

Request for Records Disposition Authority

Records Schedule Number DAA-0237-2021-0010

Schedule Status Approved

Agency or Establishment Federal Aviation Administration

Record Group / Scheduling Group Records of the Federal Aviation Administration

Records Schedule applies to Agency-wide

Schedule Subject Compliance Actions Against Individuals and Entities

Internal agency concurrences will be provided No

Background Information The FAA Compliance Program represents the FAA’s approach to compliance and enforcement. Pursuant to the FAA Compliance Program, the obligation of the aviation and aerospace communities to comply with statutory and regulatory requirements includes a duty to develop and use processes and procedures that will prevent deviation from such requirements. The FAA’s intent is for regulated persons to identify and correct underlying causes that may lead to statutory and regulatory violations and to ensure future compliance.

When deviations from statutory or regulatory requirements occur, the FAA’s goal is to use the most effective and appropriate means to ensure compliance and prevent recurrence. Many deviations from regulatory compliance are caused by factors such as flawed procedures, simple mistakes, lack of understanding, or diminished skills. When FAA personnel determine that a person’s noncompliance does not meet particular criteria that would trigger a legal enforcement action, and when the person is both willing and able to comply with regulatory standards, the FAA may use compliance action to address the underlying root cause of the noncompliance through such means as airman training, counseling, or education, and/or appropriate improvements to a regulated person’s procedures, training, or other programs.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	0	4	0

GAO Approval

Outline of Records Schedule Items for DAA-0237-2021-0010

Sequence Number	
1	Violation Investigation Records that result in a regulatory compliance action against individuals. Disposition Authority Number: DAA-0237-2021-0010-0001
2	Violation Tracking Records that result from a regulatory compliance action against individuals. Disposition Authority Number: DAA-0237-2021-0010-0002
3	Violation Investigation Records that result in a regulatory compliance action against entities. Disposition Authority Number: DAA-0237-2021-0010-0003
4	Violation Tracking Records that result from a regulatory compliance action against entities. Disposition Authority Number: DAA-0237-2021-0010-0004

Records Schedule Items

Sequence Number	
1	<p>Violation Investigation Records that result in a regulatory compliance action against individuals.</p> <p>Disposition Authority Number DAA-0237-2021-0010-0001</p> <p>Investigation Records - Records relating to the investigation of violations of rules, regulations, and orders.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</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? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? No</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff after the regulatory compliance action activity record is closed.</p> <p>Retention Period Destroy 3 year(s) after cutoff, but longer retention is authorized if needed for business use</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Violation Tracking Records that result from a regulatory compliance action against individuals.</p> <p>Disposition Authority Number DAA-0237-2021-0010-0002</p> <p>Tracking Records - Records relating to the tracking of regulatory compliance actions.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in</p>

3	electronic format(s) other than e-mail and word processing?	
	Do any of the records covered by this item exist as structured electronic data?	No
	Disposition Instruction	
	Cutoff Instruction	Cutoff after the regulatory compliance action activity record is closed.
	Retention Period	Destroy information that identifies the individual 3 years after cutoff. Destroy remainder of the record once no longer needed for business purposes.
	Additional Information	
	GAO Approval	Not Required
	Violation Investigation Records that result in a regulatory compliance action against entities.	
	Disposition Authority Number	DAA-0237-2021-0010-0003
	Investigation Records - Records relating to the investigation of violations of rules, regulations, and orders.	
Final Disposition	Temporary	
Item Status	Active	
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?	Yes	
Do any of the records covered by this item exist as structured electronic data?	No	
Disposition Instruction		
Cutoff Instruction	Cutoff after the regulatory compliance action activity record is closed.	
Retention Period	Destroy 5 year(s) after cutoff, but longer retention is authorized if needed for business use	
Additional Information		
GAO Approval	Not Required	
4	Violation Tracking Records that result from a regulatory compliance action against entities.	

Disposition Authority Number **DAA-0237-2021-0010-0004**

Tracking Records - Records relating to the tracking of regulatory compliance actions.

Final Disposition **Temporary**

Item Status **Active**

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? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Disposition Instruction

Cutoff Instruction **Cutoff after the entity, or its successor, ceases to operate.**

Retention Period **Destroy 20 year(s) after cutoff, but longer retention is authorized if needed for business use**

Additional Information

GAO Approval **Not Required**

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
04/01/2021	Certify	Richard Allen	Records manager	FAA - FAA
04/01/2021	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
04/01/2021	Submit For Certification	Richard Allen	Records manager	FAA - FAA
04/01/2021	Certify	Richard Allen	Records manager	FAA - FAA
09/29/2021	Submit for Concurrence	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
10/12/2021	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
10/13/2021	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
10/14/2021	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist