

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408 1 FROM (Agency or establishment) DOT/Federal Aviation Administration 2 MAJOR SUBDIVISION Office of Associate Administrator for Regulation and Certification, AVR-1 3. MINOR SUBDIVISION Flight Standards Service Civil Aviation Registry, AFS-700		JOB NUMBER 71.237.04.3	
		DATE RECEIVED 10.22.2003	
		NOTIFICATION TO AGENCY	
4 NAME OF PERSON WITH WHOM TO CONFER Jerry Super D. Janet Stewart		5. TELEPHONE 405-954-7040 202-267-3360	

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 8 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; or has been requested

DATE 10/10/03	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	TITLE Records Officer
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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p>The Federal Aviation Administration, Civil Aviation Registry, AFS-700 (the Registry), maintains through its Aircraft Registration Branch, AFS-750, and its Airmen Certification Branch, AFS-760, the U.S Civil Aircraft and Airmen Registers as provided for in Title 49 United States Code 44101 through 44112, 44703, 44709, and 44710. This is done to aid in the national defense and to support a safe and economically strong civil aviation system. In particular, this system documents the registered owners of aircraft, the holders of interest in aircraft, and the certifications issued to airmen as defined in 14 C F.R.</p> <p>The Registry files have been maintained on a system consisting of mainframe computer programs, paper, microfilm, and microfiche. The Registry is upgrading this system to an electronic record based system referred to as the Registry Modernization System (RMS). Record images will be stored on electronic media such as WORM platters. The following disposition authorities allow for the disposal of both new and existing record documents and copies of records now held as paper, microfilm or microfiche as they are converted into electronic record format.</p>		

8050 AIRCRAFT REGISTRATION AND RECORDATION

Note: FAA requests a one-time disposition for items marked with an “*.” These items either are no longer created or will no longer be created upon full implementation of the Registry Modernization System (RMS).

Overview of the Records

Registry Modernization System

Inputs:

- 1) Aircraft Registration and Recordation Files
 - a) Original paper records
 - b) Microfiche copy *
 - c) Aircraft Records Retrieval and Storage Program (ARRAS) *
 - d) Daily Documents Microfilm *
- 2) Assignment Cards *
- 3) Signature Authorization Files
- 4) Export Certificate of Airworthiness Files
- 5) Export Certificate Number Assignment Cards
- 6) Engine Propeller and Spare Parts Location Recordation Files
- 7) Engine, Propeller and Spare Parts Location Cards *
- 8) Dealer’s Aircraft Registration Certificate Files
- 9) Recording Books *

Master Files:

- 10) Image Files
- 11) Image Files Indexes
- 12) Aircraft Registration Database (AR)
 - a) AR Masterfile
 - b) All other files

Outputs

- 13) Listings of U.S. Civil Aircraft
 - a) U.S. Civil Registry by N-Number, etc.
 - 1) January Listings through 2004
 - 2) All other listings
 - b) Reserve N-Numbers and Reserve Party
 - c) Document Indexes: Collateral and Parties to Conveyance
- 14) Other
- 15) Documentation:
 - a) For permanent electronic records
 - b) For temporary electronic records
- 16) Truth in Leasing File
 - a) Original paper records
 - b) Images
- 17) Foreign Aircraft Leases
 - a) Original paper records
 - b) Images
- 18) Electronic Mail and Word Processing System Copies

Registry Modernization System (Items 1-15): Aircraft Records

INPUTS:

(1) Aircraft Registration and Recordation Files (8050 Item 1) Records required to maintain the U.S. Civil Aircraft Register as provided for in Title 49 United States Code, Sections 44101 through 44112. These records are organized into case files containing histories of registered aircraft including ownership information, lien status, airworthiness data, and related correspondence. Case files may include: aircraft registration applications, aircraft bills of sale or other evidence of ownership, liens, lien releases, security instruments, leases, terminations of leases, requests for aircraft identification number changes, address changes, de-registration requests, unrecorded documents in suspense, correspondence outlining remaining requirements for registration or recording, the record of the Aircraft Registration Branch's actions on the above items, airworthiness applications, returned and file copies of airworthiness certificates, and major repair and alteration reports.

(a) Original paper records

1) Records that are imaged. (8050 Item 1.a.1)

Disposition: **Destroy** or return to submitter after converting to an electronic image and determining image is an adequate substitute for the original.
(This authority supercedes NCI-237-79-2 Item 5)

2) Records that are not imaged. (8050 Item 1.b)

Disposition: **PERMANENT.** Transfer to the National Archives when no longer needed.
(This authority supercedes NCI-237-79-2 Item 5)

(b) * Microfiche copy. (8050 Item 1.a.2)

Disposition: **Destroy** after alternative copy (e.g., scanned image) is accepted as an adequate substitute for the original.
(This authority supercedes NCI-237-79-2 Item 5)

(c) * Aircraft Records Retrieval and Storage Program (ARRAS) microfiche locator system records

Disposition: **Delete** upon removal of microfiche copies from the electronic storage unit

- (d) * **Daily Documents.**
Copy of documents stored on a media outside RMS (e.g., microfilm and compact disk) and arranged by date received.

Disposition. Cut off at end of calendar year in which copy was created. **Destroy** microfilm 30 years after filming date.
(*This authority supercedes NC1-237-79-2 Item 5.*)

- (2) * **Assignment Cards.** 3" x 5" cards used to track and cross-reference the assignment of registration and serial numbers to individual aircraft. These cards consist of two different forms or their equivalents: Aircraft Registration Assignment Card (AC Form 8050-56) and Aircraft Serial Record (AC Form 8050-16). Notations include registration number changes as well as deregistration, reinstatement and export dates of aircraft.

Disposition: Cut off at end of calendar year in which electronic image was created. **Destroy** 5 years after cut off.

- (3) **Signature Authorization Files.** Paper case files containing back-up documents establishing the authority of a signature on documents submitted for aircraft registration and recordation. Files include certificates of incorporation, powers of attorney, name changes, appointments of estate representatives, articles of incorporation, and trusts.

Disposition: **Destroy** after determining image is an adequate substitute for the original.

- (4) **Export Certificate of Airworthiness Files.** These paper files include certificate applications (FAA Form 8130-1 or its equivalent) and copies of certificates (FAA Form 8130-4 or its equivalent) issued for exported aircraft, engines and propellers. (Many export certificate of airworthiness applications and certificates are filed in the corresponding Aircraft Registration and Recordation File.)

Disposition: **Destroy** after determining image is an adequate substitute for the original.

- (5) **Export Certificate Number Assignment Cards.** 3" x 5" cards (AC Form 8050-72 or its equivalent) identifying the number on the Export Certificate of Airworthiness issued for individual aircraft, engines and propellers that have been exported.

Disposition. **Destroy** after determining image is an adequate substitute for the original.

- (6) Engine, Propeller and Spare Parts Location Recordation Files (8050 Item 2) Paper case files regarding instruments executed for security purposes or the release of security interest for large engines, propellers and spare parts location. Files include security agreements, releases, leases, and lease terminations.

Disposition: **Destroy** after determining image is an adequate substitute for the original. (This authority supercedes NC1-237-79-2 Item 6)

- (7) * Engine, Propeller and Spare Parts Location Cards. 5” x 8” cards used to index the filing locations in aircraft registration files of documents affecting an interest in engine, propeller and spare part locations. Created to enable searching of the aircraft registration and recordation files for lease and security instrument recordings (e.g. security agreements, leases, releases, and lease terminations) by the description of the engine, propeller or location affected.

Disposition: **Destroy** after determining image is an adequate substitute for the original.

- (8) Dealer’s Aircraft Registration Certificate Files. (8050 Item 3) Paper case files documenting holders of dealers’ aircraft registration certificates. Files include registration certificate applications and related correspondence

Disposition: **Destroy** after determining image is an adequate substitute for the original. (This authority supercedes NC1-237-78-2 item 1.)

- (9) * Recording Books. Books listing the document recording numbers used in the Aircraft Registration and Recording System with brief notations as to the aircraft, engines, propellers, or spare parts locations affected by individual recordings. These books are used to cross-reference a document recording number to a specific aircraft or other collateral.

Disposition: **Destroy** after determining image is an adequate substitute for the original.

MASTER FILES:

- (10) Image Files. Electronic images of Aircraft Registration and Recordation Files, Assignment Cards, Signature Authorization Files, Export Certificate of Airworthiness Files, Export Certificate Number Assignment Cards, Engine Propeller and Spare Parts Location Recordation files, Engine Propeller and Spare Parts Location Cards, Dealer’s Aircraft Registration Certificate Files, and Recording Books.

- a) Aircraft Registration and Recordation Files, Assignment Cards, and Signature Authorization Files.

Disposition. **PERMANENT.** Cut off when images are designated to be deleted from the system. Transfer copies of these images to the National Archives (NARA) by the end of the calendar year in which they are cut off in a format approved by NARA in accordance with 36 CFR 1228.270 and related NARA instructions and guidance.

Note: *The FAA agrees to maintain these records in accordance with 36 CFR 1234.30, 36 CFR 1234.32 and related NARA instructions and guidance while the records are in the agency's custody*

- b) All other records.

Disposition: **Delete** images 1) when the information in them is 75 years old, or 2) when it is determined that the associated aircraft is no longer in existence plus 25 years, or when no longer needed, whichever is longer.

Note: *The FAA agrees to maintain these records in accordance with 36 CFR 1234.30 and 1234.32 for their entire 75-year retention period.*

- (11) Image Files Indexes. These data files contain text used to search electronic images of records.

- a) Aircraft Registration and Recordation Files, Assignment Cards, and Signature Authorization Files image files indexes.

Disposition: **PERMANENT.** Cut off when associated images are designated to be deleted from the system. Transfer copies to the National Archives (NARA) by the end of the calendar year in which they are cut off in a format approved by NARA in accordance with 36 CFR 1228.270 and related NARA instructions and guidance.

Note: *The FAA agrees to maintain these records in accordance with 36 CFR 1234.30 and 1234.32 while the records are in the agency's custody.*

- b) All other records image files indexes.

Disposition: **Delete** images files indexes 1) when the information in the associated image is 75 years old, or 2) when it is determined that the associated aircraft is no longer in existence plus 25 years, or when no longer needed, whichever is longer

Note: *The FAA agrees to maintain these records in accordance with 36 CFR 1234.30 and 1234.32 for their entire 75-year retention period*

- (12) Aircraft Registration Database (AR). This dynamic data file contains *current* information about civil aircraft (extracted from documents listed as Inputs numbered 1-9 above) including: name of registered owner or pending owner, owner's address, names of previous registered owners, registration date, aircraft description (serial number, N number, make, model, aircraft type), registration status, registration type, pending number changes, engine description, airworthiness type and date, registration cancellation date, reason for cancellation, and, if applicable, country to which aircraft was exported

- a) Aircraft Registration Masterfile and associated code and information tables including Aircraft Reference File, Engine Reference File, Aircraft Dealer Applicant File, N-Number/Serial Number Cross Reference File, the Kit Code List, the table of all de-registered aircraft, the table containing names of all previous registered aircraft owners, and the table identifying aircraft that are part of the Civil Reserve Air Fleet Program.

Disposition: **PERMANENT**. Copy on the last business day of every calendar year and transfer to NARA annually (within 30 days) in accordance with 36 CFR 1228.270 and related NARA instructions and guidance.

- b) All other tables.

Disposition: **Destroy** when no longer needed for agency business.

OUTPUTS:

- (13) Listings of U.S. Civil Aircraft. Monthly reports generated by the Aircraft Registration System (AR) listing information and statistics from all of the records received by the Registry during that time period.

- a) U.S. Civil Registry by N-Number, U.S. Civil Registry by Serial Number, U.S. Civil Registry by Name of Registrant, U.S. Civil Registry by Make and Model, U.S. Civil Registry by State and County, Aircraft Dealer Applicant, Engine Reference File, Aircraft Reference File in M/M/S

Sequence, Aircraft Reference File in Model Group Sequence, and Aircraft Reference File in Model Series Name Sequence.

1) January listings (containing December data) through 2004.

Disposition: **PERMANENT.** Transfer copies of listings to the National Archives.

2) All other listings.

Disposition: **Destroy** when 30 years old or when no longer needed for agency business, whichever is longer.

b) Reserve N-Numbers and Reserve Party.

Disposition: Cut off at end of calendar year. **Destroy** 3 years after cutoff.

c) Document Index – Collateral and Document Index – Parties to Conveyance.

Disposition: **Destroy** when no longer needed for agency business

(14) Other.

FAA employees use the RMS to create various ad hoc reports for reference and tracking purposes. RMS also generates the aircraft certificates the FAA mails to aircraft owners.

Disposition: **Destroy** when no longer needed for agency business.

DOCUMENTATION:

(15) RMS documentation regarding aircraft records including code books, record layouts, user manuals, and data dictionaries.

a) For permanent electronic records.

Disposition: **PERMANENT.** Transfer to National Archives along with permanent records.

b) For temporary electronic records.

Disposition: **Destroy** when obsolete, superseded, or no longer needed for agency business.

(16) Truth in Leasing File

File contains leases and conditional sales contracts. These records are sent to and received by the FAA in compliance with 14 CFR Section 91.23, the Truth-in-leasing clause requirement in leases and conditional sales contracts.

- (a) Original paper records.

Disposition: **Destroy** after determining image (e.g., microfilm or electronic image) is an adequate substitute for the original records.

- (b) Images (e.g., microfilm or electronic image).

Disposition: Cut off at the end of the calendar year in which the original record was received. **Destroy** 40 years after cutoff.

(17) Foreign Aircraft Leases

These records are received by the FAA in compliance with regulation 14 CFR Sections 121.153 and 135.25.

- (a) Original paper records.

Disposition: **Destroy** after determining image (e.g. microfilm or electronic image) is an adequate substitute for the original records.

- (b) Images (e.g. microfilm or electronic image).

Disposition: Cut off at the end of the calendar year in which the original record was received. **Destroy** 40 years after cutoff.

(18) Electronic Mail and Word Processing System Copies

Electronic copies of records that are created in electronic mail and word processing systems and used solely to generate a record keeping copy of the records covered by the items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- (a) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Disposition: **Delete/destroy** within 180 days after the recordkeeping copy has been produced.

- (b) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Disposition: **Delete** when dissemination, revision, or updating is complete.