**Chapter 06: Safety and Compliance**

# 16. Regulatory Documentation and Record-Keeping

Maintain regulatory documentation and records to ensure compliance with aviation safety and operational requirements.

# Roles and Responsibilities

**Safety Officer:**

- Monitor safety compliance across all operations
- Conduct safety investigations and reporting
- Coordinate safety training and certification
- Ensure regulatory safety compliance
- Authorize safety equipment and improvements

**Operations Leader:**

- Oversee daily operations and coordinate between departments
- Authorize emergency response procedures and resource allocation
- Monitor safety compliance and operational excellence
- Coordinate scheduling across departments for operational coverage
- Review billing disputes and approve service adjustments
- Ensure regulatory compliance across all operations

# Process Steps

## Documentation Requirements Assessment Phase

- **Identify regulatory requirements** - Determine all applicable record-keeping requirements from FAA, OSHA, EPA, and other agencies
- **Catalog required records** - Create comprehensive list of all required documents, forms, and records
- **Establish retention schedules** - Define retention periods for each type of regulatory record based on regulatory requirements
- **Assign record responsibilities** - Designate specific personnel responsible for maintaining each type of record
- **Document procedures** - Create written procedures for record creation, maintenance, and retention

- **Review requirements regularly** - Monitor regulatory changes affecting documentation requirements

## Record Creation and Maintenance Phase

- **Standardize record formats** - Establish standard forms and formats for all regulatory records and documentation
- **Implement quality controls** - Establish procedures to ensure accuracy and completeness of all regulatory records
- **Maintain record integrity** - Protect records from loss, damage, or unauthorized alteration
- **Update records promptly** - Ensure all regulatory records are updated immediately when changes occur
- **Verify record accuracy** - Conduct regular reviews to verify accuracy and completeness of regulatory records
- **Backup critical records** - Maintain backup copies of critical regulatory records and documentation

## Record Storage and Organization Phase

- **Organize filing systems** - Establish logical filing systems for easy retrieval of regulatory records and documents
- **Implement security measures** - Protect confidential and sensitive regulatory records from unauthorized access
- **Maintain record inventories** - Keep current inventories of all regulatory records and their locations
- **Establish access controls** - Control access to regulatory records based on need-to-know and job requirements
- **Use electronic systems** - Implement electronic record-keeping systems where appropriate and permitted
- **Archive historical records** - Properly archive older records while maintaining accessibility for regulatory requirements

## Record Retrieval and Access Phase

- **Establish retrieval procedures** - Create efficient procedures for locating and retrieving specific regulatory records
- **Maintain record indexes** - Keep current indexes and databases to facilitate quick record location
- **Support regulatory requests** - Provide prompt response to regulatory agency requests for documentation
- **Coordinate inspection support** - Organize and present records for regulatory inspections and audits
- **Track record usage** - Monitor record access and usage to identify frequently needed documents
- **Provide personnel access** - Enable authorized personnel to access needed records for their job duties

## Record Retention and Disposal Phase

- **Follow retention schedules** - Retain all regulatory records for required periods based on applicable regulations
- **Monitor retention deadlines** - Track record ages and retention deadlines to ensure compliance
- **Coordinate legal holds** - Suspend normal disposal schedules when records are subject to legal proceedings
- **Dispose of records properly** - Use appropriate disposal methods for confidential and sensitive records
- **Document disposal activities** - Maintain records of document disposal activities and authorization
- **Archive permanent records** - Identify and preserve records with permanent retention requirements

## Audit and Compliance Verification Phase

- **Conduct record audits** - Perform regular audits of record-keeping practices and compliance
- **Verify record completeness** - Ensure all required records are present and properly maintained
- **Check retention compliance** - Verify records are being retained for appropriate periods
- **Review access controls** - Audit record access controls and security measures
- **Assess system effectiveness** - Evaluate record-keeping system performance and identify improvements
- **Implement corrective actions** - Address record-keeping deficiencies and compliance issues

# Tools and Resources

**Record-Keeping Systems:**

- Electronic document management systems
- Physical filing systems and storage equipment
- Record retention schedules and calendars
- Backup and archive storage systems

**Documentation Tools:**

- Standard forms and record templates
- Digital scanning and imaging equipment
- Record tracking and inventory databases
- Access control and security systems

**Reference Materials:**

- Regulatory record-keeping requirements

- Record retention schedule references
- Privacy and confidentiality guidelines
- Industry record-keeping best practices

# Common Issues and Solutions

- **Issue:** Difficulty locating specific records during regulatory inspections
- **Solution:** Implement comprehensive record indexing and cross-referencing systems; train personnel on record location procedures

**Issue:** Records lost or damaged due to inadequate storage or backup procedures

**Solution:** Implement robust backup procedures; use climate-controlled storage; consider electronic record systems

**Issue:** Personnel not completing required documentation accurately or timely

**Solution:** Provide documentation training; establish quality control procedures; implement regular compliance monitoring

# Regulatory References

- **14 CFR Part 139.301** - Records management requirements for airport operators
- **29 CFR 1904.29** - Forms and record retention requirements for occupational injuries
- **40 CFR Part 262.40** - Hazardous waste record-keeping requirements
- **Privacy Act of 1974** - Personnel record privacy and security requirements
- **Freedom of Information Act** - Public access to government records requirements
- **State and Local Record-Keeping Requirements** - Additional documentation and retention requirements