

WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule DAA-0237-2014-0003

Request for Records Disposition Authority

Records Schedule Number DAA-0237-2014-0003
Schedule Status Returned Without Action

Agency or Establishment Federal Aviation Administration
Record Group / Scheduling Group Records of the Federal Aviation Administration
Records Schedule applies to Agency-wide
Schedule Subject Policy and Regulations Big Bucket Schedule
Internal agency concurrences will be provided No

Background information The Policy and Regulations functional bucket includes all records involved in the creation, development, revision, oversight, promulgation, publishing, audit, inspections, monitoring and compliance of regulations, policies, guidance, standards, directives, reporting requirements and rules. The bucket also includes soliciting and responding to public and other stakeholder comments except where those series are scheduled by the GRS. Environmental policy is included in this functional bucket. All certifications are in the Aviation Safety functional bucket.

NOTES:

1. This is a media neutral schedule with retentions applied regardless of format or media unless specifically noted otherwise.
2. This schedule does not include or supersede any General Records Schedule items.
3. This schedule applies across FAA organizational units.
4. This schedule does not supersede the following NARA schedules: N1-237-92-4 (Item 4a, 4c, 4d and 4e) only.
5. All duplicates and other convenience copies of records described in this schedule may be deleted and/or destroyed when no longer needed; and must not be kept past the approved retention period assigned to the Official Agency Record.
6. See the Legal schedule for items covering adjudication and dispute resolution case files; legal opinion and interpretation files and similar records.

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule DAA-0237-2014-0003

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	9

GAO Approval

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Outline of Records Schedule Items for DAA-0237-2014-0003

Sequence Number	
1	Regulatory Compliance and Enforcement.
1.1	Enforcement, Oversight and Compliance Case Files. Disposition Authority Number: DAA-0237-2014-0003-0001
1.2	Enforcement, Oversight and Compliance Working Files. Disposition Authority Number: DAA-0237-2014-0003-0002
2	Regulatory Development.
2.1	Substantive Policy, Regulations and Rule Development Files. Disposition Authority Number: DAA-0237-2014-0003-0005
2.2	Routine Policy, Regulations and Rule Development Files. Disposition Authority Number: DAA-0237-2014-0003-0006
2.3	Rule Docket Files Description.
2.3.1	Substantive Rules Docket Files. Disposition Authority Number: DAA-0237-2014-0003-0007
2.3.2	Routine Rules Docket Files. Disposition Authority Number: DAA-0237-2014-0003-0008
2.3.3	Rules Docket Working Files. Disposition Authority Number: DAA-0237-2014-0003-0009
2.3.4	Directives Case Files. Disposition Authority Number: DAA-0237-2014-0003-0010
2.3.5	Directives Working Files. Disposition Authority Number: DAA-0237-2014-0003-0011

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Records Schedule Items

Sequence Number																					
1	<p>Regulatory Compliance and Enforcement. Includes all records involved in the implementation, monitoring, and oversight of regulations for the air transportation industry. All enforcement action records are included. This includes inspection records, as well as records related to standards and reporting requirements developed to guide regulated entities such as airports, aircraft manufacturers, and airlines.</p>																				
1.1	<p>Enforcement, Oversight and Compliance Case Files.</p> <p>Disposition Authority Number DAA-0237-2014-0003-0001</p> <p>Final Disposition Temporary</p> <p>Item Status Withdrawn</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>1650.5a1</td> <td>Order 1350.15C Records Organization, Transfer, and Destruction Standards</td> </tr> <tr> <td>1650.5a2a</td> <td></td> </tr> <tr> <td>1650.5a2b</td> <td></td> </tr> <tr> <td>2160.1d</td> <td></td> </tr> <tr> <td>2160.1c</td> <td></td> </tr> <tr> <td>2970.3a</td> <td></td> </tr> <tr> <td>2970.3b</td> <td></td> </tr> <tr> <td>2970.4</td> <td></td> </tr> <tr> <td>8030.1b1a</td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation N1-237-92-5/a1 N1-237-92-5/a2a N1-237-92-5/a2b N1-237-00-1 N1-237-92-3/1b1a</p>	Manual Citation	Manual Title	1650.5a1	Order 1350.15C Records Organization, Transfer, and Destruction Standards	1650.5a2a		1650.5a2b		2160.1d		2160.1c		2970.3a		2970.3b		2970.4		8030.1b1a	
Manual Citation	Manual Title																				
1650.5a1	Order 1350.15C Records Organization, Transfer, and Destruction Standards																				
1650.5a2a																					
1650.5a2b																					
2160.1d																					
2160.1c																					
2970.3a																					
2970.3b																					
2970.4																					
8030.1b1a																					

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1.2

Disposition Instruction

Cutoff Instruction Cut off files when case is closed in enforcement electronic systems.

Transfer to Inactive Storage Transfer to FRC 2 years after case closure.

Retention Period Destroy 5 year(s) after case closure.

Additional Information

GAO Approval Not Required

Enforcement, Oversight and Compliance Working Files.

Disposition Authority Number DAA-0237-2014-0003-0002

Includes national, headquarters, regional, field, office and facilities internal evaluation reports excepting Flight Standards internal evaluation reports which are in Aviation Safety, Aircraft Management.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
1300.3a1	Order 1350.15C Records Organization, Transfer, and Destruction Standards
1300.3a2	
1300.3a3	
1300.3a4	
1300.3b1	
1300.3b2	
1300.3b3	
1300.3b4	
5190.1	
8030.1a	
8030.1b1b	
8030.1b2	

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8030.1b3	
8030.1b4	
8030.1c	
8040.2	

GRS or Superseded Authority Citation
 NC1-237-83-3/1a
 NC1-237-83-3/2a
 NC1-237-83-3/3a
 NC1-237-83-3/4a
 NC1-237-83-3/b2
 NC1-237-83-3/b3
 NC1-237-83-3/b4
 NC1-237-77-3/50a
 N1-237-92-3/1a
 N1-237-92-3/1b1b
 N1-237-92-3/1b2
 N1-237-92-3/1b3
 N1-237-92-3/1b4
 N1-237-92-3/1c
 II-NNA-1102/20

Disposition Instruction

Retention Period Destroy 2 year(s) after closure.

Additional Information

GAO Approval Not Required

Regulatory Development.

Involves all records associated with developing regulations, policies, and guidance to implement laws. It includes policy and guidance development (the creation and dissemination of guidelines to assist in the interpretation and implementation of regulations), comment tracking (the activities of soliciting, maintaining, and responding to public comments regarding proposed regulations); regulatory creation (researching and drafting proposed and final regulations) and rule publication (activities associated with the publication of a proposed or final rule in the Federal Register and Code of Federal Regulations).

Substantive Policy, Regulations and Rule Development Files.

Disposition Authority Number DAA-0237-2014-0003-0005

These files demonstrate substantive, important policy, regulation, and rule development by the FAA. These records document critical changes over time to FAA policies, regulations or rules. These include, but are not limited to, records such as administrative policy and planning files, significant or high level correspondence, historical planning and policy files, and organizational planning

2

2.1

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0237-2014-0003

files. Substantive regulatory development is included in this item regardless of regulatory focus or Office of Primary Responsibility (OPR).

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
1000.1	Order 1350.15C Records Organization, Transfer, and Destruction Standards
1000.2	
1100.1	
1300.1a	
1300.2a	
1320.1a	
1650.2a	
7000.1a	
7400.3a	
9000.1a	

GRS or Superseded Authority Citation
NC-174-227/1
NC-174-227/2
NC-174-227/3
NC-174-227/7
NC-174-227/9
NC1-237-77-3/1a
NC1-237-77-3/37a
NC-237-75-4/a
NC1-237-77-3/61a
NC1-237-77-7/13a

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply Non-electronic Textual Records

Cutoff Instruction Cut off closed files annually.

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Transfer to Inactive Storage Transfer to FRC when 5 years old.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after close of file

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
Unknown; records currently stored within the FRC system range in date from 1958 to 2012.

How frequently will your agency transfer these records to the National Archives? Unknown
Unknown

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	138 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply Electronic Records

Cutoff Instruction Cut off closed files annually.

Transfer to Inactive Storage Electronic records should be transferred when 3 years old, with any related documentation and external finding aids, in accordance with standards applicable at the time.

Transfer Electronic Records to the National Archives for Pre-Accessioning Transfer electronic records to the National Archives for pre-accessioning immediately after 3 years

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after close of file

Additional Information

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2.2

What will be the date span of the initial transfer of records to the National Archives? Unknown
Unknown

How frequently will your agency transfer these records to the National Archives? Unknown
Unknown

Routine Policy, Regulations and Rule Development Files.

Disposition Authority Number DAA-0237-2014-0003-0006

These files do not demonstrate substantive and important policy, regulations, and rule development by the FAA. They reflect the ordinary policy, rule and regulatory work of the FAA. Routine regulatory development is included in this item regardless of regulatory focus or Office of Primary Responsibility (OPR).

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
1300.1b	Order 1350.15C Records Organization, Transfer, and Destruction Standards
1300.2b	
1320.1b	
1650.2b	
6010.1	
7000.1b	
7000.1c	
7400.1	
7400.2	
7400.3b	
8040.1a1a	
8040.1a1b	
8040.1a1c	
8040.1a2	

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8040.1a3a	
8040.1a3b	
8040.1a3c	
8040.1a4a	
8040.1a4b	
8040.1a4c	
8040.1a5a	
8040.1a5b	
8040.1a5c	
8040.1a6a	
8040.1a6b	
8040.1a6c	
8040.1a6d	
8040.4a	
8040.4b	
9000.1b	

GRS or Superseded Authority Citation
 NC-174-227/7
 NC-174-227/9
 NN-169-45/b
 NC1-237-77-3/37b
 NC1-237-77-3/69
 NC-237-75-4/b
 NC-237-75-4/c
 352-S207/123
 NC1-237-79-3/1
 NC1-237-77-3/61b
 NC1-237-83-1/11
 II-NNA-1017/58
 NC1-237-83-1/14
 NC1-237-77-7/13b

Disposition Instruction

Transfer to Inactive Storage

Transfer to FRC when 5 years old.

Retention Period

Destroy 10 year(s) after Superseded or Cancelled

Additional Information

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2.3	GAO Approval Not Required								
	Rule Docket Files Description. These files relate to the creation of a new Federal Aviation Regulation (FAR) or amendment of an existing FAR. Each docket contains some or all of the following documents: proposal, notice of proposed rulemaking, written material received from the public in response to the notice, petitions for rulemaking and exemptions from the rule, petitions for rehearing or reconsideration, petitions for modifications or revocations, notices granting or denying exemptions, reports of proceedings such as oral arguments or formal public hearings, notices denying proposals, final rule or order.								
2.3.1	Substantive Rules Docket Files. Disposition Authority Number DAA-0237-2014-0003-0007 Dockets relating to substantive rules that attracted great public or industry attention and response; or signified an advance in aero-technology; had significant impact on general aviation commercial flying, or signified a major development in the history of the agency, as selected by the Office of the General Counsel (AGC). Final Disposition Permanent Item Status Withdrawn Is this item media neutral? Yes Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No								
	<table border="1"><thead><tr><th>Manual Citation</th><th>Manual Title</th></tr></thead><tbody><tr><td>2100.1a1a</td><td>Order 1350.15C Records Organization, Transfer, and Destruction Standards</td></tr><tr><td>2100.1a1b1</td><td></td></tr><tr><td>2100.1a1b2</td><td></td></tr></tbody></table>	Manual Citation	Manual Title	2100.1a1a	Order 1350.15C Records Organization, Transfer, and Destruction Standards	2100.1a1b1		2100.1a1b2	
Manual Citation	Manual Title								
2100.1a1a	Order 1350.15C Records Organization, Transfer, and Destruction Standards								
2100.1a1b1									
2100.1a1b2									
	GRS or Superseded Authority Citation NC1-237-83-1/12								
	Disposition Instruction If this item has multiple sections, indicate here records to which this section apply Non-electronic Textual Records Cutoff Instruction Cut off closed files annually. Transfer to Inactive Storage Transfer to FRC 5 years after closure. Transfer to the National Archives for Accessioning Transfer to the National Archives 20 year(s) after closure.								

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WITHDRAWN - RETURNED WITHOUT ACTION

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
Unknown

How frequently will your agency transfer these records to the National Archives? Unknown
Unknown; records currently stored within the FRC system range in date from 1939 to 2007.

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	471 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply **Electronic Records**

Cutoff Instruction **Cut off closed files annually.**

Transfer to Inactive Storage **Electronic records should be transferred when 3 years old, with any related documentation and external finding aids, in accordance with standards applicable at the time.**

Transfer Electronic Records to the National Archives for Pre-Accessioning **Transfer electronic records to the National Archives for pre-accessioning immediately after 3 years**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 20 year(s) after close of file**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
Unknown

How frequently will your agency transfer these records to the National Archives? Unknown
Unknown

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WITHDRAWN - RETURNED WITHOUT ACTION

2.3.2

Routine Rules Docket Files.

Disposition Authority Number DAA-0237-2014-0003-0008

These routine rule dockets are without major significance as selected by the AGC regardless of organizational origin. Includes but is not limited to: exemption dockets (medical and non-medical), granted exemption dockets, special conditions dockets, airworthiness directives dockets, denials and dispositions of petitions for rulemaking dockets, and Washington, DC airspace dockets.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered
by this item currently exist in
electronic format(s) other than e-
mail and word processing? No

Manual Citation	Manual Title
2100.1a2a	Order 1350.15C Records Organization, Transfer, and Destruction Standards
2100.1a2b1	
2100.1a2b2	
2100.1b1	
2100.1b2a	
2100.1b2b	
2100.1c1a	
2100.1c1b1	
2100.1c1b2	
2100.1c2a	
2100.1c2b1	
2100.1c2b2	
2100.1d1	
2100.1d2a	
2100.1d2b	
2100.1e1	
2100.1e2a	

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2100.1e2b	
2100.1f1	
2100.1f2a	
2100.1f2b	
2100.1g	
2100.1h1	
2100.1h2a	
2100.1h2b	
2100.1h2c	
2170.1a	
2170.1b1	
2170.1b2	

GRS or Superseded Authority Citation
 NC1-237-83-1/12
 NC1-237-77-3/84g
 NC1-237-77-3/84i
 N1-237-03-1/1a
 N1-237-03-1/1b2

Disposition Instruction

Transfer to Inactive Storage Transfer to FRC 3 years after closure.
 Retention Period Destroy 10 year(s) after closure.

Additional Information

GAO Approval Not Required

Rules Docket Working Files.

Disposition Authority Number DAA-0237-2014-0003-0009

Files created as part of the work flow of Rules Docket development. These files are not part of the docket packet as listed in the Rule Docket Files Description above.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

2 3.3

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2 3.4

Disposition Instruction

Retention Period Destroy 2 year(s) after closure.

Additional Information

GAO Approval Not Required

Directives Case Files.

Disposition Authority Number DAA-0237-2014-0003-0010

Official case files for internal FAA directives (including Orders, Notices and Policy Memos signed by the Administrator, Deputy Administrator, Associate Administrator, or regional or center directors) prescribing policies, organization, procedures, or providing information essential to the administration or operation of the agency. Each case file includes a record copy of the directive, record of clearance and significant background documents, including emails.

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Manual Citation	Manual Title
1320.1a	Order 1350.15C Records Organization, Transfer, and Destruction Standards

GRS or Superseded Authority Citation NC1-237-77-3/2a

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply Non-electronic Textual Records

Cutoff Instruction Cut off closed files annually.

Transfer to Inactive Storage Transfer inactive file to FRC when 5 years old.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after close of file

Additional Information

WITHDRAWN - RETURNED WITHOUT ACTION

WITHDRAWN - RETURNED WITHOUT ACTION

What will be the date span of the initial transfer of records to the National Archives? Unknown
Unknown

How frequently will your agency transfer these records to the National Archives? Unknown
Unknown; records currently stored within the FRC system range in date from 1966 to 2012.

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	264 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply Electronic Records

Cutoff Instruction Cut off closed files annually.

Transfer to Inactive Storage Electronic records should be transferred when 3 years old, with any related documentation and external finding aids, in accordance with standards applicable at the time.

Transfer Electronic Records to the National Archives for Pre-Accessioning Transfer electronic records to the National Archives for pre-accessioning immediately after 3 years

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after close of file

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
Unknown

How frequently will your agency transfer these records to the National Archives? Unknown
Unknown

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WITHDRAWN - RETURNED WITHOUT ACTION

2 3.5

Directives Working Files.

Disposition Authority Number DAA-0237-2014-0003-0011

Directives working files includes drafts in the development of the final directives, including emails. Directive reference files are non-record and should be managed as such.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered
by this item currently exist in
electronic format(s) other than e-
mail and word processing? No

Disposition Instruction

Retention Period Destroy when the final directive is published or when
no longer needed.

Additional Information

GAO Approval Not Required

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0237-2014-0003

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
01/27/2014	Certify	Jonathan Jones	Records Manager	Chief Information officer - IT Enterprise Business Services Div
11/04/2014	Return for Revision	Barbara Byers	Appraiser	National Archives and Records Administration - Records Management Services
05/24/2016	Return Without Action	Barbara Byers	Appraiser	National Archives and Records Administration - Records Management Services

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