

Request for Records Disposition Authority

Records Schedule Number DAA-0237-2022-0015
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 Records of the Security and Hazardous Materials Organization
Internal agency concurrences will be provided No

Background Information The Security and Hazardous Materials Safety Organization (ASH) protects the world's safest aviation system by identifying, analyzing, and managing security and safety risks. ASH uses all source information to investigate, monitor, and report on aviation security and safety risks affecting the FAA, the US government, members of the flying public, and industry stakeholders. This includes conducting personnel security investigations, internal administrative investigations, and counterintelligence activities as well as securing FAA facilities and collaborating on travel advisories and flight prohibitions.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	1	2	0

GAO Approval

Outline of Records Schedule Items for DAA-0237-2022-0015

Sequence Number	
1	Routine Investigative Files Disposition Authority Number: DAA-0237-2022-0015-0001
2	Travel Advisory & Travel Warning Files Disposition Authority Number: DAA-0237-2022-0015-0002
3	Situation Reports Disposition Authority Number: DAA-0237-2022-0015-0003

Records Schedule Items

Sequence Number	
1	<p data-bbox="342 380 719 411">Routine Investigative Files</p> <p data-bbox="342 432 1149 464">Disposition Authority Number DAA-0237-2022-0015-0001</p> <p data-bbox="342 485 1508 789">Case files developed during investigations of administrative, accountability board, safety, whistleblower retaliation, DOT,FAA, and OIG hotline complaint investigations involving FAA employees and contractors, non-employees, and designated examiners suspected of violating FAA orders and federal regulations, unauthorized disclosure of information, and other investigations for the FAA. Records include, but are not limited to, investigation reports, interview statements and logs, initial request letter and reports from other federal and state agencies. They are maintained in AAE or ASHs Investigation Tracking System.</p> <p data-bbox="342 810 919 842">Final Disposition Temporary</p> <p data-bbox="342 863 849 894">Item Status Active</p> <p data-bbox="342 915 805 947">Is this item media neutral? No</p> <p data-bbox="342 968 1092 999">Explanation of limitation Electronic records only.</p> <p data-bbox="342 1020 821 1146">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 data-bbox="342 1167 821 1262">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="342 1293 659 1325">Disposition Instruction</p> <p data-bbox="342 1356 1138 1388">Cutoff Instruction Cutoff after case is closed.</p> <p data-bbox="342 1409 1174 1440">Retention Period Destroy 3 year(s) after cutoff.</p> <p data-bbox="342 1482 659 1514">Additional Information</p> <p data-bbox="342 1545 951 1577">GAO Approval Not Required</p>
2	<p data-bbox="342 1598 898 1629">Travel Advisory & Travel Warning Files</p> <p data-bbox="342 1650 1154 1682">Disposition Authority Number DAA-0237-2022-0015-0002</p> <p data-bbox="342 1703 1508 1818">Foreign travel briefings, foreign threat assessments, and related files produced to inform FAA leadership and personnel of potential threats or risks related to official travel, temporary duty, or permanent change of station, to and in foreign countries.</p> <p data-bbox="342 1839 919 1871">Final Disposition Temporary</p> <p data-bbox="342 1892 849 1923">Item Status Active</p>

3	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 at the end of the calendar year in which file is closed.
	Retention Period	Destroy 10 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Situation Reports	
	Disposition Authority Number	DAA-0237-2022-0015-0003
	Records created or maintained to highlight or summarize significant threats or risks to FAA equities and/or U.S. civil aviation. Records include, but are not limited to Information Notes, SPOT Reports, Situation Reports, or similar products and briefings. Case files of activities designed to identify and prevent threats to FAA employees, systems and information from domestic and foreign entities. Records include, but are not limited to, classified and unclassified investigative reports and assessments. Records are maintained in ASHs Investigation Tracking System (ITS) (also known as Busser Investigation Management System (IMS) or similar system for unclassified reports; classified reports are maintained on the counterintelligence program classified share drive	
	Final Disposition	Permanent
	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 reports are final.

Transfer to the National Archives
for Accessioning

Transfer to the National Archives 15 year(s) after
cutoff.

Additional Information

First year of records accumulation **2013**

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

From 2013 To 2013

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

Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	0.325963 GB	2670 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

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
09/01/2022	Certify	Richard Allen	Records manager	FAA - FAA
01/04/2023	Submit for Concurrency	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
01/11/2023	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/11/2023	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
01/12/2023	Approve	Debra Wall	Deputy Archivist	National Archives and Records Administration - ND Archives I Office