other limiting terms, precede the same surname having initials. Very often these single surnames are in the possessive case.

Written	Filed
Cassady's	Cassady's
A. L. Cassady	Cassady, A. L.
The Cassady-Brown Co.	Cassady Brown Co. (the)

14. Names of hotels, cafes, and taverns or restaurants should be filed so that, regardless of the form in which the firm name appears, the distinguishing title becomes the filing term rather than the words "Cafe" or "Hotel."

Written	Filed
Astor House	Astor House
Hotel Broadview	Broadview Hotel
Cafe du Nord	du Nord Cafe

15. Names of foreign governments and state and municipalities should be filed using the name of the geographic area as the identifying factor.

Written	Filed
Canadian Bureau of Customs	Canada, Customs, Bureau of
City of Chicago	Chicago, City of

16. When there is voluminous correspondence with agencies or bureaus of the Federal Government, different methods can be adopted, but the simplest method is to subdivide the material by the title of the agency or bureau, regardless of the Department to which it may be subordinate.

Written	Filed
U.S. Department of Agriculture, Forest Service	Forest Service
U.S. Department of Commerce, Bureau of the Census	Census Bureau

(Continued on following page)

16. (Continued)

U.S. Department of Interior, Fish and Wildlife Service	Fish (and) Wildlife Service
U.S. Department of Justice, Federal Bureau of Investigation	Federal Bureau (of) Investigation
U.S. Department of Treasury, Internal Revenue Service	Internal Revenue Service

17. One or more single letters used as words should be treated as words in determining the order of filing.

Written	Filed
A. A. Club	A A Club
A. B. C. Mfg. Co.	A B C Manufacturing Co.
ACE Letter Co.	ACE Letter Co.

18. The sequence of words should be controlled by the alphabetical precedence of the first letter of each word, or the second letter when the first are alike, or the third when the first and second are alike.

Written	Filed
Robert J. Asbill	Asbill, Robert J.
Robert J. Ball	Ball, Robert J.
Robert J. Bell	Bell, Robert J.
Robert J. Bess	Bess, Robert J.

19. When two words of unequal length are spelled alike up to and including the last letter of the shorter word, the shorter word should precede the longer word.

Written	Filed
R. W. John	John, R. W.
Paul B. Johns	Johns, Paul B.
Wm. B. Johnston	Johnston, Wm. B.
Ralph R. Johnstone	Johnstone, Ralph R.

20. In Chinese names, the first word in the name as written shall be treated as the surname, except in cases where Chinese names include an English name which is definitely known to be a given name. In such instances, the English given name shall be treated as a given name.

Written	Filed
Bink Shong	Bink Shong
David Fong	Fong, David
Fong Lung Sing	Fong Lung Sing

(Continued on following page)

20. (Continued)

Lung Fong On Sing Charlie Sing John David Sing	Lung Fong On Sing Sing, Charlie Sing, John David

21. The sequence of names of organizations or public institutions named after individuals shall be determined by the order of the letters or words comprising their legal names.

Written	Filed
George Washington University Henry Ford Hospital Woodrow Wilson Club	George Washington University Henry Ford Hospital Woodrow Wilson Club

22. Names of firms or organizations consisting of letters of the Alphabet, which when combined are not ordinary words, such as names of radio or television stations, are filed in regular alphabetical sequence.

Written	Filed
The IXL Shoe Repair Service Radio Station KDKA Radio Station WLW Radio Station WMAL Television Station WMAL Television Station WRC	IXL Shoe Repair Service (the) KDKA Radio Station WLW Radio Station WMAL Radio Station WMAL Television Station WRC Television Station

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