

Request for Records Disposition Authority

(See Instructions on reverse)

Leave Blank (NARA Use Only)

To: **National Archives and Records Administration (NIR)**
Washington, DC 20408

1. From: (Agency or establishment)
Federal Aviation Administration

2. Major Subdivision
Office of Financial Services (ABA)

3. Minor Subdivision
Information Systems and Technology Services

4. Name of Person with whom to confer
John Larsen

5. Telephone (include area code)
202-493-5613

Job Number

NI-237-09-23

Date Received

9-21-2009 / Revised 12/20/2009

Notification to Agency

In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

Date

10 Dec 2010

Archivist of the United States

[Signature]

6. 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 on the attached 25 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies:

is not required is attached has been requested

Signature of Agency Representative

[Signature]

Title

Katrina Thomas, FAA Records Officer

Date (mm/dd/yyyy)

9/21/09

Item Number	8. Description of Item and Proposed Disposition	9. GRS or Superseded Job Citation	10. Action taken (NARA Use Only)
	<p>Please see attached documents:</p> <ul style="list-style-type: none"> a. FAA Financial Records Schedule b. Financial Systems/Application Inventory c. Financial Records Cross-walk <p>These documents cover the following financial records:</p> <ol style="list-style-type: none"> 1. Financial Policy 2. Accounting and Cash Management 3. Budget 4. Payments and Receivables 5. Reimbursables 6. Asset and Liability 7. Real and Non-Real Property 8. Financial Reporting 9. Cost Accounting 10. Internal Controls 	<p>See attachments</p>	

**FEDERAL AVIATION ADMINISTRATION
FINANCIAL RECORDS DISPOSITION SCHEDULE**

Attachment 1 to SF 115

1.0 INTRODUCTION

The purpose of this document is to describe the retention schedule and disposition for records involved in the Federal Aviation Administration's (FAA) financial management business processes. The scope of this records schedule provides retention policy to FAA financial records generated in the following business process areas:

- Financial Policy
- Budget
- Accounting
- Payments and Receivables
- Reimbursables
- Assets and Liabilities
- General Property Plant & Equipment
- Cost Accounting
- Financial Reporting
- Internal Controls

1.1 This schedule is an aggregate of the financial records maintained by FAA. This schedule is considered media neutral; however, the majority of the records are currently maintained in information systems. Appendix A identifies the current inventory of financial information systems that this records retention schedule applies.

The Office of Primary Responsibility for these records is the Office of Financial Services (ABA), Federal Aviation Administration (FAA). All other copies of records, regardless of format, maintained by other units are considered duplicate or non-record copies and shall be maintained no longer than the record copy.

This schedule consistently requests exceptions to the General Records Schedule (GRS) in order to facilitate the management and administration of electronic records in the appropriate information systems.

1.2 This records retention schedule is based on a flexible scheduling approach using the Federal Enterprise Architecture Business Reference Model (BRM) as the basis for aligning the core financial processes and their records. A "Big Bucket" approach is used to ensure that the implementation of the policy is viable for electronic records management and aligns with the retention of hard copy records for ease of retention schedule and records disposition.

1.3 Related financial records are defined as financial records that are duplicates or copy of financial records from source systems and unique records that are created by combining financial records with additional non-financial records that create unique records.

1.4 Electronic financial records that are maintained as part of mixed or non-financial systems shall be retained as specified by the schedule that describes the core or primary records. For example, if an information system is designed to provide investigative or safety information and financial records are tied to these primary purpose records (e.g., investigative or safety records), the financial records are retained according to the schedule of the primary purpose record.

1.5 Regardless of the retention period specified, records relating directly to an unsettled claim by or against the United States, current or pending litigation or investigation, and exceptions taken by the Government Accountability Office (GAO), will not be disposed of until final settlement or clearance of the matter.

Item 1. Financial Policy Records

Records Covered:

Financial policies that are enacted by the Office of Financial Services and official FAA financial policies including, but not limited to those in the business process areas of:

- Financial Policies
- Accounting and Cash Management
- Budget
- Payments and Receivables
- Reimbursables
- Assets and Liabilities
- Financial Reporting
- Cost Accounting
- Internal Controls
- Travel
- Special Accounts
- Administrative Control of Funds

DISPOSITION:

TEMPORARY.

Cut off at the end of the Fiscal Year in which policy is superseded or obsolete. Destroy three years after cut off in accord with applicable federal standards in accord with limitations on civil actions by or against the U. S. Government (28 U.S.C. 2401 and 2415).

All other related electronic records may be retained as long as needed for business purposes and no longer than 7 years.

Item 2. Accounting and Cash Management Records

Records Covered:

Accounting records include accounting for assets, liabilities, fund balances, revenues and expenses associated with the maintenance of federal fund and current expenditure of federal appropriations (Salaries and Expenses, Operation and Maintenance, Procurement, Working Capital, Trust Funds, etc.), in accordance with applicable federal standards (Federal Accounting Standards Advisory Board, Department of Treasury, OMB, Government Accountability Office, Congressional requests). This section covers records documenting the financial events associated with accounting activities as described in the U.S Government Standard General Ledger Chart of Accounts.

- Asset Accounts: Fund balance with Treasury; cash; receivables; advances and prepayments; inventory and related property; commodities; stockpile materials; other related property; investments; property, plant, and equipment; and other assets.
- Liability Accounts: Accrued liabilities - other accrued liabilities, payroll and benefits; unearned revenue (advances); debt; actuarial liabilities; and other liabilities.
- Net Position Accounts: Unexpended appropriations and cumulative results of operations.
- Budgetary Accounts: Anticipated resources; transfers of receivables from invested balances; appropriations realized; contract authority; borrowing authority; other budgetary resources; budgetary adjustments and status of resources – de-obligated; budgetary adjustments and status of resources, unexpended obligations; and budgetary adjustments and status of resources -- expended authority.
- Revenue and Other Financing Sources Accounts: Services sold; services provided; interest; penalties, fines, and administrative fees.

- Expense Accounts: Operating expenses and program cost bad debt expense; adjustment to subsidy expenses; interest expenses; benefit expenses; cost of goods and services sold or provided; applied overhead; cost capitalization offset; depreciations, amortization, and depletion; imputed costs; other expenses not requiring budgetary resources; future funded expenses; requiring current year budget authority (de-obligated); and non-production costs.
- Gains/Losses/Miscellaneous Items Accounts: Gains on disposition of assets, investments, and borrowings; unrealized gains, other gains; losses on disposition of assets, investments, and borrowings; unrealized losses; other loss; extraordinary items; prior period adjustments; and changes in actuarial liability.
- General Accounting Operations Correspondence Files : Accounting administration files.
- General Fund Files: Records relating to availability, collection, custody, and deposit of funds including appropriation warrants and certificates of deposit; accountable officer's files; allotment and ledger distribution transaction files; posting and control files (documents subsidiary to the general and allotment ledger accounts).
- Memorandum copies of accountable officers' return including statements of transactions and accountability excluding freight records.
- Waiver of Claims Files: Approved waivers and denied waivers, correspondence and documentation relating to approved and denied waivers.

Cash Management and Treasury Records:

- Reconciling Agency Cash Records with Treasury.
- Resolving Un-reconcile Differences and Adjustments.
- Transmitting Copy of Cash Receipt Data to Account Receivable.
- Remittances to Treasury.
- Processing Transfers and Credits to Agency's Account with Treasury by OGA and Outside Sources.
- Compiling Cost of Operations by Business Unit.
- Consolidating Net Cost.

Funds Control:

- Correspondence files in formally organized budget offices.
- Records related to the collection, safekeeping, deposit, and disbursements of funds.

DISPOSITION:

TEMPORARY.

Cut off at the end of the Fiscal Year in which record supports. Destroy seven years after cut off in accord with applicable federal standards in accord with limitations on civil actions by or against the U. S. Government (28 U.S.C. 2401 and 2415).

All other related electronic and hard copy records may be retained as long as needed for business purposes and no longer than 7 years.

This disposition and retention period is an exception to the General Records Schedule GRS 4 Item 5, Item 8, Item 9, Item 10a; GRS 5 Item 1, Item 5 (a), Item 5 (b); GRS 6 Item 5 (a), 5 (b); Item 4, Item 1 (a); Item 11(a), Item 11(b), Item 2, Item 3a, Item 3b, GRS 9 Item 1a, Item 3a, Item 3b, Item 4b, Item 7, GRS 7 Item 1, Item 2, Item 3, Item 4, Item 4a, 4b.

The disposition for some of the records is longer than the GRS because the official records are integrated into electronic systems and coordinated retention periods are necessary to implement the schedule within these systems. The 7 years represents the longest retention in the GRS period.

Item 3. Budget

Item 3a Records Covered:

Budget records include records created in the course of management of the federal budget process including the development of plans and programs, budgets, and performance outputs as well as financing federal programs and operations through appropriation and apportionment of direct and reimbursable spending authority, fund transfers, investments and other financing mechanisms. Covers records documenting the financial events associated with budget activities.

- Budget Background Records: Cost statements, rough data and similar materials accumulated in the preparation of annual budget estimate, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices.
- Budget Reports Files: Periodic reports on the status of appropriation accounts and apportionment, including end of fiscal year reports and all other reports.
- Budget Apportionment Files: Apportionment and reapportionment schedules, SF 132, proposing quarterly obligations under each authorized appropriation.
 - Budget Files. Record copies of estimates comprised of appropriation language sheets, charts, statements, and other related records maintained at the agency level.
 - Capital Budget Planning. Records that involve tracking and monitoring Operational, Research and Capital Budgets Budget Execution records, Operational, Research and Capital Budget, Budget Operations and Appropriations and F& E Budget records.
 - Budget Background Records. Cost statements, rough data, in the preparation of the annual budget estimates.
 - Budget working files (work papers, cost statements) accumulated in preparation of projected fiscal programs and annual budget estimates.

DISPOSITION:

TEMPORARY.

Cut off at the end of the Fiscal Year in which record supports. Destroy seven years after cut off in accord with applicable federal standards in accord with limitations on civil actions by or against the U. S. Government (28 U.S.C. 2401 and 2415).

For budget apportionment records, the cut off period begins at the end of the fiscal year in which the ability to expend the funds expires. Destroy seven years after the end of that expiration period. For example on apportionment of operations funds with a one year obligation and five years to expend the funds, the cut off period at the end of the five year period.

All other related electronic and hard copy records may be retained as long as needed for business purposes and no longer than 7 years after the cut-off period.

Exception to GRS 5, Item 2. The disposition for some of the records is longer than the GRS because the official records are integrated into electronic systems and coordinated retention periods are necessary to implement the schedule within these systems. The 7 years represents the longest retention in the GRS period.

Item 3b. Records Covered.

- Annual Summarized Reports on Budget Formulation, Execution and Budgetary Resources (e.g. Congressional Budget Justification and Records of the Administrator's Review Committee (Agency office): Agendas, correspondence, Board meeting minutes, Spring preview, Special studies notebooks, all other related records.

DISPOSITION:

PERMANENT.

Cut off at the end of the Fiscal Year in which record supports. Send to NARA five years after cut off in accord with applicable federal standards in accord with limitations on civil actions by or against the U. S. Government (28 U.S.C. 2401 and 2415). This record specifically covers the paper copy report and its electronic equivalent and not the individual electronic or paper records that are used to create the summarized report.

Exception to GRS 5 Item 3(a), GRS 5 Item 3(b).

Supersedes NNA-1017, Item 146 and NC1 237-77-3 ITEM 92 (3).

Item 4. Payments and Receivables

Records Covered

Payments

Payments include disbursements of federal funds, via a variety of mechanisms, to federal and private individuals, federal agencies, state, local and international governments, and the private sector, to effect payment for goods and services, or distribute entitlements, benefits, grants, subsidies, or claims. Covers records documenting the financial events associated with disbursement and payment activities as described in the U.S. Government Standard General Ledger Account Transaction Categories.

- Payments/Purchases.
- Commitments/Undelivered Orders/Expended Authority Unpaid.
- Payables/Accrued Liabilities.
- Advances and Prepayments.
- Commercial freight and passenger transportation files: Original vouchers, records covering payment for commercial freight and passenger, Issuing office copies of government bills of lading, lost or damage shipment files.
- Other copies of bonds and related papers.
- Accountable Officers' Returns.
- Voucher Examination and Certification.
- Employee Surety Bond files: Purchased after 12/31/55.

Records Covered:

Receivables

Collections and receivables include deposits, fund transfers, and receipts for sales or service. Covers records documenting the financial events, associated with Collections and Receivables activities as described in the U.S. Government: Standard General Ledger Account Transaction Categories.

All of the transactions described in the account transaction categories from the U.S. Government Standard General Ledger Account Transaction Listing for collections and receivables:

Receipts

- Receivables/Accrued Revenue
- Asset Sale and Disposition (Gains and Losses)

Debt Collection

Claims by the United States subject to the Federal claims collection standards:

- Claims which were paid in full.
- Claims for which collection action has been terminated under 4 CFR Part 104.
- Claims for which the Government's right to collect was not extended.
- Claims for which collection action has been terminated under 4 CFR Part 104. Claims for which the Government is entitled (per 28 U.S.C. 2415) to additional time to initiate legal action.
- Claims for which collection action has been terminated under 4 CFR Part 104. Claims that the agency administratively determines are not owed to the United States after collection action was initiated.
- Claims for which collection action has been terminated under 4 CFR Part 104. Claims files that are affected by a court order or that are subject to litigation proceedings.

Miscellaneous Receipts Collection

- Certificate of Settlement files: Closed account settlements, supplemental and final balance settlements.
- Certificate of Settlement files: Periodic settlements.
- Accountable officer designee files.
- Availability, collection, custody, and deposit files.
- Administrative claims files.
- User Fees.

DISPOSITION:

TEMPORARY.

Cut off at the end of the Fiscal Year if the payment is made or debt is satisfied. Destroy seven years after cut off in accord with applicable federal standards in accord with limitations on civil actions by or against the U. S. Government (28 U.S.C. 2401 and 2415) if no longer required for business purposes.

All other related electronic records may be retained as long as needed for business purposes and no longer than 7 years after the cut off period.

This disposition and retention period is an exception to the General Records Schedule GRS 6 Item 6 (a) (1); GRS 6 Item 6 (b); GRS 6 Item 1 (b); GRS 6 Item 10b1; GRS 6 Item 10b2a; GRS 6 Item 10b2b; GRS 6 Item 10b3; GRS 6 Item 10c, GRS 9 Item 1(a), GRS 9 Item 1(b), GRS 9 Item 1(c), GRS 9 Item 1(d); GRS 9 Item 2; GRS 9 Item 1(e).

The disposition for some of the records is longer than the GRS because the official records are integrated into electronic systems and coordinated retention periods are necessary to implement the schedule within these systems. The 7 years represents the longest retention in the GRS period.

Employee Surety Bond records (Purchased after 12/31/55) are maintained according to GRS 6 Item 6 (a) (2).

Item 5. Reimbursables Records

Records Covered:

Case files relating to reimbursable agreements entered into with other Federal and other governmental agencies and private entities to furnish supplies, equipment, and services relating to aviation to the United States and foreign countries, consisting of memorandums of agreement; project implementation orders; obligation, expenditure, and billing documents; and related correspondence. Including and not limited to:

- Invoices/bills issues to Other Government Agencies (OGA) and Inter-Agency Agreements (IAA) and the Public (Non-Federal Entity).
- Reimbursable Receivables and Other Receivables (Public).
- Reimbursable Agreement Files and related correspondence.

DISPOSITION:

TEMPORARY.

Cut off at the end of the fiscal year in which the reimbursable agreement is closed. Destroy seven years after cut off in accord with applicable federal standards in accord with limitations on civil actions by or against the U. S. Government (28 U.S.C. 2401 and 2415) if no longer required for business purposes.

All other related electronic records may be retained as long as needed for business purposes and no longer than seven years after the cut-off period.

Supersedes NC1-237-77-3 Item 92 (2) Approved 12/2/77.

Item 6. Asset and Liability

Asset and Liability Management provides accounting support for the management of assets and liabilities of the Federal Government. Covers record documenting the financial events associated with asset and liability management accounting activities as described in the U.S. Government Standard General Ledger Chart of Accounts.

Records Covered:

- Asset Accounts: Fund balance with Treasury; cash; receivables; advances and prepayments; inventory and related property; commodities; stockpile materials; other related property; investments; general property, plant, and equipment; and other assets.
- Excess Personal Property Reports.
- Liability Accounts: Accrued liabilities - other; accrued liabilities - payroll and benefits; unearned revenue (advances); debt; actuarial liabilities; and other liabilities.

DISPOSITION:

TEMPORARY.

Cut off at the end of the Fiscal Year in which the records supports. Destroy seven years after cut off in accord with applicable federal standards in accord with limitations on civil actions by or against the U. S. Government (28 U.S.C. 2401 and 2415) if no longer required for business purposes.

All other related electronic records may be retained as long as needed for business purposes and no longer than 7 years after the cut off period.

This disposition and retention period is an exception to the General Records Schedule. GRS 3 Item 2; Item 3 (a)(1)(a); (a)(1)(b); (a)(2)(a); (a)(2)(b); GRS 3 Item 3b, Item 3c, Item 3d, Item 5a, Item 5b1, Item 5 (5) (b) (2) (a), Item 5 (5) (b) (2) (b) GRS 3 Item 5(c)(1), GRS 3 Item 5(c)(2), GRS 3 Item 5(d); GRS 4, , GRS 3 Item 5 (d), GRS 3 Item 4 (a), GRS 3 Item 6 (a), GRS 3 Item 6 (b), GRS 3 Item 7, GRS 3 Item 8 (a), GRS 3 Item 8 (b), GRS 3 Item 9 (a), GRS 3 Item 9 (b), GRS 3 Item 9 (c), GRS 3 Item 10, GRS 3 Item 11, GRS 3 Item 12, GRS 3 Item 13, GRS 3 Item 14, GRS 3 Item 15 (a), GRS 3 Item 15 (b), GRS 3 Item 16, GRS 3 Item 17, GRS 3 Item 18.

Supersedes NC1-237-77-3 Item 58

The disposition for some of the records is longer than the GRS because the official records are integrated into electronic systems and coordinated retention periods are necessary to implement the schedule within these systems. The 7 years represents the longest retention in the GRS period.

Item 7. Property, Plant and Equipment

Records Covered:

- Records supporting the existence of a Property, Plant and Equipment (PP&E) assets; records supporting the federal reporting entity's rights, records supporting the completeness of PP&E; records supporting the overall valuation of PP&E, depreciation, and book value (whether actual or estimated historical cost); records supporting financial statement classification, description, and disclosure, such as the use(s) and useful life of the PP&E and records related to PP&E financial statement adjustments.
- Asset Records. Records relating to PP&E include and are not limited to Joint Acceptance Inspection records, Capitalization Authorization Forms records, Project Authorization, Asset Retirement documents, Disposal, Reports of Survey, Reports of Excess forms, FAA Cap/Exp Summary and Summary Reconciliation, Fixed Asset Reports, records related to Cost Data Supporting Valuation Assertions, and other relevant asset and capitalization related records; including financial statement adjustments that are due to PP&E records.

DISPOSITION:

TEMPORARY.

Records are retained for as long as the asset is within FAA's possession (active or inactive service). Cut-off records ten years after the asset is no longer within FAA's possession Transactional records such as invoices, payments follow prescribed specific retention schedules for those records.

All other related electronic records may be retained as long as needed for business purposes and no longer than 10 years after the cut off period.

This disposition and retention period is an exception to the General Records Schedule GRS 3, GRS 4 and GRS 20. The disposition is longer than the GRS because the official records are electronic and coordinated retention periods are necessary to implement the schedule for electronic records.

Item 8a. Financial Reporting (Temporary)

Reporting information relates to providing financial information in the form of reports and analysis of financial actions.

Records Covered:

- Daily, weekly, monthly, or quarterly reports of financial events, reports on execution and budgetary resources, program and financing schedules (actual) and other periodic, monthly, and quarterly financial reports.
- Annual FAIR Act Inventory.

DISPOSITION:

TEMPORARY:

Cut off at the end of the Fiscal Year in which records supports. Destroy seven years after cut off in accord with applicable federal standards in accord with limitations on civil actions by or against the U. S. Government (28 U.S.C. 2401 and 2415) if no longer required for business purposes.

All other related electronic records may be retained as long as needed for business purposes and no longer than 7 years after the cut off period.

This disposition and retention period is an exception to the General Records Schedule GRS 5 Item 3a; and GRS 5 Item 3b. The disposition is longer than the GRS because the official records are integrated into electronic systems and coordinated retention periods are necessary to implement the schedule within these systems. The 7 years represents the longest retention in the GRS period.

Item 8 b. Financial Reporting (Permanent)

Records Covered:

- Year-end Closing Statements and Associated Annual Reports.
- Annual Financial Statement, including the Management Discussion and Analysis, Principal Statements and Related Notes such as Balance sheet, Statement of Net Cost, Statement of Changes in Net Position, Statement of Budgetary Resources, Statement of Financing, Statement of Custodial Activity, and Notes to Financial Statements (OMB Bulletin No. 01-02).
- Performance Assessment Reports.
- Annual User Fee Report.
- Annual Financial Reports provided to OMB, GAO and Congress.
- Annual Summarized or Aggregated Cost Accounting Reports.

DISPOSITION:

PERMANENT:

Cut off at the end of the fiscal year that the record supports. Transfer records to NARA ten (10) years after cut off.

All other related electronic records may be retained as long as needed for business purposes and no longer than 7 years after the cut off period. This record specifically covers the paper copy report and its electronic equivalent and not the individual electronic or paper records that are used to create the summarized report.

Item 9a. Cost Accounting

Records Covered

Cost Accounting Reports: Unit monthly and quarterly cost accounting records, electronic records used to accumulate data used in cost reports. Records composed of detailed and summary reports aggregations and allocations and analyses resulting from the core cost accounting data.

DISPOSITION:

TEMPORARY.

Cut off at the end of the Fiscal Year in which the record supports. Destroy seven years after cut off in accord with applicable federal standards in accord with limitations on civil actions by or against the U. S. Government (28 U.S.C. 2401 and 2415) if no longer required for business purposes.

All other related electronic records may be retained as long as needed for business purposes and no longer than 7 years after the cut off period.

This disposition and retention period is an exception to the General Records Schedule: GRS 8 Item 6 (a), GRS 8 Item 6 (b), GRS 8 Item 7 (a), GRS 8 Item 7 (b) (1), GRS 8 Item 7 (b) (2), GRS 8 Item 7 (b) (3), GRS 2 item 22a, GRS 2 item 22b, GRS 2 item 22c.

The disposition for some of the records is longer than the GRS because the official records are integrated into electronic systems and coordinated retention periods are necessary to implement the schedule within these systems. The 7 years represents the longest retention in the GRS period.

Item 9b. Annual Cost Accounting Report

DISPOSITION:

PERMANENT.

Cut off at the end of the Fiscal Year in which the record supports. Send to NARA five years after the cut off in accord with applicable federal standards in accord with limitations on civil actions by or against the U S. Government (28 U.S.C. 2401 and 2415).

All other related electronic records may be retained as long as needed for business purposes and no longer than 7 years after the cut off period. This record specifically covers the paper copy report and its electronic equivalent and not the individual electronic or paper records that are used to create the summarized report.

This disposition and retention period is an exception to the General Records Schedule GRS 8 Item 6 (a), and GRS 8 Item 6 (b). The disposition is longer than the GRS because the official records are electronic and coordinated retention periods are necessary to implement the schedule for electronic records.

Item 10: Internal Controls Records

Records Covered:

Records created in accordance with procedures mandated by OMB Circular A-123, Internal Control Systems, and P.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud and mismanagement.

Policy, Procedure, and Guidance Files. Copies of internal directives maintained by the agency's internal control staff (but not those copies maintained in the agency's official file of internal directives); external directives such as OMB Circular A-123.

Management Control Plans. Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular A-123.

Risk Analyses Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.

Annual financial reports, assurance statements and related financial reports created and compiled by the agency into a single unified report for direct submission to the President and Congress.

Tracking Files. Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.

Review Files. Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems.

- Office with responsibility for coordinating Internal Control functions. Office with responsibility for coordinating Internal Control functions.

DISPOSITION:

TEMPORARY.

Cut off at the end of the fiscal year that the records support. Destroy after cut-off period if no longer required for business purposes.

All other related electronic records may be retained as long as needed for business purposes and no longer than 7 years after the cut off period.

Supersedes: NN-171-123 Item 6, NN-171-123 Item 8, NN-171-123 Item 9, NN-171-123 Item 10, NC-174-24 Item 2, NC-174-24 Item 3, NN-171-123 Item 4, NN-171-123 Item 5,

Exception to GRS 16 Item 14(a), GRS 16 Item 14(b), GRS 16 Item 14(c), GRS 16 Item 14(d) GRS 16 Item 14(e), GRS 16 Item 14(f)(1), GRS 16 Item 14(f)(2).

The disposition is longer than the GRS because the official records are electronic and

coordinated retention periods are necessary to implement the schedule for electronic records.

**FEDERAL AVIATION ADMINISTRATION
FINANCIAL RECORDS DISPOSITION SCHEDULE**

Appendix A to SF-115 dated September 30, 2009

1. Overview

The following is an inventory of current information systems that store financial records as described in Attachment A of the SF 115. All future FAA information systems that are developed and identified that store financial records shall also be covered by this schedule.

2. Current Inventory

1.	ABA	ABA LAN	ABA Local Area Network
2.	ABA	ABA RTS	ABA Reimbursable Tacking System
3.	ARC	ABS	AUTOMATED BUDGET SYSTEM (ABS)
4.	ATO	Alaska Terminal Enroute FMS	
5.	ABA	ARS Datamart	
6.	ARC	Asset Definition Interface	
7.	ATO	ATO NDC	ATO National Data Center -- (financial records only)
8.	ATO	ATO RTS	ATO Reimbursable Tracking System
9.	ATO	BAD	Budget Analysis Database
10.	ATO	BAM	Budget Analysis Management System Module
11.	ATO	BAMS	Budget Analysis Management System
12.	ATO	BEST	Budget Execution Status Toolset
13.	ATO	BET	Budget Execution Tool
14.	ASH	BOOK\$	BOOK\$
15.	AVS	BOSS	BOSS
16.	ATO	BRT	Budget Requirements Tool
17.	ATO	BTR	Budget Team Reports
18.	ATO	BTS	Budget Tracking System
19.	ATO	BUDG	Budget Compilation and Reporting Tool
20.	ARC	BudString	BudString
21.	ATO	CAF	Capitalization Authorization Form
22.	ARC	Capitalization	(Capitalization Tracking)
23.	ATO	CapLog	Capitalization Log
24.	ABA	CAS	Cost Accounting System
25.	ABA	CAS Datamart	
26.	ATO	CCPS	Credit Card Processing System
27.	ARC	CIP	Construction In progress reports
28.	ATO	CPM	CPM 2000
29.	ATO	COMS	COMS Financial Analysis
30.	ARC	DELPHI DCF	DELPHI Document Control Form
31.	ARC	Delphi Reports	Delphi Reports
32.	ATO	Delphi String Tool (National)	
33.	ARC	Delphi Vendor Entry	Delphi Vendor Entry
34.	ARC	Delphi_Assets	Delphi_Assets
35.	ARC	DLADS	Duplicate Line Adjustment Data
36.	ABA	DOCMAN	DOCMAN
37.	ABA	Docshare	Docshare
38.	ABA	DTF	DELPHI Transaction File
39.	ATO	Expense Tracking	
40.	ABA	FABS	Financial Allotment Budgeting System
41.	ATO	FMS	Financial Management Systems

42. ABA	GRC	Governance Risk and Compliance
43. ABA	IFACTS	Intranet Financial Accounting and Cuff Tracking System
44. ABA	IFAS	Interim Fixed Asset System
45. ATO	JAI DB	Joint Acceptance Inspection Database
46. ABA	LDR Datamart	
47. ABA	OFCS	Over Flight Collection System
48. ATO	OPFSM	Operations Financial Plan Management
49. ATO	PABACUS	PABACUS
50. ABA	PAD	Project Activity Dictionary
51. ABA	PAD Datamart	
52. ATO	PCPS	Purchasing Card Processing System
53. ABA	PDL	Project Document Library
54. ABA	PROFITS	Property and Financial Tracking System
55. ABA	Quality Center	Quality Center
56. ABA	RADS	Reporting and Distribution System
57. ATO	RCT Checklist	Regional Capitalization Team Checklist
58. ATO	REDMACs	Research and Development Management & Acquisitions
59. ATO	REGIS	Regional Information Systems
60. ATO	RPT Projects	
61. ABA	SAVES	Strategic Acquisition of Various Equipment and Supplies
62. ATO	SSBA	Single Source Budget Application
63. ARC	Transmittal	
64. ABA	Waivers	Waivers
65. ABA	HAL 9000	
66. ABA	Excess Property Database	
67. ATO	FMS ATO-P	
68. ARC	Academy Resource Tool	
69. ARC	Flight Plan Pricing System	
70. ARC	PAT – Payroll Analysis Tool	
71. ARC	Mass Additions	

1. ABA	ABA LAN	ABA Local Area Network
2. ABA	ABA RTS	ABA Reimbursable Tacking System
3. ARC	ABS	
4. ATO	Alaska Terminal Enroute FMS	
5. ABA	ARS Datamart	
6. ARC	Asset Definition Interface	
7. ATO	ATO NDC	ATO National Data Center – (financial records only)
8. ATO	ATO RTS	ATO Reimbursable Tacking System
9. ATO	BAD	
10. ATO	BAM	
11. ATO	BAMS	
12. ATO	BEST	
13. ATO	BET	
14. ASH	BOOK\$	
15. AVS	BOSS	
16. ATO	BRT	
17. ATO	BTR	
18. ATO	BTS	
19. ATO	BUDG	
20. ARC	BudString	BudString
21. ATO	CAF	
22. ARC	Capitalization	(Capitalization Tracking)
23. ATO	CapLog	
24. ABA	CAS	
25. ABA	CAS Datamart	
26. ATO	CCPS	
27. ARC	CIP	
28. ATO	CPM	
29. ATO	COMS	
30. ARC	DELPHI DCF	DELPHI Document control form
31. ARC	Delphi Reports	
32. ATO	Delphi String Tool (National)	
33. ARC	Delphi Vendor Entry	Delphi Vendor Entry
34. ARC	Delphi_Assets	Delphi_Assets
35. ARC	DLADS	
36. ABA	DOCMAN	DOCMAN
37. ABA	Docshare	Docshare
38. ABA	DTF	
39. ATO	Expense Tracking	
40. ABA	FABS	
41. ATO	FMS	
42. ABA	GRC	
43. ABA	IFACTS	
44. ABA	IFAS	
45. ATO	JAI DB	
46. ABA	LDR Datamart	
47. ABA	OFCS	
48. ATO	OPSFM	
49. ATO	PABACUS	
50. ABA	PAD	
51. ABA	PAD Datamart	
52. ATO	PCPS	

53. ABA	PDL
54. ABA	PROFITS
55. ABA	Quality Center
56. ABA	RADS
57. ATO	RCT Checklist
58. ATO	REDMACs
59. ATO	REGIS
60. ATO	RPT Projects
61. ABA	SAVES
62. ATO	SSBA
63. ARC	Transmittal
64. ABA	Waivers
65. ABA	HAL 9000
66. ABA	Excess Property Database
67. ATO	FMS ATO-P

AUTOMATED BUDGET SYSTEM (ABS)

Budget Analysis Database
Budget Analysis Management System Module
Budget Analysis Management System
Budget Execution Status Toolset
Budget Execution Tool
BOOK\$
BOSS
Budget Requirements Tool
Budget Team Reports
Budget Tracking System
Budget Compilation and Reporting Tool

Capitalization Authorization Form

Capitalization Log
Cost Accounting System

Credit Card Processing System
Construction In progress reports
CPM 2000
COMS Financial Analysis

Delphi Reports

Duplicate Line Adjustment Data

DELPHI Transaction File

Financial Allotment Budgeting System
Financial Management Systems

Governance Risk and Compliance
Intranet Financial Accounting and Cuff Tracking System
Interim Fixed Asset System
Joint Acceptance Inspection Database

Over Flight Collection System
Operations Financial Plan Management

PABACUS

Project Activity Dictionary

Purchasing Card Processing System

Property and Financial Tracking System
Quality Center

Regional Capitalization Team Checklist
Research and Development Management & Acquisitions

Waivers

Project Document Library

Reporting and Distribution System

Regional Information Systems

Strategic Acquisition of Various Equipment and Supplies
Single Source Budget Application