

Request for Records Disposition Authority

Records Schedule Number DAA-0237-2022-0012

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 Safety Assurance System (SAS)

Internal agency concurrences will be provided No

Background Information The Safety Assurance System (SAS) is a large-scale web application, which supports both Flight Standards (FS) and the Office of Hazardous Material Safety (AXH). SAS is primarily used to assess and plan certification, surveillance, investigations and certificate management for airmen, other regulated entities (OREs/AXH) certificate holders and applicants. SAS is used to identify if risk is associated with any certificate holder and applicant and any action items created to mitigate the risk. SAS contains internal and external user profile information.

Note: Records within SAS relating to regulatory compliance actions against individuals and entities must refer to DAA-0237-2021-0010 for disposition instruction to the extent that DAA-0237-2021-0010 applies to those records.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
12	0	12	0

GAO Approval

Outline of Records Schedule Items for DAA-0237-2022-0012

Sequence Number	
1	Certification Disposition Authority Number: DAA-0237-2022-0012-0001
2	Risk Assessment Disposition Authority Number: DAA-0237-2022-0012-0002
3	Planning Disposition Authority Number: DAA-0237-2022-0012-0003
4	Surveillance Disposition Authority Number: DAA-0237-2022-0012-0004
5	Investigation Job Functions Disposition Authority Number: DAA-0237-2022-0012-0005
6	Analysis, Assessment, Action Data Disposition Authority Number: DAA-0237-2022-0012-0006
7	On the Job Training Data Disposition Authority Number: DAA-0237-2022-0012-0007
8	Internal User Information/External Users Information Disposition Authority Number: DAA-0237-2022-0012-0008
9	Passenger Module Data Disposition Authority Number: DAA-0237-2022-0012-0009
10	External Portal Disposition Authority Number: DAA-0237-2022-0012-0010
11	Configuration Data Disposition Authority Number: DAA-0237-2022-0012-0011
12	Other Regulated Entity Data Disposition Authority Number: DAA-0237-2022-0012-0012

Records Schedule Items

Sequence Number	
1	<p>Certification</p> <p>Disposition Authority Number DAA-0237-2022-0012-0001</p> <p>Includes records associated with the initial certification process of an applicant applying for an operator or air agency. The data base includes the preapplication information, baseline operating profile, schedule of events, data collection tools and any other certification documentation located in the document manager. The data base contains activity recording records associated with airman certification.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation Electronic records only.</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 when no longer needed for reference, statistics or when information is superseded or becomes obsolete, whichever is sooner.</p> <p>Retention Period Destroy 10 year(s) after cutoff.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Risk Assessment</p> <p>Disposition Authority Number DAA-0237-2022-0012-0002</p> <p>Includes risk assessment information specific to certificate holders. This information is captured using the Certificate Holder Assessment Tool (CHAT) and the Risk Profile record.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? No</p>

3	Explanation of limitation	Electronic records only.
	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
	GRS or Superseded Authority Citation	N1-237-10-001 / 1/c
	Disposition Instruction	
	Cutoff Instruction	Cutoff when no longer needed for reference, statistics or when information is superseded or becomes obsolete, whichever is sooner.
	Retention Period	Destroy 10 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Planning	
	Disposition Authority Number	DAA-0237-2022-0012-0003
	Includes records associated with the quarterly or fiscal year surveillance plan. This information is tracked using the Comprehensive Action Plan (CAP) and Office Workload List (OWL) planning tools	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	Electronic records only.
	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 when no longer needed for reference, statistics or when information is superseded or becomes obsolete, whichever is sooner.
Retention Period	Destroy 10 year(s) after cutoff.	

4	Additional Information	
	GAO Approval	Not Required
	Surveillance	
	Disposition Authority Number	DAA-0237-2022-0012-0004
	Includes records associated with the surveillance outcomes of certificate holders and airmen. This information is captured using an activity recording record or a data collection tool (DCT) record.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	Electronic records only.
	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 when no longer needed for reference, statistics or when information is superseded or becomes obsolete, whichever is sooner.	
Retention Period	Destroy 10 year(s) after cutoff.	
5	Additional Information	
	GAO Approval	Not Required
	Investigation Job Functions	
	Disposition Authority Number	DAA-0237-2022-0012-0005
	Includes job functions accomplished by the ASIs related to accidents, incidents, occurrences, compliance actions and other types of investigations. The information is captured using an activity recording record.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	Electronic records only.
	Do any of the records covered by this item currently exist in	Yes

	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 when no longer needed for reference, statistics or when information is superseded or becomes obsolete, whichever is sooner.
	Retention Period	Destroy 3 year(s) after cutoff. Destroy personally identifying information when destroyed in FAA's Enforcement Information System, or its successor system.
	Additional Information	
	GAO Approval	Not Required
6	Analysis, Assessment, Action Data	
	Disposition Authority Number	DAA-0237-2022-0012-0006
	Includes records associated with the analysis, assessment and action taken as a result of the data collection tool responses.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	Electronic records only.
	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
	GRS or Superseded Authority Citation	N1-237-10-001 / 1/a N1-237-10-001 / 1/b
	Disposition Instruction	
	Cutoff Instruction	Cutoff when no longer needed for reference, statistics or when information is superseded or becomes obsolete, whichever is sooner.
	Retention Period	Destroy 5 year(s) after cutoff.

7	Additional Information	
	GAO Approval	Not Required
	On the Job Training Data	
	Disposition Authority Number	DAA-0237-2022-0012-0007
	On the Job (OJT) Training for Flight Standards employees is captured using an Activity Recording record. This record includes the job function description, the level of training, the employee and trainer's name.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	Electronic records only.
	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 employee has departed the FAA and after all related records have been disposed of.	
Retention Period	Destroy 10 year(s) after cutoff.	
8	Additional Information	
	GAO Approval	Not Required
	Internal User Information/External Users Information	
	Disposition Authority Number	DAA-0237-2022-0012-0008
	Records are created as part of the user identification and authorization process to gain access to the SAS. The records are used to monitor inappropriate systems access by users such as, user profile, log-in files, and password files.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	Electronic records only.
	Do any of the records covered by this item currently exist in	Yes

9	electronic format(s) other than e-mail and word processing?	
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cutoff when employee, external user, or certificate holder has departed the agency.
	Retention Period	Destroy 10 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Passenger Module Data	
	Disposition Authority Number	DAA-0237-2022-0012-0009
	General statistical data related to hazardous materials incorrectly transported in passenger baggage.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
Explanation of limitation	Electronic records only.	
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 when violation is final, passenger PII is expunged after evaluated, or when letter processed.	
Retention Period	Destroy 10 year(s) after cutoff.	
Additional Information		
GAO Approval	Not Required	
10	External Portal	
	Disposition Authority Number	DAA-0237-2022-0012-0010
	Includes records and information shared by the external user and the Flight Standards employees to include records associated with certification process the	

pre-application information, baseline operating profile, schedule of events, data collection tools and any other certification documentation located in the document manager.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation Electronic records only.

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 employee has separated the agency.

Retention Period Destroy 10 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Configuration Data

Disposition Authority Number DAA-0237-2022-0012-0011

Includes records associated with a certificate holder's or applicant's configuration changes to an operating profile. The information is captured using a change request ID and includes the change request details, the data collection tool questions, the action and the disposition of the request.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation Electronic records only.

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

11

12

Cutoff Instruction	Cutoff when no longer needed for reference, statistics or when information is superseded or becomes obsolete, whichever is sooner.
Retention Period	Destroy 10 year(s) after cutoff.
Additional Information	
GAO Approval	Not Required
Other Regulated Entity Data	
Disposition Authority Number	DAA-0237-2022-0012-0012
The Code of Federal Regulations (49 CFR) part 100-185 and (14 CFR) are referred to hazardous materials regulations and oversight of repair stations. Information includes the oversight of profile configuration, data and surveillance observations of repair stations, ground handlers, and freight forwarders.	
Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	No
Explanation of limitation	Electronic records only.
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 when no longer needed for reference, statistics or when information is superseded or becomes obsolete, whichever is sooner.
Retention Period	Destroy 10 year(s) after cutoff.
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
08/23/2022	Certify	Richard Allen	Records manager	FAA - FAA
01/23/2023	Submit for Concurrency	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
01/30/2023	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/31/2023	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
02/02/2023	Approve	Debra Wall	Deputy Archivist	National Archives and Records Administration - ND Archives I Office