

CHAPTER 1. GENERAL

1-1. PURPOSE.

This order establishes guidelines and procedures for the systematic destruction or retention of records and their retirement to a Federal Records Center as required by Federal statutes and regulations. Disposition of records must be accomplished in accordance with approved standards set forth in this order. This order has been sent to the National Archives and Records Administration (NARA) for review.

1-2. DISTRIBUTION.

This order is distributed to the division level in the Washington headquarters and at the Technical Center, to all secretaries in the regions, to all managers and supervisors at the Aeronautical Center; standard distribution to all field offices and facilities; and to all Records Management Officers.

1-3. CANCELLATION.

This order cancels Order 1350.15B, Records Organization, Transfer, and Destruction Standards dated, September 30, 1987.

1-4. EXPLANATION OF CHANGES.

This revision:

- a. Provides retention and disposal standards for records that were not previously scheduled and changes the disposition of those schedules which have been updated since the last printing.
- b. Separates the Freedom of Information Act (FOIA) and Privacy Act area into two separate series, 1270 is used for FOIA, and 1280 is used for Privacy Act.
- c. Incorporates the Commercial Space Transportation organization records into the FAA schedule.
- d. Lists the approved disposition authority for all scheduled record series, and indicates series without proper disposition authority. Organizations that maintain these records will be required to contact the Agency Records Officer to obtain appropriate disposition authority.
- e. Incorporates the General Records Schedule (GRS) provided by NARA. These record materials, common to most government agencies, are scheduled by NARA for all government entities. The agency is bound by these schedules unless it requests specific authority to deviate from the government-wide standard.

1-5. ACRONYMS.

AD	Airworthiness Directive
CAR	Civil Aviation Regulations
CFR	Code of Federal Regulations
FPM	Federal Personnel Manual
FRC	Federal Records Center
GAO	General Accounting Office
GRS	General Records Schedule
HRPM	Human Resources Policy Manual
NARA	National Archives and Records Administration
NIST	National Institute of Standards and Technology
NOTAM	Notice to Airmen
OMB	Office of Management and Budget
OPF	Official Personnel File
OPM	Office of Personnel Management
PL	Public Law
RMO	Records Management Officer

1-6. DEFINITIONS.

- a. **Adequate and Proper Documentation** - A record of the conduct of Government business that is:
- (1) Complete and accurate to the extent required to document the organization, function, policies, decisions, procedures, and essential transactions of the agency.
 - (2) Designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities.
- b. **Administrative Records** – Records that support agency mission activities, but are not part of the mission function. Administrative records relate to activities such as, but are not limited to budget and finance, human resource, equipment, supplies, facilities, public and congressional relations, and contracting.
- c. **Case Files** - Records, regardless of media, documenting a specific action, event, person, place, project, or other matter. They are filed by a unique name, number or, particular event or action that causes the case to be closed or become inactive.
- d. **Chronological retention** - Documents are retained for a specified period of time, and final disposition is based on simple computation of document age.
- e. **Conditional retention** – Retention period of documents is dependent upon certain conditions; e.g., aircraft blueprints used for certification purposes are maintained until the last aircraft of that type no longer exists, or building plans are maintained until the building is no longer under agency control.

f. **Cutoff** - The breaking or ending of files at regular intervals, usually the end of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, to permit space for the setting up of new files. Case files are ordinarily cut off at the end of the year in which the case is closed.

g. **Data Base** - A collection of data related to a particular topic or purpose and the tools for using the data.

h. **Data Base Management System** - A software system used to access and retrieve information stored in a database.

i. **Data file** - Related numeric, textual, or graphic information that is organized in a strictly prescribed form and format in an electronic file.

j. **Disposal** - The final action taken in the life cycle of temporary records. Upon expiration of the retention period, disposal generally consists of destruction, and occasionally, donation to a government agency or organization or to an eligible person.

k. **Disposition** – Includes:

(1) Destruction (disposal) of temporary records no longer needed for conducting current business;

(2) Transfer of inactive records to regional records services facilities; transfer to NARA of records determined to have sufficient historical or other value to warrant continued preservation; and,

(3) Donation of temporary records to an eligible person or organization after the authorized retention period has expired and after NARA has approved the donation.

l. **Electronic Record** - Any information that is recorded by, or in a form at that only a computer can process and that satisfies the definition of a Federal record in 44 USC 3301. (Electronic records include numeric, graphic, and text information, which may be recorded on any medium capable of being read by a computer and which satisfies the definition of a record. This includes, but is not limited to, magnetic media, such as tapes and disks, and optical disks. Unless otherwise noted, these requirements apply to all electronic records systems, whether on microcomputers, minicomputers, or mainframe computers, regardless of storage media, in network or stand-alone configurations).

m. **Federal Records Centers (FRC)** – Government facilities that provide temporary storage and reference service for records that are needed infrequently by the creating agency but are not yet eligible for disposal or transfer to the National Archives. Records stored at records centers remain in the legal custody of the creating agency. The Washington National Records Center serves as the Regional Records Services Facility for the Washington, D.C. area.

n. **Files Custodian** - Every organization, at least down to the division level, within the Federal Aviation Administration is required to have an official file station. Individuals responsible for the official file stations are called File Custodians.

o. **Inactive Record** - A record no longer needed for the conduct of business.

p. **Microform** - A medium containing greatly reduced images or microimages. Types of microform include microfilm, microfiche, aperture cards, and computer output microfilm.

q. **Nonrecord Materials** - Those Federally owned informational materials that do not meet the statutory definition of records (44 U.S.C. 3301) or that have been excluded from coverage by the definition. Excluded materials are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit.

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

s. **Program Records** – The records created by each Federal agency in performing the unique functions that stem from the distinctive mission of the agency.

t. **Records Schedule** - A document approved by the National Archives and Records Administration, which provides authority for the final disposition of recurring or nonrecurring records. Includes Standard Form 115, Request for Records Disposition Authority, and the General Records Schedule (GRS). Records shall not be destroyed except as authorized by an approved records schedule.

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

v. **Scheduling** - The process of developing schedules for the disposition of records, along with disposition instructions for nonrecord materials. (NARA, "A Federal Records Management Glossary")

w. **Working Files** - Preliminary drafts, rough notes, and similar materials that were used to prepare final copies. Working files may meet the statutory definition of records and shall be maintained to ensure adequate and proper documentation if:

(1) They were circulated and made available to employees other than the creator for official purposes such as approval, comment, action, recommendation, follow-up, or to communicate with agency staff about agency business; and

(2) They contain unique information, such as substantive annotations or comments, that adds to a proper understanding of the agency's formulation and execution of basic policies, decisions, actions, or responsibilities.

1-7. GENERAL.

a. The heads of Federal agencies are responsible for making and preserving records, including electronic records, containing adequate documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency. The records shall be maintained so as to be easily retrievable. The records should be designed to furnish information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities. (See 44 U.S.C. 3101). Each Federal agency is required to establish an active and continuing records management program, and is responsible for submitting records disposition schedules to the Archivist of the United States for approval. No record may be destroyed without the authorization of the Archivist. Unauthorized destruction of records can result in criminal penalty [18 U.S.C. 2071].

b. These standards cover retention, transfer, and destruction of all FAA files. The standards cover all data wherever it is kept and whatever its physical characteristics. The operating officials concerned develop the standards, working with the FAA records officer and National Archives and Records Administration record specialists. Once approved the standards must be followed, until they are officially changed.

c. File standards provided herein are used to prepare official file lists for all file stations. The lists outline contents, arrangement, and transfer and destruction provisions. Order 1350.14, Records Management, provides guidance in creating official file lists. Anyone having trouble in interpreting or implementing this schedule is urged to contact the responsible organizations Records Management Officer, or the Agency Records Officer in the Office of Cost and Performance Management.

1-8 LEGAL REQUIREMENTS.

The National Archives and Records Administration Act of 1984 (Public Law 98-497, 44 United States Code [U.S.C.] Chapter 29), amended the records management statutes to divide records management responsibilities between NARA and the General Services Administration (GSA). Under the Act, NARA is responsible for adequacy of documentation and records disposition and GSA is responsible for economy and efficiency in records management. Federal agency records management programs must comply with regulations promulgated by both NARA and GSA. The following references contain federal recordkeeping requirements:

- a. Federal Property and Administrative Services Act of 1949, as amended (40 U.S.C. 759 Section 111).
- b. Federal Records Act of 1950, as amended (44 U.S.C. Chapter 21, Chapter 29, Chapter 31, Chapter 33).
- c. National Archives and Records Administration Act of 1984 (Public Law 98-497, 44 U.S.C. Chapter 21).
- d. Paperwork Reduction Act of 1980, as amended (44 U.S.C. Chapter 35).
- e. 36 CFR Chapter XII, Subchapter B, especially Part 1234, "Electronic Records Management."

- f. Federal Information Resources Management Regulation (FIRMR) Bulletin B-"Electronic Records Management." (Note that FIRMR Bulletin B-1 is essentially the same as 36 CFR Chapter XII, Subchapter B, Part 1234).
- g. FIRMR Part 201-9, "Creation, Maintenance, and Use of Records."
- h. 18 U.S.C. Chapter 101, Records and Reports - §2071, Concealment, removal, or mutilation generally.
- i. 5 U.S.C. § 552, Freedom of Information Act.
- j. Order 1350.14, Records Management.

1.9. OBJECTIVES.

The objectives of the records management program are to:

- a. Provide policy, standards, and effective controls over the creation, organization, maintenance, and use of agency record materials.
- b. Provide standards for the preservation of records of continuing value, and the systematic disposal or transfer to storage or records centers of all records of temporary value in accordance with applicable laws and regulations.
- c. Provide training and guidance on records management systems and procedures in each program element in order to assist in records management and retrieval.
- d. Evaluate records management programs and recordkeeping systems to ensure effectiveness, efficiency, adherence to changing agency policy and technology, and compliance with applicable laws and regulations.

1-10. RESPONSIBILITIES:

- a. Each office, service, region, and center 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 Management Officer (RMO) for the office or service and an alternate.
- b. The RMO will assist in carrying out these general responsibilities and will specifically:
 - (1) Facilitate the disposition of records, to ensure that permanent records are preserved and ultimately transferred to the Archives and that temporary records no longer of current use are promptly disposed of or retired in accordance with their disposition schedules.

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(2) Submit each proposed records schedule developed by an organization on SF-115, Request for Records Disposition Authority, to the FAA Records Management Officer for concurrence. Upon the FAA Records Management Officer's concurrence, proposed records disposition schedules will be sent to NARA for approval. Organizations shall not adopt a proposed records schedule, or dispose of records based on a proposed records schedule, prior to final approval by NARA. Consideration will be given to the need for the records in conducting current business, as well as the likelihood for potential future usage for legal, fiscal, and administrative purposes; and adequate documentation, including the opinion of the Office of the Chief Counsel, as necessary.

(3) Maintain a directory of file stations and a descriptive list of records maintained at each file station.

c. The Office of Cost and Performance Management (APF):

(1) Develops and implements agencywide records management policies, systems, standards, and procedures.

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

(3) Represents the agency to NARA in obtaining approval for the disposal of records.

(4) Ensures compliance with statutory, regulatory, and departmental requirements and standards.

(5) Reviews and conducts required agencywide coordination for all prepared records disposition schedules and obtains approval for the schedules from NARA.

a. Each Government and contract employee is responsible for the protection and preservation of documentation of agency function for which they are responsible following the procedures set forth in this directive as well as Order 1350.14.

b. Program and Project Managers are responsible for creation, maintenance, protection, and disposal of records with other program areas. They shall:

(1) Create records to ensure adequate and proper documentation of their area of responsibility.

(2) Implement procedures to ensure records are protected from theft, loss, or unauthorized access.

(3) Transfer or destruction of inactive records as specified in this order. Coordinate changes with their organization's RMO to establish new types of records, or to make changes in the records retention schedule.

b. The National Archives and Records Administration will evaluate and coordinate schedules submitted for approval.

1-11. RECORDS SCHEDULES

- a. All records must be scheduled for disposition by NARA. Requests for changes to existing schedules or new schedules may be initiated through the office Records Management Officer. The scheduled shall be prepared on a Standard SF-135, Request for Records Disposition Authority, coordinated with all affected organizational elements, and approved by the Agency
- b. Records Officer prior to submission to NARA. Records schedules should be developed and written in such a manner as to minimize the need for updating. Records should be described in general terms that will not be likely to change frequently. Specific forms, names of reports and systems or similarly detailed references should be avoided.
- c. Disposition instructions in record schedules are mandatory. Managers or employees may not dispose of records prior to their authorized disposal date of retained beyond that date. If a program official determines that records need to be retained longer than authorized by the schedule, the Records Management Officer should be contacted to obtain approval from NARA, and if necessary, to revise the schedule.
- d. Nonrecord materials are not generally included on record schedules because their disposal is not covered by 44.U.S.C., Chapter 33. Officials should dispose of nonrecord materials as soon as they have served their purpose and are no longer needed. The Records Management Officer should be contacted for advice if there is any question whether documentary materials are records or nonrecords.