

ORDER

1350.15B

9/30/87

**RECORDS ORGANIZATION, TRANSFER,
AND DESTRUCTION STANDARDS**



**U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION**

RECORD OF CHANGES

DIRECTIVE NO.

1350.15B

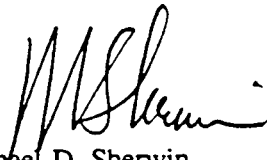
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FOREWORD

This order establishes guidelines and procedures for the systematic destruction or retention of FAA records and their retirement to a Federal Records Center.

The retirement and/or destruction of noncurrent files from operating offices is essential to release high cost office space and equipment for the maintenance of current files. Records are considered inactive or noncurrent when they are referred to less than once a month per cubic foot of material involved.

This order has been sent to the National Archives and Records Administration (NARA) for review.

A handwritten signature in black ink, appearing to read 'M. D. Sherwin', is positioned above the printed name.

Michael D. Sherwin
Director of Management Systems

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CHAPTER 1. GENERAL FILE STANDARDS

1. PURPOSE. This order establishes guidelines and procedures for the systematic destruction or retention of records and their retirement to a Federal Records Center as required by Federal statutes and regulations. Disposition of records must be accomplished in accordance with approved standards set forth in this order.

2. DISTRIBUTION. This order is distributed to the branch level in Washington, regions, and the FAA Technical Center; section level at the Aeronautical Center; managers in the overseas area offices; a standard distribution to all field offices and facilities; and to all records officers.

3. CANCELLATION. Order 1350.15A, Records Organization, Transfer, and Destruction Standards of March 29, 1978, is cancelled.

4. EXPLANATION OF CHANGES. This revision provides retention or disposal standards for records that were not previously scheduled and changes the disposition of some records. This revision also deletes the chapter on International Operations and Representation Records. This information is now contained in paragraph 1240, International Relations Records.

5. GENERAL. These standards cover retention, transfer, and destruction of all FAA files. The standards cover all data wherever kept and whatever its physical characteristics. The standards are developed by the operating officials concerned, working with the FAA Records Officer and National Archives and Records Administration (NARA) records specialists. Once approved the standards must be followed, unless they are officially changed.

a. Numbering. Standards are numbered by the FAA Subject Classification System used to file the related documents.

b. Description of files. Files are described in broad terms that may cover several record series and accommodate minor differences in naming and arranging local files. Generally, the records are not identified with specific organizations, therefore, similar records will follow the same standards; the standards should not be stretched to cover records that obviously are not related to the standards.

(1) General correspondence files. General correspondence files standards are usually provided within standards for major program records. This correspondence consists of letters, memos, reports, etc., related to the principal function of the program office. General correspondence files are usually arranged by the FAA Subject Classification System.

(2) Files at various echelons. Standards give varied retention periods when related records are kept by national, regional, and local offices. While there are some exceptions, most permanent records are kept only by the agency office of primary interest. Such offices or activities are responsible for agencywide policy, plans, programs, and procedures in their functional areas.

(3) Details of standards. Each standard names the files, describes them in general terms, and provides for the retention, transfer, and destruction of the files. When data is microfilmed, provisions for microfilming are covered. Inactive records may be transferred earlier than specified if they are not referred to more often than once a month per drawer. However, we do not generally transfer records that could more economically be retained and destroyed on-site.

c. Standards application.

(1) Programming. Each activity shall be responsible for programming its records for orderly disposition in accordance with standards provided in this order. Effective programming requires:

(a) The determination of disposal authorizations to be applied to each file or records series the activity accumulates.

(b) The establishment of suitable cut-off periods and transfer dates.

(c) The application of pertinent authorizations to records holdings at least once a year.

(d) The development of appropriate retention period for records not covered by disposal authorizations and the submission of recommendations through channels as provided in Order 1350.14A, Records Management.

(e) The inspection and audit by the cognizant records officer, at least once a year, of the activity's records and related disposition procedures and practices to insure that all records accumulated are covered by items in this order, that proper disposal authorizations are being applied to the records, and that

records are actually disposed of when they become eligible for destruction and transferred to storage when they become noncurrent.

(2) Segregating. Records should be disposed of in a "block" whenever possible. Documents that must be maintained for substantially longer or shorter periods of time than other portions of the file should be physically separated and filed as individual records series. While physical separation of these records is preferred, some files, such as general correspondence files, may contain materials having different retention values. When the file volume is small and when the difference in retention periods is not substantial, the

entire file may be retained as a "block" and disposed of upon expiration of the longest retention period. When the differences are substantial, each file category should be identified for disposal as a separate series of records.

6. OFFICIAL FILES LISTS. File standards provided herein are used to prepare official files lists for all file stations. The lists outline contents, arrangement, and transfer and destruction provisions. (See paragraph 30(a) of Order 1350.14A).

7-19. RESERVED.

CHAPTER 2. TEMPORARY FILES

TEMPORARY FILES. A substantial number of files contain temporary material that is useful but not essential to record the program activity of the office holding it. These files are sometimes called housekeeping files, reader files, publications files, extra copy files, information copy files, etc. In many cases, there is a separate office of primary interest that maintains a related master copy for longer term retention. Ideally, much of this material should be destroyed **WITHOUT FILING**, thus reducing the volume of material in the files and making them more serviceable. The following standards cover the more common types of these temporary materials produced by FAA offices and activities. This temporary material should **NOT** be transferred to the Federal Records Center.

a. Office administrative files. Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications; the expenditure of funds, including budget papers; day-to-day administration of office personnel, including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may include copies of internal activity and workload reports (including work progress, statistical, and narrative reports which are prepared in the office and forwarded to higher levels), and other materials that do not serve as official documentation of the programs of the office.

Destroy when 2 years old or earlier if purpose has been served. Start new file yearly.

b. FAA Publications—reference copies. Copies of FAA and predecessor agency publications including copies of orders, bulletins, manuals, circulars, memoranda, informational announcements, public relations material, and other printed or processed documents. (Preservation of record sets is the responsibility of the issuing or controlling office.)

Destroy when obsolete.

c. Outside Publications. Publications of other Government agencies, commercial firms, or private institutions, including catalogue, price lists, and similar publications.

Destroy when superseded or obsolete.

d. Library materials. Copies of books, pamphlets, journals, and similar materials.

Refer to librarian for disposition.

e. Reading files. Copies of correspondence prepared and maintained by the originating office, used solely as a reading or reference file for the convenience of personnel.

Destroy when 2 years old or after reference value has been exhausted, whichever is sooner.

f. Duplicate copies. Identical duplicate copies of all documents contained in the same file.

Destroy immediately.

g. Requests for information or publications. Request for information and replies involving no administrative action, no policy decisions, and no special compilations or research for reply, including request for publications and other printed material.

Destroy immediately after reply is made or information is furnished.

h. Letters of transmittal. Letters of transmittal that do not add any information to that contained in the transmitted material.

Destroy upon receipt.

i. Quasi-official notices. Memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays, or charitable and welfare fund appeals, bond campaigns, or deal with activities of associations or unions concerned with Government employees.

Destroy when purpose has been served.

j. Mailing lists. Destroy when obsolete or superseded.

k. Drafts. Preliminary and intermediate drafts of letters, memoranda, reports, and other papers.

Destroy when final drafts are completed, unless the changes made substantially alter the contents.

l. Work sheets. Work sheets and other work papers that are **NOT** an integral part of a file.

Destroy when work is completed or after information is transferred to a more permanent form.

m. Shorthand notes. Stenographers' notebooks, and stenotype tapes.

Destroy when notes have been transcribed.

n. Reproduction material. Stencils, ditto masters, multilith plates, and other duplicating media used for preparing form letters, issuances, etc.

Destroy when purpose has been served.

o. Routine control files. Papers used to facilitate or control work in progress, such as job control records, status cards, routing slips, work progress sheets, statistical tabulating aids such as punched cards, and records which control work and record action taken.

(1) *Original records.* Microfilm in accordance with 41 CFR 101-311.504. Destroy original records after microfilm is determined to be an adequate substitute for paper records.

(2) *Microfilm of original records.* Destroy when work is completed or when no longer needed for operating purposes. DO NOT transfer to Federal Records Center.

(3) *All other.* Destroy when work is completed or when no longer needed for operating purposes. DO NOT transfer to Federal Records Center.

p. Personal files. Personal papers and privately purchased books kept in an office for the convenience of the employee. OFFICIAL RECORDS WILL NOT BE INCLUDED IN PERSONAL FILES.

Destroy at the convenience of the individual or the office.

CHAPTER 3. GENERAL MANAGEMENT AND ADMINISTRATION RECORDS

GENERAL MANAGEMENT AND ADMINISTRATION RECORDS. The records described below relate to the general management, planning, organization, and direction of the Federal Aviation Administration and the performance of administrative management functions. They result from the development of agency plans, policies, and programs; management surveys, paperwork management, data processing systems, work simplification, and other management improvement programs; agency relations with the public, Congress; release of information under the Freedom of Information Act and the Privacy Act, and other external bodies; investigations of personnel, applicants for employment, and contractors; employee travel; security and protective services matters, including the safeguarding of classified information; administrative support services; and defense planning activities.

1000 GENERAL RECORDS

1. Administrative policy and planning files. Documents relating to policy development and the overall planning, coordination, control, and executive direction of the assigned missions of the agency. Specifically, these files are accumulated by the Administrator, his top level staff, and heads of regions and centers.

Permanent. Transfer to Federal Records Center when 4 years old or earlier. Offer to NARA when 10 years old.

2. History program files. Documents prepared and accumulated by the agency historian, consisting of historical studies, reports, and monographs; significant source materials, such as transcripts and tapes of interviews; special collections of policy documents of exceptional importance; and similar records.

Permanent. Transfer to Federal Records Center when 4 years old or earlier. Offer to NARA when 10 years old.

1100 ORGANIZATIONAL RECORDS

1. Organization planning files. Documents relating to the establishment of and changes in organization, functions, relationships, and delegations of authority, such as organizational and functional charts, staff studies, minutes of staff meetings, and related correspondence. In general, these papers are maintained in directives case files.

Permanent. Transfer to Federal Records Center when 4 years old or earlier. Offer to NARA when 10 years old.

2. Organization planning working files. Background materials, drafts, interim and progress reports, and related papers accumulated in organization planning projects and surveys.

Destroy 6 months after final action on project report or 3 years after completion of report if no final action is taken.

1110 COMMITTEE AND CONFERENCE RECORDS

1. Committee management files. Documents relating to the establishment and organization of committees, boards, and panels; policies governing official agency membership; and related matters.

a. Files for advisory, interagency international committees sponsored by FAA. Permanent. Transfer to Federal Records Center when 4 years old or earlier. Offer to NARA when 10 years old.

b. Files for internal FAA committees. Destroy 1 year after termination of committee.

2. Committee official files. Minutes, agenda, reports and other papers documenting accomplishments and results of matters assigned formally established committees, boards, or similar groups.

a. Official files of the committee sponsor, secretariat, or recorder. Permanent. Transfer to Federal Records Center when 4 years old or earlier. Offer to NARA when 10 years old.

b. All others. Destroy when 4 years old or when no longer needed for reference, whichever is earlier.

3. Staff and local meeting and conference files. Minutes, agenda, and related documents.

Folder as part of the office general correspondence files and dispose of accordingly.

4. Committee inventory files. Annual and special inventory reports of FAA committees in existence.

a. Accumulated by the Federal Aviation Agency Committee Management Officer. Permanent. Transfer to Federal Records Center when 4 years old or earlier. Offer to NARA when 10 years old.

b. Accumulated by the Federal Aviation Administration Committee Management Officer. Destroy when 5 years old.

c. *All others.* Destroy when 2 years old.

1200 EXTERNAL RELATIONS RECORDS

1. **General correspondence files.** Routine correspondence, reports, and related documents pertaining to activities promoting civil aviation development, encouraging aviation education, fostering public understanding of agency mission and activities, and disseminating information to the public, but EXCLUDING files described elsewhere in this paragraph.

a. *Agency office of primary interest.* Destroy when 2 years old.

b. *All other offices.* Destroy when 1 year old.

1210 PUBLIC RELATIONS RECORDS

1. **Informational release files.** Records documenting the public release of information concerning agency activities and accomplishments, consisting of (1) press releases, (2) transcripts of press conferences, (3) external publications, (4) official speeches, (5) television and radio scripts, (6) biographies, (7) graphic presentations and exhibits, and other similar material, and related indexes.

a. *Releasing office (record set only).* Permanent. Transfer to Federal Records Center 4 years after close of file or earlier if inactive. Offer to NARA when 5 years old.

b. *All other offices.* Destroy when no longer needed for administrative purposes.

2. **Informational release correct files.** Documents such as preliminary drafts, statistical compilations, and work papers accumulated in the preparation of formal informational releases.

Destroy 1 year after issuance of related release.

3. **Informational release approval files.** Drafts of press releases, speeches, and articles with approvals for release or publication.

Destroy when 2 years old.

4. **General inquiry files.** Requests for information, photographs, and publications and replies thereto, involving no administrative action or special research, and including acknowledgements and transmittals of inquiries referred elsewhere for reply.

Destroy when 1 year old or earlier if no longer needed for administrative use.

1220 CONGRESSIONAL RELATIONS RECORDS

1. **Congressional inquiry files.** Copies of Congressional correspondence and replies on matters within the scope of FAA maintained by Congressional liaison offices.

Destroy when 2 years old or when purpose served, whichever is earlier.

1230 PUBLIC RELEASE RECORDS

(Freedom of Information Act and Privacy Act Records)

1. **Freedom of Information Act (FOIA) requests files.** Files created in response to requests for information under the Freedom of Information Act consisting of the original request, a copy of the reply thereto, and all related supporting files which may include official file copy of requested record or copy thereof.

a. *Correspondence and supporting documents.* (excluding the official file copy of the records requested if filed herein).

(1) Granting access to all the requested records. Destroy 2 years after date of reply.

(2) Responding to requests for nonexistent records to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a) Destroy 2 years after date of reply if not appealed.

(b) Destroy appealed requests as authorized under item 1230(2).

(3) Denying access to all or part of the records requested.

(a) Destroy 6 years after date of reply whether appealed or not.

(b) Destroy appealed requests as authorized under item 1230(2).

b. *Official file copy of requested records.* Dispose of in accordance with disposition instruction for the related records, or in accordance with the related FOIA request, whichever is later.

2. **Freedom of Information Act appeals files.** Files created in responding to administrative appeals under the FOIA for release of information denied by the agency consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

a. *Correspondence and supporting documents* (excluding the official file copy of the records under appeal if filed herein). Destroy 6 years after final determination by agency or 3 years after final adjudication by courts, whichever is later.

b. *Official file copy of records under appeal.* Dispose of in accordance with disposition instructions for the related records, or in accordance with the related FOIA requests, whichever is later.

3. FOIA control files. Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature and purpose of request, and name and address of requester.

a. Registers or listing. Destroy 6 years after date of last entry.

b. Other files. Destroy 6 years after final action by the agency or after final adjudication by courts, whichever is later.

4. FOIA reports files. Recurring reports and one-time information requirements relating to agency implementation of the Freedom of Information Act, including annual reports to the Congress.

a. Annual reports at departmental or agency level. Permanent. Offer to NARA with related records approved for permanent retention or when 15 years old, whichever is sooner.

b. Other reports. Destroy when 2 years old or sooner if no longer needed for administrative use.

5. Freedom of Information Act administrative files. Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.

Destroy when 2 years old or sooner if no longer needed for administrative use.

6. Privacy Act requests files. Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d) (1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.

a. Correspondence and supporting documents (excluding the official file copy of the records requested if filed herein).

(1) Granting access to all the requested records. Destroy 2 year after date of reply.

(2) Responding to requests for nonexistent records: to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a) Destroy 2 years after date of reply if not appealed.

(b) Destroy appealed requests as authorized under item 1230(7).

(3) Denying access to all or part of the records requested.

(a) Destroy 5 years after date of reply if not appealed.

(b) Destroy appealed requests as authorized under item 1230(7).

b. Official file copy of requested records. Dispose of in accordance with disposition instructions for the related records, or in accordance with the related Privacy Act request, whichever is later.

7. Privacy Act amendment case files. Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d) (2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 552a(d) (3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g).

a. Requests to amend agreed to by agency. Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials. Dispose in accordance with disposition instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later.

b. Requests to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials. Dispose of in accordance with disposition instructions for the related subject individual's record; 4 years after final determination by agency; or 3 years after final adjudication by courts, whichever is later.

c. Appealed requested to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record. Dispose of in accordance with disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later.

8. Privacy Act accounting of disclosure files. Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.

Dispose of in accordance with disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.

9. Privacy Act control files. Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.

a. Registers or listings. Destroy 5 years after date of last entry.

b. *Other files.* Destroy 5 years after final action by the agency or final adjudication by courts, whichever is later.

(10) **Privacy Act report files.** Recurring reports and one-time information requirement relating to agency implementation, including annual reports to the Congress of the United States, the Office of Management and Budget, and the Report on New Systems.

a. *Annual reports at departmental or agency level.* Permanent. Offer to NARA with related records approved for permanent retention or when 15 years old, whichever is sooner.

b. *Other reports.* Destroy when 2 years old.

11. **Privacy Act general administrative files.** Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.

Destroy when 2 years old or sooner if no longer needed for administrative use.

1240 INTERNATIONAL RELATIONS RECORDS

The records described below relate to the coordination of international activities of the agency, development and coordination of FAA and U.S. positions on matters considered by international civil aviation organizations, providing secretariat services for the Interagency Group on International Aviation (IGIA), and management of agency foreign assistance programs.

1. **General correspondence files.** Correspondence, reports, agreements, studies, and other documents reflecting the planning, direction, coordination, and evaluation of international aviation programs of FAA, and the development of international aviation policy with other United States Government agencies, industry, foreign governments, and international bodies, maintained by the agency office of primary interest.

Permanent. Transfer to Federal Records Center when 4 years old. Offer to NARA 20 years later.

2. **Interagency Group on International Aviation (IGIA) and International Civil Aviation Organization (ICAO) files.** Documents produced and accumulated in connection with the development and presentation of the position of FAA and the U.S. on ICAO or other international civil aviation organization matters, and to implementation of recommendations, including reports and related correspondence and documents.

a. *Offices responsible for coordinating on IGIA and ICAO matters.* Permanent. Offer to NARA when 40 years old.

b. *All others.* Destroy when 1 year old.

3. **IGIA liaison files.** Documents accumulated in the coordination and conduct of agency participation in

IGIA activities and in briefing designated representatives prior to meetings of IGIA.

a. *IGIA and ICAO numbered papers and related indexes and correspondence.* Permanent. Offer to NARA when 40 years old.

b. *Designations of agency representatives to the IGIA.* Destroy when superseded.

4. **IGIA and ICAO publications files.** Processed papers, documents, numbered and unnumbered memorandums, agenda, minutes, and reports printed and distributed by the IGIA and ICAO.

Destroy when no longer required for current operations.

5. **Foreign participant training files.** Case files consisting of correspondence, reports, project implementation orders, ICAO agreements, travel and allowance vouchers, and related papers documenting the aviation training of foreign nationals by FAA, maintained by the Office of International Aviation.

Destroy 7 years after termination of training.

6. **Foreign assistance country files.** Case files consisting of correspondence, reports, loan and supply support agreements, and related papers documenting the administration of aviation technical assistance programs to individual foreign countries by FAA, maintained by the Office of International Aviation.

Destroy when 10 years old.

1300 MANAGEMENT PROGRAM RECORDS

1. **General correspondence files.** Correspondence, reports, and related documents accumulated by management offices and staffs in the course of management planning and improvement, work simplification, paperwork management, and data processing control, but EXCLUDING files described elsewhere in this paragraph.

a. *Correspondence files of the Office of Management Systems* relating to the development of national management plans, policies, systems and standards, and documenting significant accomplishments. Permanent. Transfer to Federal Records Center when 4 years old or earlier. Offer to NARA after 10 years.

b. *All others.* Destroy when 5 years old.

2. **Management information files.** Manuals, charts, analysis sheets, problem sheets, program status and evaluation reports, and supporting documents developed in the administration of programs for the preparation of management information.

a. *Record copies maintained by the Office of Management Systems.* Permanent. Transfer to Federal Records Center when 4 years old or earlier if inactive. Offer to NARA when 10 years old.

b. *All other offices.* Destroy when superseded or no longer needed.

3. Internal Evaluation Reports. Contains information concerning the effectiveness and performance of the various offices and facilities in carrying out policies, systems, standards, and procedure. They contain noted deficiencies, recommended corrective action, and progress reports relative to the completion of the noted deficiencies.

a. *National Program Evaluation Reports.*

(1) Headquarters Evaluation Staff. Transfer to Federal Records Center when 2 years old. Federal Records Center destroy when 7 years old.

(2) Regional Office. Transfer to Federal Records Center when 2 years old. Federal Records Center destroy when 7 years old.

(3) Field Offices. Destroy upon notification that the regions have received and accepted the corrective action report or when no longer needed.

(4) Facilities. Destroy upon notification that the region has received and accepted the corrective action report.

b. *Office Evaluation Reports.*

(1) Headquarters Evaluation Staff. Destroy when superseded, or when necessary follow up and corrective action is completed or when no longer needed.

(2) Regional Office. Destroy when superseded, or when necessary follow up and corrective action is completed or when no longer needed.

(3) Field Offices. Destroy upon notification that the region has received and accepted the corrective action report.

(4) Facilities. Destroy upon notification that the region has received and accepted the corrective action report.

1310 MANAGEMENT ANALYSIS AND SURVEY RECORDS

1. Management project files. Case files containing the official record copy of the final project report, or published or processed document resulting from the project, together with supporting papers documenting project inception, scope, procedure, and accomplishments.

Permanent. Transfer to Federal Records Center when 4 years old or earlier. Offer to NARA when 10 years old.

2. Management project working papers. Background material, notes, rough drafts, interim and progress reports that are summarized in final reports, and related papers pertaining to management projects and surveys.

Destroy 6 months after final action on project report or 3 years after completion of report if no final action is taken.

3. Management project control files. Documents showing assignments, progress, and completion of projects.

Destroy 1 year after completion of project.

1320 DIRECTIVE MANAGEMENT RECORDS

1. Directives case files. Official case files for internal FAA directives prescribing policies, organization, or procedures, or providing information essential to the administration or operation of the agency. Each case file includes a printed copy of the directive, record of clearance and approvals, and significant background documents.

a. *Case files for national, regionwide, or centerwide directives* containing orders and handbooks; notices that change existing or prescribe new policies, organization, or procedures; notices approved by the Administrator, Deputy Administrator, Associate Administrators, or Regional or Center Directors regardless of subject matter. Permanent. Place in inactive file when directive is superseded or cancelled. Transfer inactive file to Federal Records Center when no more than 4 years old. Offer to NARA when 20 years old.

b. *Case files for national, regionwide, or centerwide directives containing one-time or temporary instructions (such as notices not covered by (a) above).* Place in inactive file when directive is superseded or canceled. Destroy inactive file after 5 years.

c. *Case files for other than national, regionwide, or centerwide directives (such as orders, handbooks, and notices).* Place in inactive file when directive is superseded or canceled. Destroy inactive file after 5 years.

2. Directives master reference files. Files of directives for which directives management officers are responsible.

Destroy when canceled or no longer needed for reference.

3. Directives working and reference files. Directives records other than those described above.

Destroy when canceled or no longer needed for reference.

1330 FORMS MANAGEMENT RECORDS

1. Forms numerical files. Case files containing a copy of each form and revision, request for approval and justifications, copies of prescribing directives, and related correspondence.

Destroy 2 years after canceled or superseded.

2. Forms functional files. Case files consisting of a sample copy of each current form.

Destroy individual form when superseded or canceled.

3. Forms supply files. Requisitions, specifications, issue and stock control records, and other documents pertaining to supply control maintained for each form.

Destroy when related form is superseded or canceled.

1340 REPORTS MANAGEMENT RECORDS

1. Reports control files. Case files maintained for each report created, canceled, or superseded. This standard does not apply to the reports themselves but only to the files accumulated in the administrative control of the reports.

Destroy 2 years after canceled or superseded.

1350 RECORDS MANAGEMENT RECORDS

1. Records disposition files. Documents accumulated by records management activities including schedules, SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt, and related documentation.

Destroy when the related records are destroyed or are no longer in use in the agency.

2. Statistical reports of records holdings, including feeder reports from all offices.

Destroy when 3 years old.

3. Reports, correspondence, and related records concerning the development and improvement of the management of records. Includes the management of files, forms, correspondence, mail, reports, microfilm, ADP, vital records, and word processing.

Destroy when 6 years old.

1370 DATA PROCESSING MANAGEMENT AND STATISTICAL RECORDS

1. Data processing project files. Case files and related working papers resulting from ADP surveys and feasibility studies.

Apply items 1310(1) and (2).

2. Data processing report files. Record copies of reports of inventories of utilization and costs of automatic data processing in the agency.

Transfer to Federal Records Center when 4 years old or earlier. Federal Records Center destroy when 10 years old.

3. Aviation statistics publication files. Record set of statistical publications, surveys, and staff studies, such as FAA Air Traffic Activity, Census of U.S. Civil Aircraft, and Handbook of Aviation.

Permanent. Transfer to Federal Records Center when 4 years old. Offer to NARA when 10 years old.

4. Aviation statistics source files. Source data used in compiling publications and studies described in item (3), such as FAA Form 7230-11, Monthly Summary Airport Operations and Instrument Approaches; FAA Form 7230-13, Monthly Activity Record Flight Service Stations, or equivalents; industry reports and questionnaires; worksheets; and machine tabulations.

Destroy when 2 years old.

1380 WORK MEASUREMENT RECORDS

1. Work measurement project files. Case files and related working papers resulting from the development of work measurement formulas, establishment of criteria for effective manpower utilization, and improvement in work sampling techniques.

Apply items 1310(1) and (2).

2. Standard Procedure for Uniform Reporting (SPUR) activity reports. Consolidated monthly and quarterly summary reports reflecting work activity (man-hours and units) maintained by Washington and Regional Headquarters Flight Standards Divisions.

Destroy when 4 years old.

1390 MANAGEMENT IMPROVEMENT RECORDS

1. Management improvement report files. Record copies of management improvement and achievement reports submitted to the Office of Management and Budget and related analyses and feeder reports.

a. Record copies maintained by the Office of Management Systems. Permanent. Transfer to Federal Records Center when 4 years old or earlier. Offer to NARA when 10 years old.

b. All others. Destroy when superseded or no longer needed.

1400 CIVIL RIGHTS RECORDS

1. Civil rights general files. Correspondence, reports, and related materials documenting the general administration of equal employment and civil rights programs, including youth opportunity, upward mobility, Federal women, and fair housing. Includes status reports, EEO counselor data, and evaluations.

a. Status reports and evaluations. Permanent. Offer to NARA when 10 years old.

b. All other records. Destroy when 5 years old.

2. Minority employment report files. Reports of minority accessions, promotions, etc.

Destroy when 2 years old.

3. Civil rights plan files, consisting of documents relating to the development of (1) EEO Action plans, to

assure equal opportunity in internal FAA employment, and (2) Hometown plans, to assure equal opportunity in employment by contractors. Includes plans, amendments, goals and objectives reports, and related correspondence.

Destroy when superseded or no longer needed, whichever is earlier.

4. Discrimination complaint files. Case files developed in processing complaints of discrimination in internal FAA employment and in employment practices by contractors.

Destroy 5 years after final decision.

5. Civil rights compliance review files. Case files developed in reviews of airlines holding government contracts, direct contractors and subcontractors, and airports receiving FAA sponsored Federal assistance to assure compliance with civil rights regulations.

Destroy when 5 years old.

1500 TRAVEL RECORDS

1. Employee travel files. Correspondence requests, travel authorizations and orders, itineraries, and routing trip reports exclusive of records maintained for accounting purposes (item 2710).

Destroy when 2 years old.

2. Employee foreign service travel files. Correspondence, requests, travel authorizations and orders, itineraries, administrative shipping records, and related materials pertaining to foreign assignments, exclusive of records maintained for accounting purposes (item 2710).

Place in inactive file upon separation from foreign service. Destroy inactive file when 4 years old.

3. Passport files. Requests for passport actions, such as FAA Form 2511 or equivalent, notifications for passport services, such as FAA Form 1500-1 or equivalent, clearances, correspondence, and related papers generated in obtaining passports for FAA personnel performing foreign travel.

a. Office responsible for securing passports and visas for official foreign travel. Destroy when employee is separated from the agency, or when passport has expired without request for renewal, whichever is earlier.

b. Other offices. Destroy when 1 year old.

1590 WITHDRAWN

1600 SECURITY RECORDS

1. General correspondence files. Correspondence, reports, and related materials accumulated in the administration and direction of traditional security and protective security programs, including personnel security,

classified information accountability and control, physical security of installations and facilities, communications security, and computer and technical security. For records relating to programs for the prevention of criminal acts against air transportation, see item 1650.

a. Correspondence files of the Office of Civil Aviation Security. Destroy when 4 years old.

b. All others. Destroy when 2 years old.

2. Classified document control files. Records maintained by security control points and Top Secret Control Officers, such as accountability records, control logs and document receipts.

a. Records concerning information or material classified Secret or Top Secret. Destroy 4 years after final disposition of related material.

b. Records concerning information or material classified Confidential. Destroy 2 years after final disposition of related material.

3. Lock combination files. Documents, such as Form DOT F 1600.6, Combination Record, or equivalent, used to record safe combinations and names of persons knowing combinations.

Destroy when superseded by a new form.

4. Survey and inspection report files. Reports of surveys and inspections of facilities conducted to insure adequacy of protective measures taken against hazards of fire, explosion, and accidents, and to safeguard facilities against sabotage and unauthorized entry.

Destroy upon receipt of a subsequent survey or inspection, as appropriate.

5. Police function files. Reports, statements of witnesses, warning notices, and other papers relating to arrests, commitments, and traffic violations.

Destroy when 2 years old.

6. Loss and theft files. Reports, loss statements, receipts, and other papers relating to lost and found articles.

Destroy 1 year after case is closed.

7. Security violation files. Reports of security violations, such as FAA Form 2833 or equivalent, retained by guard forces or other persons performing security patrols.

Destroy when 1 year old.

8. Identification files.

a. Identification cards, such as Form DOT F 1600.1.3 or equivalent, building and visitor's passes, and other credentials. Destroy upon return to issuing office.

b. Applications and receipts for identification credentials, such as FAA Form 1600-14 or equivalent,

listings, and other accountable records. Destroy upon return of identification media to issuing office.

9. Visitor control files. Registers, cards, or logs for recording names of visitors and related data maintained for facilities security purposes.

Destroy 1 year after final entry or 1 year after date of document, as appropriate.

10. Personnel Security Files (PSF's). Files containing the original FAA reports of investigations on FAA employees or applicants for FAA employment, reports or investigative materials acquired from other agencies, and documents transferred from Official Investigative Case Files to the PSF. PSF's are included in the FAA's Investigative Record System (DOT/FAA 815). The investigative reports are used to evaluate security clearance eligibility, to resolve allegations of irregularities or misconduct of employees or other security/suitability matters, etc. EXCLUDED are investigative reports and related materials furnished to the FAA by the Office of Personnel Management (OPM) and those acquired from agencies other than OPM as a direct result of personnel security processing for which disposition instructions are provided in the Federal Personnel Manual and FAA Order 1600.1B, Personnel Security Program.

a. FAA applicants.

(1) Nonderogatory cases. No file will be maintained.

(a) If nonselected, application (SF-171) must be returned to USOPM, Boyers, Pennsylvania, with the appropriate SF-85 1 year from the date stamped on the SF-171.

(b) If hired, follow guidelines for FAA employees.

(2) Derogatory cases.

(a) If nonselected, and the PSF contains an FAA Report of Investigation (FAA Form 1600-32). Destroy the PSF 5 years after date of nonselection.

(b) If nonselected, and the PSF containing the results of a National Agency Check (NAC), NAC and Written Inquiries (NACI), Limited Suitability, Background Investigation, or FAA Report of Record Review, process in accordance with Order 1600.1B, FAA Personnel Security Program may be amended.

(c) If hired for either a sensitive or nonsensitive position, retain the PSF and follow guidelines for FAA employees.

b. FAA employees.

(1) Nonderogatory cases. Only retain PSF's for those employees in Critical Sensitive positions. De-

stroy the PSF upon separation of employee or upon reassignment to non-sensitive or non-critical sensitive position.

(2) Derogatory cases.

(a) Retained by the servicing Civil Aviation Security or Investigations and Security Divisions in the area of last employment. Destroy 5 years from the date of separation.

(b) Files on individuals who are involved in litigation, appeals, or other administrative proceedings at the time of separation or when such action commences following termination. Destroy 5 years after final administrative action.

(3) Transfers.

(a) Transfers to another FAA region. Forward PSF to gaining Civil Aviation Security Division.

(b) Transfers to another DOT administration. Forward the PSF's to ACS-300 for transmittal to the cognizant DOT Administration in accordance with FAA Order 1600.1B.

11. Personnel security clearance control files. Card files containing clearance information.

Destroy 7 years from date of separation as required by DOT Order 1630.2, DOT Personnel Security Program.

12. Official investigative case files. These files are prepared on each subject of an investigation. They serve as the repository for original copies of letters of request, copies of investigative reports and documents of official administrative actions taken following an investigation. They are maintained in the FAA's Investigative Record System.

a. Office of origin.

(1) Investigations of applicants and employees. EXCLUDES employee "locate" investigations. Upon completion of investigation of administrative action, transfer original copies of letters of request, investigative reports or memoranda, documents of official investigative actions, original copies of signed waivers, interview logs, statements, and other evidentiary materials from the official investigative case file to the employee's Personnel Security File (PSF). Destroy the PSF in accordance with the provisions of item 1600(10) above.

(2) Investigations to locate employees or airmen. Destroy upon completion of administrative action or 5 years from date of last entry, whichever is sooner.

(3) Airmen/aircraft record searches. Destroy upon completion of administrative or appeal actions but not later than 5 years from the date of last entry into the file.

(4) Other investigations not listed above. EXCLUDES "locate" investigations and aircraft/airman record searches requested by other agencies. Destroy 5 years following last completed action of litigation or 5 years from the date of last inquiry or entry into the file.

b. *Lead office.* Destroy investigative case file 60 days after referral to the office of origin.

c. *ACS information copies of reports of investigation received from an office or Lead Office.* Destroy 90 days after completion of final action.

13. Investigative correspondence files. The investigative administrative files contain correspondence, reports, complaints, and other documents apart from those ordinarily filed in general correspondence files, Official Investigative Case Files or PSF's but which have a retrieval or reference value to the investigations program.

Destroy contents 3 years from date of origin.

14. Investigative index files. Consist of FAA Forms 2816 or 1600-46 or other index cards which refer to a subject of investigation or FAA investigative reports, or are maintained in lieu of an FAA Report of Investigation, or those used as a reference source to other materials indexed in the FAA's Investigative Record System.

a. *FAA investigations of applicants and employees.* Destroy 5 years after destruction of the PSF.

b. *Other FAA investigations.* Destroy those index cards that refer to FAA investigations on other than employees or applicants, or that are maintained in lieu of an FAA Report of Investigation, 20 years after creation of the index card.

c. *Investigative correspondence card files.* Destroy 5 years after destruction of the related file material.

d. *Reports about stolen aircraft and aircraft engaged in illegal activities.* Destroy 5 years after creation.

15. Classified Information Nondisclosure Agreement (SF-189) files. Destroy 50 years from date of issue.

1650 CIVIL AVIATION SECURITY RECORDS

1. General correspondence files. Correspondence, reports, and related materials accumulated in the administration and direction of programs for the prevention of criminal acts against air transportation.

a. *Files of the Civil Aviation Security Service* concerning plans, policies, and standards relating to aircraft hijacking, bomb threats, aircraft and cargo security, airport security, air security guards, collection and dissemination of information concerning threats against air commerce, and the research, development, and maintenance of deterrent systems for the preven-

tion of criminal acts against air transportation, including test data on detection devices and X-ray baggage inspection equipment. Includes studies and reports of significant accomplishments. Permanent. Transfer to Federal Records Center when 5 years old. Offer to NARA when 20 years old.

b. *All others.* Destroy when 3 years old.

2. Civil aviation security rulemaking project files. Case files reflecting the development of new or amended Federal Aviation Regulations, and grants or denials of exemption petitions.

a. *Initial supplementary, and final projects reports,* internal coordination correspondence, executive summary, and other items determined to be significant by project officer. Permanent. Transfer to Federal Records Center 5 years after completion of final action and as volume warrants. Offer to NARA 15 years later.

b. *All other material.* Destroy 5 years after completion of final action.

3. Operations liaison files. Documents relating to the collection, evaluation and dissemination of Civil Aviation Security Information such as hijacking, sabotage, terrorism, bomb threats, attempts to board with concealed weapons, and related incidents. Included are statistical and summary data, reports, and related indices.

Microfilm and destroy the original paper record after the film is determined to be an adequate substitute. Microfilm to be made in accordance with FPMR 101-11.5. Destroy microfilm when 50 years old.

4. Air carrier/airport program review files. Documents relating to air carrier/airport security enforcement programs submitted by air carriers/ airport operators to FAA for approval.

Destroy when superseded by new program document.

5. Air carrier, airport and individual violation files. Case files relating to investigations of air carrier and airport violations, and violations by individuals of Federal Aviation Regulations pertaining to civil aviation security including investigations, reports, statistical data and summaries.

a. *Offices of primary interest for case files.* These are as follows: Principal Security Inspectors for designated air carrier violations, Civil Aviation Security Field Offices for airport violations at airports under their jurisdiction, and Civil Aviation Security Divisions for violations by individuals when investigative responsibility is within the regional jurisdiction.

(1) Case files relating to violations which result in legal enforcement action. Original case file is officially transferred to the Regional Counsel. These case

files become legal enforcement files and are retained, transferred and destroyed in accordance with the standards applicable to legal enforcement files described in paragraph 9 of this order. A copy of case files will be maintained by Civil Aviation Security offices of primary interest. This copy will be destroyed 2 years after the year in which the case is settled and closed.

(2) Case files relating to violations which result in administrative enforcement action (letter of correction). Destroy 2 years after the year in which the case is closed.

(3) Case files relating to violations which do not require enforcement action. Destroy 2 years after the year in which the case is closed.

(4) Files relating to violations which result in administrative enforcement action (Warnings). Destroy 2 years after the year in which the Warning is issued.

b. All other offices. Destroy 2 years after the year in which the case is closed, or the Warning is issued, or after reference value has been exhausted, whichever is sooner.

1700 ADMINISTRATIVE SERVICES RECORDS

1. General correspondence files. Administrative correspondence, reports, forms and other papers relating to administrative support services including the acquisition, production, and distribution of printed matter; still photography and graphic arts services; motion picture production; library services; data processing; mail and messenger operations; and telephone and telegraphic services.

a. Agency office of primary interest. Destroy when 2 years old.

b. Offices and units responsible for performance of administrative support services. Destroy when 2 years old.

2. Directory files. Correspondence, forms and other records relating to the compilation of telephone listings and directories.

Destroy 3 months after issuance of directory.

3. Employee locator files.

Destroy upon separation of employee from activity.

1710 PUBLICATIONS RECORDS

1. Internal publications files. Each FAA internal publication, advisory circular, regulation, and similar material, with supporting case file, if any, maintained by the issuing or controlling office.

a. Record copy. Permanent. Place in inactive file when superseded or canceled. Transfer to Federal

Records Center when 4 years old. Offer to NARA when 10 years old.

b. All other copies. Destroy when no longer needed for administrative purposes.

c. All related case files. Transfer to Federal Records Center when 4 years old. Federal Record Center destroy when 10 years old.

2. Publication planning files. Editorial matter relating to the publication of a manuscript, including drafts, galley and page proofs, and similar materials.

Destroy 2 years after issuance of related production.

3. Publications control files. Documents used to record actions in processing publications, such as FAA Form 2655 or equivalent.

Destroy 2 years after related publication is issued.

1720 PRINTING AND DISTRIBUTION RECORDS

1. Job or project files. Requisitions, specifications, samples, delivery instructions, and other records relating to printing, binding, reproduction, and related distribution jobs, exclusive of requisitions on the Public Printer and services obtained outside FAA (see item 1720(2)). Destroy 1 year after completion of job.

2. Requisition on the Public Printer. Case files on jobs performed by the Government Printing Office and services obtained from commercial printers.

3. Printing reports files. Reports to Joint Committee on Printing regarding operation of FAA printing plants and inventories of printing, binding, and related equipment.

Destroy when 3 years old.

4. Inventory and stock control files. Documents, such as FAA Form 2846 or equivalent, reflecting supply status of publications and blank forms.

Destroy 1 year after removal from active file.

5. Mailing lists and related files.

a. Correspondence, request forms, and other records relating to changes in mailing lists. Destroy when 3 months old or after revision of list, whichever is earlier.

b. Card lists. Destroy individual cards when canceled or revised.

c. Plate files and standard distribution schedules. Destroy when canceled or revised.

6. Distribution schedule files. Schedules, such as FAA Form 121 or equivalent, shipping instructions, and related papers used to determine printing quantities for FAA publications and forms.

Destroy when publication distribution pattern is revised.

1730 VISUAL, EXHIBITS, AND GRAPHICS RECORDS

1. Visual services files. Original art work, illustrations, slides, charts and graphics, negatives, and other visual aids.

Destroy when no longer usable or needed for further reproduction.

2. Visual services work order files. Documents relating to requests for visual services and of work performed.

Destroy when 1 year old.

1740 PHOTOGRAPHY RECORDS

1. Photographic negative film and print files. Negative photographs and positive prints of agency officials and aeronautical subjects and activities having historical value.

Destruction not authorized. Photographs considered to have a historical value that have become non-current to FAA's needs will be handled as prescribed in Order 1350.14A, para. 79c. Transfer when inactive.

2. Transitory photographic files. Photographic negatives and prints made to serve a temporary purpose but not having sufficient value to justify continued retention. Included are prints or negatives produced in training programs and of no further value; photographs not reproducible because of faulty processing or other technical considerations, and photographs that have deteriorated in file; enclosures to technical reports when without the report the photograph has no meaning; duplicate and extra copies; and photographs of local interest only.

Destroy immediately or when no longer needed.

3. Photographic work order files. Documents relating to requests for photographic services, such as FAA Form 131 or equivalent, and of work performed.

Destroy when 1 year old.

1760 OFFICE SERVICES RECORDS

1. Office equipment service files. Requests for office equipment maintenance service, such as typewriter repairs and telephone service.

Destroy 1 year after work is performed or requisition canceled.

2. Parking permit files. Documents relating to applications for an issuance of car parking permits.

Destroy after permit is reassigned.

3. Mail control files.

Destroy when 1 year old.

4. Messenger service files. Daily logs, assignments records, dispatch records, delivery receipts, route schedules and related papers.

Destroy when 2 months old.

1770 COMMUNICATIONS ADMINISTRATION (MAIL MANAGEMENT RECORDS)

1. Postal files. Postal Service forms and supporting papers, including records of received or dispatched registered mail pouches; applications for postal registration and certificates of declared value; receipts and records of incoming and outgoing registered, insured, and special delivery mail; reports of loss, rifling, delay, wrong delivery; and statements of reading of metered registers.

Destroy when 1 year old.

2. Mail production files. Production reports of mail handled and work performed and related complications.

Destroy when 1 year old.

3. Remittance record files. Record of remittances (cash, check, money orders) and other valuables enclosed in incoming mail.

Destroy when 1 year old.

4. Penalty Mail Report files. Official penalty mail reports and related papers. Includes all Mail Survey Reports (FAA Forms 1770-1, 1770-11, and 1770-12) and other documentation that shows how postage costs were determined.

Destroy when 6 years old.

1900 DEFENSE READINESS AND CIVIL DEFENSE RECORDS

1. Defense readiness planning files. Records documenting the administration of defense readiness and civil defense plans and programs, including consolidated or comprehensive reports reflecting agencywide results of tests conducted under emergency plans; duplicates of each plan and directive issued with related significant background papers; and related correspondence.

Destroy when 5 years old.

2. Emergency plan files. Copies of emergency plans and directives, other than those described in (1) above.

Destroy when superseded or obsolete.

3. Operation tests files. Records accumulating from emergency alerts and civil defense tests, such as instructions to test participants, staffing assignments, messages, copies of reports, and related correspondence.

Destroy when 3 years old.

CHAPTER 4. LAWS AND LEGAL MATTERS RECORDS

LAWS AND LEGAL MATTERS RECORDS. The records described below are generated in accomplishing the legal work of the agency, including the providing of legal counsel and advice on matters pertaining to agency functions; the administration of agency legislative, enforcement, rules drafting and interpretation rules codification, tort claims, and contract appeals programs; and the conduct of litigation in which the agency is involved or has an interest.

2000 GENERAL RECORDS

1. General correspondence files. Correspondence, reports, and other records maintained by legal offices reflecting the development and accomplishment of policies, programs, and processes governing all phases of assigned legal responsibilities, but **EXCLUDING** files described elsewhere in this paragraph.

a. Correspondence resulting in opinions, correspondence with National Transportation Safety Board, and other correspondence of a substantive nature. Permanent. Transfer to Federal Records Center when 4 years old. Offer to NARA 15 years later.

b. Queries on violation history, duplicate copies of aviation medical denials, routine correspondence requiring no further action, or other correspondence reflecting housekeeping actions. Destroy when 1 year old.

2. Legal workload report files. Periodic workload reports of attorneys, such as FAA Form 2000-1 or equivalent.

Destroy when 2 years old.

2010 OPINION RECORDS

1. Legal opinion files. Documents reflecting legal decisions or opinions on questions arising in connection with laws, regulations, and other matters affecting FAA, and related indexes.

a. Precedential decisions. Microfilm a five-year block in accordance with provisions of Federal Property Management Regulation 101-11.5, and destroy paper record when acceptable microfilm copy is obtained.

b. Microfilm.

(1) Record copy. Permanent. Offer to NARA with record copy of accompanying AVLEX Subject Index upon filming and verification of quality of film.

(2) Microfilm duplicate. Destroy in agency when no longer needed for legal research.

(3) All other copies. Destroy in agency when 5 years old.

2050 LEGISLATIVE RECORDS

1. Legislative history files. Case files compiled by the Legislative Staffs on enacted legislation, Congressional resolutions, Executive Orders, and proclamations of interest to FAA, consisting of draft proposals, supporting papers, and comments reflecting FAA's position, and related indexes.

a. Legislation of limited applicability to FAA. Transfer to Federal Records Center 5 years after enactment. Destroy 5 years after receipt in Federal Records Center.

b. Legislation directly and significantly affecting the FAA. Permanent. Transfer to the Federal Records Center when inactive. Offer to NARA 10 years after receipt by Federal Records Center.

2. Legislative proposal files. Case files accumulated by legal offices on proposed or introduced legislation, Congressional resolutions, Executive Orders, and proclamations, consisting of draft proposals, supporting papers, and comments setting forth FAA's positions, and related indexes.

a. Records of proposals that are enacted. Transfer to legislative history files (Item 2050(1)) and dispose of accordingly.

b. Records of proposals not enacted.

(1) Proposals initiated by FAA and those initiated outside FAA relating to aviation matters. Transfer to Federal Records Center 5 years after close of case. Federal Records Center destroy 20 years later.

(2) All others. Destroy 4 years after close of case.

(3) Legislative reference files. Copies of proposed and enacted legislation, Executive Orders, and proclamations accumulated for information purposes.

Destroy when purpose has been served.

2100 RULES AND REGULATIONS RECORDS

1. Rules dockets files. Dockets relating to creation of a new Federal Aviation Regulation (FAR) or amendment of an existing FAR. Each docket contains some or all of the following documents: proposal, notice of proposed rulemaking, written material received from the public in response to the notice, peti-

tions for rulemaking and exemptions from the rule, petitions for rehearing or reconsideration, petitions for modifications or revocations, notices granting or denying exemptions, reports of proceedings such as oral arguments or formal public hearings, notices denying proposals, final rule or order.

a. General rulemaking dockets.

(1) Dockets relating to substantive rules that attracted great public or industry attention and response; signified an advance in aerotechnology, had significant impact on general aviation commercial flying, or signified a major development in the history of the agency, AS SELECTED BY THE OFFICE OF THE CHIEF COUNSEL (AGC).

(a) Permanent. Transfer to Federal Records Center 30 years after close of file. Offer to NARA 25 years later.

(b) If microfilmed:

1. *Original records.* Microfilm in accordance with 41 CFR 101-11.504. Destroy original records when microfilm is determined to be an adequate substitute for paper records.

2. *Microfilm of original records.* Permanent. Offer to NARA record copy of micro-film/microfiche with accompanying subject index 10 year blocks when the latest records are 30 years old.

(2) Unselected dockets.

(a) Transfer to Federal Records Center 30 years after close of file. Federal Records Center destroy 25 years later.

(b) If microfilmed:

1. *Original records.* Microfilm in accordance with 41 CFR 101-11.504. Destroy original records when microfilm is determined to be an adequate substitute for proper records.

2. *Microfilm of original records.* Destroy fifty-five years after close of file.

b. Exemption dockets (non-medical).

(1) Transfer to Federal Records Center 5 years after termination date. Federal Records Center destroy 5 years later.

(2) If microfilmed:

(a) *Original records.* Microfilm in accordance with 41 CFR 101-11.504. Destroy original records after microfilm is determined to be an adequate substitute for paper records.

(b) *Microfilm of original records.* Destroy 10 years after termination date.

c. Exemption dockets (Medical).

(1) Denied exemptions.

(a) Transfer to Federal Records Center 2 years after close of file. Federal Records Center destroy 5 years later.

(b) If microfilmed:

1. *Original records.* Microfilm in accordance with 41 CFR 101-11.504. Destroy original records when microfilm is determined to be an adequate substitute for paper records.

2. *Microfilm of original records.* Destroy seven years after close of file.

(2) Granted exemptions.

(a) Transfer to Federal Records Center 2 years after close of file. Federal Records Center destroy 30 years later.

(b) If microfilmed:

1. *Original records.* Microfilm in accordance with 41 CFR 101-11.504. Destroy original records when microfilm is determined to be an adequate substitute for paper records.

2. *Microfilm of original records.* Destroy 32 years after close of file.

d. Special condition dockets.

(1) Transfer to Federal Records Center 30 years after close of file. Federal Records Center destroy when FAA cancels type certificate of aircraft.

(2) If microfilmed:

(a) *Original records.* Microfilm in accordance with 41 CFR 101-11.504. Destroy original records when microfilm is determined to be an adequate substitute for paper records.

(b) *Microfilm of original records.* Destroy when FAA cancels type certificate of aircraft.

e. Airworthiness directives dockets (Issued in Washington, D.C.).

(1) Transfer to Federal Records Center when 30 years old. Federal Records Center destroy when FAA cancels type certificate.

(2) If microfilmed:

(a) *Original records.* Microfilm in accordance with 41 CFR 101-11.504. Destroy original records when microfilm is determined to be an adequate substitute for paper records.

(b) *Microfilm of original records.* Destroy when FAA cancels type certificate.

f. Denials and dispositions of petitions for rulemaking dockets.

(1) Transfer to Federal Records Center 10 years after issue of denial. Federal Records Center destroy 25 years later.

(2) If microfilmed:

(a) *Original records.* Microfilm in accordance with 41 CFR 101-11.504. Destroy original records when microfilm is determined to be an adequate substitute for paper records.

(b) *Microfilm of original records.* Destroy 35 years after issue of denial.

g. *Regional airworthiness directives dockets and regional airspace dockets.* (These are duplicate copies of the original dockets which originate in regional offices). Destroy in agency when no longer needed for reference.

h. *Washington airspace dockets.* Transfer to Federal Records Center 5 years after close of case. Federal Records Center destroy 10 years later.

1. If microfilmed:

(a) *Original records.* Microfilm in accordance with 41 CFR 101-11.504. Destroy original records when microfilm is determined to be an adequate substitute for paper records.

(b) *Microfilm of original records.* Destroy 15 years after close of case.

i. *Washington and regional transmittal files* and non-codified items such as notices of meetings, delegations of authority, organizational certification requests, and similar material. Destroy in agency when no longer needed for reference.

2130 INTERPRETATIONS RECORDS

1. *Legal interpretation files.* Documents reflecting legal interpretations of Civil Air Regulations, Federal Aviation Regulations, special regulations, regulations of the Administrator, and related legislation.

Destroy in agency when no longer needed for legal research purposes.

2150 ENFORCEMENT RECORDS

1. *Legal enforcement files.* Case files relating to legal actions taken with respect to alleged violations of Federal Aviation Regulations, consisting of violation reports, technical analyses, evidentiary materials, sanction documents, and related correspondence.

a. *Cases forwarded to and processed by the Washington headquarters legal office.* Transfer to Federal Records Center 2 years after settlement. Federal Records Center destroy 10 years after settlement.

b. *All other copies.* Transfer to Federal Records Center 2 years after settlement. Federal Records Center destroy 10 years after settlement.

2. *Enforcement monitor files.* Case files of enforcement cases processed by regional legal offices, consisting of copies of violation reports, technical analyses, and related documents, maintained by the Washington

headquarters legal office to evaluate regional enforcement operations.

a. *Regional air carrier, commercial operator, and manufacturer cases.* Destroy 3 years after close of case.

b. *All others.* Destroy 2 years after close of case.

3. *Violation report files.* Documents maintained by legal offices reflecting enforcement activity, including Violation Report Data (FAA Forms 2150-2 and 2150-3, or equivalent); digests of appeals to NTSB and related court decisions; and enforcement statistical reports.

Destroy in agency when no longer needed for reference.

2210 AIRPORTS AGREEMENTS RECORDS

1. *Airports legal assistance files.* Correspondence, reports, opinions, and related materials reflecting legal counsel and review actions in connection with the administration of the Federal Aid to Airports Program.

Transfer to Federal Records Center when inactive. Federal Records Center destroy 5 years later.

2230 CONDEMNATION RECORDS

1. *Legal condemnation files.* Case files accumulated by legal offices reflecting proceedings in connection with the acquisition of interests in real property by condemnation, including the preparation of declarations and coordination with the Department of Justice.

Destroy 3 years after close of case.

2240 CONTRACT APPEALS RECORDS

1. *Contract appeals files.* Briefs, decisions, correspondence, and other documents compiled by legal offices in appeals by contractors from decisions on disputed questions by contracting officers

a. *Cases selected by the OGC because of their precedential character.* Permanent. Transfer to Federal Records Center 5 years after case is settled. Offer to NARA 20 years after case is settled.

b. *Unselected cases.* Transfer to Federal Records Center 5 years after case is settled. Federal Records Center destroy 20 years later.

2250 TORT CLAIMS AND PERSONAL PROPERTY CLAIMS RECORDS

1. *Tort claims and personal property claims files.* Case files consisting of reports, vouchers, witness statements, legal decisions, and related material pertaining to claims by or against the Government result-

ing from FAA transactions, OTHER than litigation cases.

a. *Cases relating to claims approved for payment.* Retain for GAO site-audit. (Item 2710(2)).

b. *All others.* Destroy when 3 years old.

2300 LITIGATION RECORDS

1. **Litigation action files.** Case files consisting of correspondence, pleadings, depositions, transcripts, and related materials pertaining to court actions arising out of aviation tort and civil contract claims cases and other agency activities.

a. *Cases selected by the OGC because of historical value or legal significance* (that is, cases that significantly interpret FAA basic statutes and regulations, reflect significant developments in the history of FAA programs, or are of considerable Congressional or public interest). NOTE: Volume of selected cases must not exceed 10% of yearly volume for all cases. Permanent. Transfer to Federal Records Center 3 years after final court action. Offer to NARA 20 years later.

b. *All other cases.* Transfer to Federal Records Center 3 years after close of case. Destroy 10 years later.

CHAPTER 5. FINANCIAL MANAGEMENT RECORDS

FINANCIAL MANAGEMENT RECORDS. The records described below are accumulated in connection with the financial management of the Federal Aviation Administration. The records disposition standards provided apply to records generated in the development and execution of FAA programs and activities relating to budget formulation, presentation, and administration; accounting matters, including payroll and pay administration; financial reporting; and auditing.

Exception. 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 General Accounting Office (GAO), will not be disposed of until final settlement or clearance of the matter.

2500 BUDGET RECORDS

1. General correspondence files. Site files, correspondence, reports, and related materials accumulated in the course of budget and fiscal program activities, including policy formulation and implementation, preparation and justification of estimates, apportionment, and reporting, and related matters affecting agency expenditures, but **EXCLUDING** files described elsewhere in this paragraph.

a. Agency office of primary interest. Transfer to Federal Records Center when agency administrative needs have been satisfied. Destroy 40 years later.

b. Budget offices at region, center, office, and service level. Destroy when 5 years old.

c. All others. Destroy when 2 years old.

2. Reimbursable agreements files. Case files relating to reimbursable agreements entered into with the Agency for International Development, Department of Defense, and others to furnish supplies, equipment, and services relating to aviation to foreign countries, consisting of memorandums of agreement; project implementation orders; obligation, expenditure, and billing documents; and related correspondence.

Transfer to Federal Records Center 4 years after close of fiscal year covered by agreement. Destroy 15 years after receipt in Federal Records Center.

3. Annual budget estimate files. Record copies of annual estimates, comprised of appropriation language sheets, charts, narrative statements, related schedules

and data, copies of Congressional hearings, and related committee reports and legislation.

a. Record copies of estimates (comprised of appropriation language sheets, chart, statements, related schedules and data) prepared, consolidated, or maintained at the agency level. Permanent. Transfer to Federal Records Center when 5 years old. Offer to NARA 15 years later.

b. Copies prepared, consolidated, or maintained at the regional level. Destroy 10 years after close of fiscal year covered by the budget. Transfer to Federal Records Center 2 years after close of fiscal year covered by the budget.

c. Copies prepared, consolidated, or maintained at office, service, and center level. Destroy 4 years after close of fiscal year covered by the budget.

d. Copies prepared or consolidated at division or lower level. Destroy 2 years after close of fiscal year covered by the budget.

e. All other records. Destroy when no longer needed for reference.

4. Budget working files. Work papers, cost statements, and other data accumulated in preparation of projected fiscal programs and annual budget estimates and for budget review purposes, including duplicates of papers included in file copies of budget estimates described in item (3).

Destroy 1 year after close of fiscal year involved.

5. WITHDRAWN.

6. Records of the Administrator's Review Committee. Records include minutes and related correspondence, agendas, and other background papers for board meetings; special studies notebooks, and spring preview notebooks.

a. Agency office of primary interest.

(1) Record copy of minutes of board meetings. Permanent. Transfer to Federal Records Center when no more than 10 years old. Offer to NARA 15 years later.

(2) Agendas, correspondence, and other background papers related to board meetings, and duplicate copies of minutes. Destroy when no longer needed for reference.

(3) Spring preview (Five-year Program Notebooks). Permanent. Transfer to Federal Records

Center when no more than 10 years old. Offer to NARA 15 years later.

(4) Special studies notebooks. Permanent. Transfer to Federal Records Center when no more than 10 years old. Offer to NARA 15 years later.

b. *All other offices.* Destroy when 5 years old.

7. **Budget administration files.** Apportionment and reapportionment schedules, staffing authorizations, allotment advices, supporting documents, and related correspondence documenting the administration and execution of the approved operating budget.

Destroy 2 years after close of fiscal year involved, except that records pertaining to No Year appropriations and construction programs are to be destroyed when they become inactive.

2510 BUDGETARY REPORT RECORDS

1. **Budgetary report files.** Periodic reports on the status of fiscal programs, such as the Summary Fiscal Status Report, or equivalents, and supporting narratives.

Destroy 4 years after close of fiscal year involved.

2. **Intra-regional fiscal report files.** Periodic reports on the status of fiscal programs and the apportionment or reapportionment of funds prepared and maintained at the regional and subordinate office level.

a. *Regional budget office (record copy only).* Destroy when 4 years old.

b. *All others.* Destroy when 1 year old.

2700 ACCOUNTING RECORDS

1. **Policy correspondence files.** Correspondence, reports, and related materials maintained by the agency office of primary interest relating to the development and establishment of agency accounting policies, systems, and procedures, and the direction and evaluation of accounting programs and fiscal reporting operations.

Transfer to the Federal Records Center when 4 years old. Federal Records Center destroy when 10 years old.

2710 GENERAL FINANCIAL RECORDS

1. **General Accounting operations correspondence files.** Correspondence, reports, and related records accumulated by accounting activities pertaining to day-to-day operations, including examination and certification of vouchers and invoices, payroll services, collections and disbursements, and movement of persons and goods under Government orders, but EXCLUDING files described below.

Destroy when 2 years old.

2. **GAO site audit files.** Accountable officers' accounts consist of original statements of transactions, schedules, vouchers, and other supporting documents, retained for GAO site audit. All audited accounts and any unaudited accounts more than 1 full fiscal year old may be transferred to the Federal Records Centers without special permission from GAO. However, accounts may be retained, if required by the accountable officer, for not more than 3 full fiscal years.

Authority to transfer unaudited accountable officers' accounts which are less than 1 year old should be obtained from GAO through the Records Officer. Accountable officers' accounts at overseas locations should be retained for a minimum of 3 years before transfer.

a. Destroy when 10 years and 3 months old for fiscal years 1975 and before.

b. Destroy when 6 years and 3 months old for fiscal years 1976 and later.

3. **GAO transportation files.** Original vouchers and supporting documents covering payments to carriers for transportation services, and original contracts for freight or passenger transportation rates or services.

Transfer to General Accounting Office in accordance with GAO Policy and Procedures Manual.

4. **Employee surety bond files.** Legal documents purchased for the purpose of placing personnel under surety bond protection, including individual name bonds, position schedule bonds, and blanket bonds covering groups of employees.

a. *Official copies and attached powers of attorney.* Destroy 15 years after bond becomes inactive or 15 years after end of bond premium.

b. *Other copies of bonds and related papers.* Destroy when bond becomes inactive or at end of bond premium period.

5. **Accountable officers' returns.** Memorandum copies of accounts current, all supporting vouchers, schedules, documents (including liquidated obligation documents) and related papers, exclusive of transportation records covered in items (13) thru (16) and payroll records covered in item 2730. (See item 2710 for originals retained for GAO site-audit.)

Destroy 4 years after period covered by the account.

6. **GAO exceptions files.** General Accounting Office notices of exception (formal or informal) and related correspondence.

Destroy 1 year after exception is reported as cleared by GAO.

7. **Certificate of settlement files.** Documents reflecting the settlement of accounts of accountable officers, statement of differences, and related papers.

a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements. Destroy 2 years after date of settlement, providing certificate is cleared.

b. Certificates showing periodic settlements. Destroy when subsequent certificate of settlement is received.

c. Schedules of certificates of settlement of claims settled by the General Accounting Office. Destroy 2 years after date of settlement.

8. Accountable officer designee files. Records relating to the designation and revocation of accountable officers.

Destroy 4 years after revocation, provided account is cleared by GAO.

9. Availability, collection, custody, and deposit files. Certificates of deposit (such as Standard Forms 201 and 209) and related papers; records of cash remittances received DOT F 2770.2; transcripts, tabulations, and reports prepared by the Treasury Department advising of the status of agency funds available (such as Standard Forms 520, 523, and 526); and related records.

Destroy 4 years after date of document.

10. General ledger account files. Documents showing debit and credit entries, and reflecting expenditures in summary.

Destroy 6 years and 3 months after close of fiscal year involved.

11. Allotment and ledger distribution transaction files. Records, showing status of obligations and allotments under each appropriation.

Destroy 6 years and 3 months after close of fiscal year involved.

12. Posting and control files. Documents subsidiary to the general and allotment ledger accounts, such as journal vouchers (Standard Form 1017g or equivalent) and other transaction documents used to support ledger entries.

Destroy when 4 years old.

13. Freight transportation files. Export certificates, transit certificates, shipping documents, memorandum copies of Government or commercial bills of lading, shortage and demurrage reports, household sheets, and all supporting documents, and including files relating to the shipment of household effects.

a. Memorandum copies. Destroy when 3 years old.

b. All others. Destroy when 1 year old.

14. Passenger transportation (carrier) files. Documents reflecting payments to carriers, consisting of memorandum copies of vouchers (Standard Form 1171a), memorandum copies of transportation requests

(Standard Form 1169a), travel authorization, and all supporting papers.

Destroy 3 years after period covered by related account.

15. Passenger transportation (individual) files. Documents reflecting reimbursements to individuals, consisting of copies of travel orders, per diem vouchers, hotel reservations, and supporting papers relating to official travel of officers, employees, dependents, and others authorized to travel.

a. Employee travel folders. Destroy when 3 years old.

b. Obligation copies, such as Standard Form 1169, United States Government Transportation Requests, or equivalents. Destroy when funds are obligated.

c. Individual receipts for transportation requests, such as SF 1120 or equivalent. Destroy when T/R book is returned or completed.

16. Transportation request accountability files. Records documenting the issue or receipt of accountable papers involved in travel and transportation functions, such as Standard Form 1120, or equivalent.

Destroy 1 year after all entries on form are cleared.

2730 PAYROLL RECORDS

1. Individual earning and service files. Documents reflecting fiscal aspects of employment history (such as Standard Form 1127 or equivalents) and papers attached pursuant to item (4) below.

Close file at end of calendar year; transfer to National Personnel Records Center, St. Louis, Missouri, 4 years after close of file.

2. Leave record files. Pay or fiscal copies of leave record including time and attendance reports used to show accumulated leave, and records of leave data transferred, such as Standard Form 1150, or equivalent.

a. Final cards showing accumulated leave of employee on separation from Federal Government service. Close file at end of calendar year; transfer to National Personnel Records Center, St. Louis, Missouri, 4 years after close of file. National Personnel Records Center destroy 10 years after date of last entry on card.

b. All other pay or fiscal copies. Destroy 3 years after GAO audit.

3. Time and attendance report files. Time and attendance documents, such as FAA Form 2730-68; or equivalent, used in payroll preparation and processing.

Destroy when 6 years old.

4. Leave application and overtime and/or holiday work approval and authorization files. Applications for leave, such as Standard Form 71, and related papers, including copies of military orders and certificates of attendance, Form DOT F 3500.1, Overtime and/or Holiday Work, or equivalent, and related papers.

a. Application for leave taken immediately prior to separation from Federal Government service. Attach to individual pay or earning card. (See item (1) above.)

b. All others. Destroy when 3 years old.

5. Payroll allotment files. Records of payroll allotments and papers authorizing deductions, changes, or cancellations.

Destroy when superseded or on transfer or separation of employee.

6. Payroll control files. Documents maintained for payroll control purposes, including payroll copies of notifications of or requests for personnel actions, such as Standard Form 50, or equivalent; payroll control registers; payroll change slips, such as Standard Form 1126, or equivalent.

Destroy after GAO audit or when 3 years old, whichever is sooner.

7. Administrative payroll report files. WITHDRAWN.

8. Withholding tax files. Documents reflecting Federal and state income tax deductions, including returns on income taxes withheld, such as IRS Form W-2; reports of taxes withheld, such as IRS Form W-3, or equivalent; withholding tax exemption certificates, such as IRS Form W-4, or equivalent, and related papers.

Destroy when 4 years old.

9. Savings bond files. Reports of deposits and purchase of bonds, such as Standard Form 1168 or equivalent and related papers.

Destroy when 4 years old.

10. Retirement record files. Card files, Standard Form 2806, or equivalent reflecting accounts deducted from pay of employees subject to the Retirement Act.

Transfer in accordance with instructions in Federal Personnel Manual.

11. Retirement reports and registers. Control documents maintained in connection with the retirement records of individual employees, such as Standard Form 2805 and 2807 or equivalents.

Destroy when 4 years old.

12. Insurance deduction files. Reports of insurance deductions and related papers, including copies of vouchers and schedules of payment.

Destroy when 4 years old.

13. Levy and garnishment files. Notices, change slips, worksheets, and correspondence relating to charges against retirement funds or attachment of salary for debts of employees.

Destroy when 4 years old.

14. Miscellaneous Reports or Analyses. Payroll office copies of special reports or data generated from payroll files which are used for workload and personnel management purposes by nonpayroll office program managers.

Destroy when 4 years old.

2800 FINANCIAL REPORTING RECORDS

1. Fiscal year end reporting files. Fiscal year end financial reports and supporting statements.

Destroy when 10 years old.

2. Financial accounting report files. Reports submitted to other Government agencies, such as Standard Forms 133, Report on Budget Status, and 220, Statement of Financial Condition, and Treasury Department Form 814, or equivalents.

Destroy when 10 years old.

2900 AUDITING AND FINANCIAL ADVISORY RECORDS

1. Policy correspondence files. WITHDRAWN.

2. Audit evaluation files. WITHDRAWN.

3. Audit evaluation files. WITHDRAWN.

4. Special financial advisory services files. Documents relating to advisory services other than those described elsewhere in this schedule, such as: review of cost reduction projects; participation on lease/purchase study teams; procurement reviews; and other special assignments.

Destroy 4 years after date of report.

2920 INTERNAL AUDITING FILES (WITHDRAWN)

2930 CONTRACT AUDITING RECORDS

1. Contract audit files. Audit reports and supporting documents relating to the examination of financial aspects of FAA contractor operations.

Destroy 3 years after final contract payment.

2. Contractor financial evaluation files. Documents relating to advisory services rendered in the negotiation and award of contracts.

Destroy 3 years after final contract payment.

3. Contract protest/inquiry files. Documents relating to preparation of agency responses to protests or inquiries concerning the propriety of procurement actions.

Destroy 4 years after final action on protest or inquiry.

4. Concessionaire audit files. **WITHDRAWN.**

5. Concessionaire financial evaluation files. **WITHDRAWN**

**2940 GRANT PROGRAM RECORDS
(WITHDRAWN)**

**2950 FINANCIAL CAPABILITY OF AIR CARRIERS
RECORDS (WITHDRAWN)**

**2960 GENERAL ACCOUNTING OFFICE (GAO)
AUDITING RECORDS**

1. General Accounting Office audit report files. Audit reports, coordination papers, final agency replies, and related correspondence accumulated in connection with audits by GAO of FAA activities.

Transfer to Federal Records Center 5 years after completion. Federal Records Center destroy when 10 years old, provided that action on audit recommendations has been completed.

2. GAO audit follow-up files. Documents accumulated in reviews to determine that FAA commitments to GAO audits are satisfactorily implemented.

Transfer to Federal Records Center 5 years after completion. Federal Records Center destroy when 10 years old, provided that action on audit recommendations has been completed.

**2970 OFFICE OF INSPECTOR GENERAL AUDIT
RECORDS**

1. Office of Inspector General (OIG) audit report files. Audit reports issued by the OIG Director of Audits, coordination papers, and related documents accumulated in connection with formulating an agency reply to OIG audits of FAA functions.

Destroy when 10 years old, provided that action on audit recommendations has been completed.

2. Office of Inspector General audit follow-up files. Documents accumulated in independent reviews to determine that FAA commitments to OIG audits are satisfactorily implemented.

Destroy 4 years after final action on audit report recommendations.

CHAPTER 6. TRAINING RECORDS

TRAINING RECORDS. The records described below are accumulated as a result of agency training programs and activities. They fall into 2 general groups: Records that reflect the planning, direction, and conduct of training programs; and records relating to the progress and proficiency of the individual trainee. Excluded from the provisions of this paragraph are records of completion of training courses filed in official personnel folders.

3000 GENERAL RECORDS

1. General correspondence files. Correspondence, reports, and related documents reflecting the development and administration of agency programs relating to technical training associated with aviation (air traffic, airway facilities, flight standards and airports); executive, supervisory and managerial training; general employee development; and the direction and supervision of agency schools, but **EXCLUDING** files described elsewhere below.

a. Office of Personnel and Technical Training.

(1) Correspondence files relating to technical training associated with aviation. Permanent. Transfer to Federal Records Center when 5 years old. Offer to NARA when 10 years old.

(2) All others. Destroy when 5 years old.

b. Training offices at the regional, office, service, and center levels. Destroy when 5 years old.

c. All others. Destroy when 5 years old.

2. Requests for out-of-agency training, such as FAA Form 3000-3, or equivalent.

Destroy when 1 year old.

3100 PROGRAM RECORDS

1. Training program files. Correspondence, reports, course quotas, schedules, and related materials created in the establishment of specific technical, management, and specialized training programs and courses of instruction.

Destroy when 5 years old.

2. Training manuals and related instructional directives.

a. Record copies maintained by the issuing or controlling office. Permanent. Transfer inactive file to Federal Records Center when 5 years old. Offer to NARA when 5 years old.

b. All others. Destroy when no longer required for administrative use.

3. Individual academic training files. Case files containing student attendance records, information on courses taken, personal and professional records, grades and certificates received, and related materials maintained by the Federal Aviation Academy for students participating in training courses conducted by the academy.

Destroy 5 years after separation from FAA, or 5 years after date of last action, if date of separation is unknown. Transfer to Federal Records Center 3 years after separation from FAA, or 2 years after date of last action, if separation date is unknown.

4. Individual employee. Case files containing applications, schedules, certificates, reports of attendance and progress, and related documents accumulated by operating offices reflecting the training of individual employees.

Destroy 1 year after separation or transfer of employee.

CHAPTER 7. PERSONNEL MANAGEMENT RECORDS

PERSONNEL MANAGEMENT RECORDS. The records described below relate to the development and operation of the agency's personnel management, occupational safety program activities, and environmental health records. They are generated by formally organized personnel offices in the development of agency personnel policies, standards, and procedures and the performance of personnel operations and services, and, where indicated, by operating offices in the supervision of employees. Records of local Boards of United States Civil Service Examiners are EXCLUDED from the provisions of this paragraph.

3200 GENERAL RECORDS

1. General correspondence files. Correspondence, reports, and related materials accumulated in the administration of agency personnel management activities including recruitment, placement, career development, employee relations, employee recognition, position classification, salary and wage administration, military personnel management, and occupational safety, but EXCLUDING files described elsewhere in this paragraph.

a. Office of Personnel and Technical Training. Transfer to Federal Records Center when 3 years old. Federal Records Center destroy when 10 years old

b. Personnel offices providing centralized services for agency headquarters, regions, and centers. Destroy when 3 years old.

c. All others. Destroy when 2 years old.

2. Personnel management project files. Case files resulting from studies and surveys of personnel management activities and functions.

Dispose of in accordance with item (1) above.

3. Personnel management project working files. Background material, notes, rough drafts, interim and progress reports summarized in final reports, and related papers.

Destroy 6 months after final action on project report or 3 years after completion of report if no final action is taken.

3250 MILITARY PERSONNEL MANAGEMENT RECORDS

1. Military personnel files. Copies of orders of assignment, military histories, position descriptions, letters of designation, travel orders, effectiveness re-

ports, and correspondence relating to military personnel assigned to FAA.

Destroy in agency 1 year after all claims have been settled.

3290 PERSONNEL PROGRAM RECORDS

1. Official personnel folders. Case files documenting official employment history, excluding documents maintained as temporary records described in item (2) below.

a. Folders of employees transferred to another agency. Follow instructions in Federal Personnel Manual.

b. Folders of separated employees (includes consultants). Transfer folders to inactive file on separation; 30 days after separation, transfer to National Personnel Records Center, St. Louis, Missouri, except in those cases provided for in Chapter 293, Federal Personnel Manual.

c. Training and Proficiency Files. FAA Form 3120-1, Training and Proficiency Record.

When transferring from an ATC facility to a staff position in the regional, Washington, Center or Academy offices transfer to the OPF until such time as the ATC returns to an ATC facility. Upon termination of employment with the FAA transfer to the OPF for disposition with the OPF.

2. Temporary materials in official personnel folders. Correspondence and forms maintained as temporary records on the left side of the Official Personnel Folder in accordance with the Federal Personnel Manual.

Destroy upon transfer to another agency, separation of the employee, or when 1 year old, whichever is earlier.

3. Employee records not maintained in official personnel folders. Correspondence and forms in personnel offices relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this schedule.

a. Correspondence and forms relating to pending personnel actions. Destroy when action is completed.

b. All other correspondence and forms, including copies of records duplicated in Official Personnel Folders and not provided for elsewhere in this schedule. Destroy when 6 months old.

4. Unofficial personnel folders. Employee folders maintained outside personnel offices consisting of materials pertaining to individual employees of the operating offices.

Destroy 3 months after transfer or separation of employee.

5. Employee foreign service folders. Case files consisting of materials pertaining to the foreign assignment of FAA employees.

Transfer to inactive file on return of employee to program office. Destroy inactive file when 5 years old. Transfer inactive file to Federal Records Center when 1 year old.

6. Service record cards. Official summaries of employment history, Standard Form 7, or its equivalent.

a. Cards for employees separated or transferred on or before December 31, 1947. Transfer to National Personnel Records Center, St. Louis, Missouri, in accordance with Federal Personnel Manual Supplement 293-31.

b. Cards for employees separated or transferred on or after January 1, 1948. Destroy 3 years after year of employee's separation or transfer to another agency.

7. Employee record cards. Optional Form 4 or equivalent, used for information purposes outside personnel offices.

Destroy upon employee's transfer or separation.

8. Statistical report files. Statistical reports in personnel offices relating to personnel, including retained copies of reports to the Office of Personnel Management.

Destroy when 2 years old.

3300 EMPLOYMENT RECORDS

1. Appointment files. Correspondence, letters, and telegrams offering appointments to potential employees.

a. Appointments accepted. Destroy immediately.

b. Offers of temporary or excepted appointments declined. File inside application, and dispose of in accordance with 3300(2).

c. Offers of appointments declined by individuals whose names were received from Office of Personnel Management certificates of eligibles. Return to Office of Personnel Management with reply and application.

d. All other offers of appointments declined. Destroy immediately.

2. Applicant files. Pending or unsuccessful applications for appointment and related papers.

a. Records pertaining to appointments requiring Senatorial confirmation. Destroy when 1 year old.

b. All others. Destroy upon receipt of Office of Personnel Management report of inspection or when 2 years old, whichever is earlier, providing requirements of Federal Personnel Manual are observed.

3. Certificate files. Requests for certificates of eligibles, and certificates of eligibles for appointment.

Destroy 2 years after date of certificate.

4. Notification of personnel action files. Copies exclusive of those in Official Personnel Folders.

a. Chronological file copies, including face sheets. Destroy when 2 years old.

b. All others. Destroy when 1 year old.

5. Internal promotion plan files. Announcements, bids, copies of registers, and selection papers maintained by personnel offices.

Destroy upon receipt of Office of Personnel Management report of inspection or when 2 years old, whichever is earlier, providing requirements of Federal Personnel Manual are observed.

6. Promotion plan announcement files. Copies of promotion plan position vacancy notices maintained by operating offices.

a. Notices containing qualifications and requirements standards. Destroy when canceled or superseded.

b. All others. Destroy 30 days after expiration date.

3350 JOB RETENTION RECORDS

1. Retention files. Retention registers, including card files and related papers, maintained by personnel offices to determine retention standing of employees.

a. Records from which reduction-in-force actions have been taken. Destroy upon receipt of Office of Personnel Management report of inspection or when 2 years old, whichever is earlier, providing requirements of Federal Personnel Manual are observed.

b. Records from which no reduction-in-force actions have been taken. Destroy when superseded.

2. Reemployment rights files. Documents maintained to establish reemployment rights of individuals on overseas and other assignments.

Destroy 1 year after employee is reemployed or after the employee's reemployment rights expire.

3400 EMPLOYEE PERFORMANCE RECORDS

1. Performance rating board files. Duplicate case files of performance rating boards of review, copies of which have been forwarded to the Office of Personnel Management.

Destroy 1 year after close of case.

2. WITHDRAWN

3450 EMPLOYEE RECOGNITION AND INCENTIVE RECORDS

1. **Incentive awards files.** Case files documenting an employee suggestion or superior performance award. Destroy 2 years after close of case.

2. **Incentive awards report files.** Awards program reports, including copies of feeder reports prepared within FAA, and agency copies of summary reports to Office of Secretary of Transportation.

Destroy when 2 years old.

3500 POSITION CLASSIFICATION RECORDS

1. Position descriptions.

a. *Records copies maintained by Personnel offices.* Destroy 5 years after position is abolished or description superseded.

b. *All others.* Destroy after position is abolished or description superseded.

2. **Position identification strips.** Visible strips used to provide summary data on each established position.

Destroy when position is canceled or new strip prepared.

3. **Annual supervisory position review.** Annual position review and certification submitted by all supervisors to regional personnel offices. Destroy when 3 years old or 2 years after regular inspection whichever is sooner.

3600 ATTENDANCE AND LEAVE RECORDS

1. **Employee time, attendance and leave files.** Application for leave, time and attendance reports, overtime and holiday work reports, daily time records, and related materials, EXCEPT those used in payroll activities (item 2730(2)).

Destroy when 1 year old.

3700 WITHDRAWN (See 1400)

3710 LABOR MANAGEMENT RELATIONS POLICIES

1. **Labor management relations policy records.** Correspondence, reports and related material concerning labor-management relations policies in the FAA.

a. *National labor management agreements, relating to occupations peculiar to FAA, for example, Air Traffic Controllers, Airway Facility employees, Flight Standards Inspectors.* Permanent. Transfer to Federal Records Center when 10 years old or sooner, if inactive. Offer to NARA when 20 years old.

b. *All other FAA labor management agreements, at both national and local levels relating to clerical and other types of employees common to most Federal agencies.* Transfer inactive agreements to Federal Records Center. Federal Records Center destroy 15 years after date of contract agreement.

2. **Labor relations agreements files.** Case files developed in negotiations for collective bargaining agreements or contracts, and related mediations and impasses. Includes proposals, minutes of meetings, transcripts, draft and approved agreements, and related correspondence.

a. *National agreements.* Permanent. Transfer to Federal Records Center when 10 years old. Offer to NARA when 15 years old.

b. *Regional and local agreements.* Destroy 5 years after termination of recognition of bargaining agent, including records of negotiations where no agreement was reached.

3. **Labor relations arbitration files.** Case files developed in the arbitration of grievances and disputes over interpretation and application of labor agreements. Includes complaints, reports of investigation, hearing transcripts, decisions, appeals, and related correspondence.

Permanent. Transfer to Federal Records Center when 10 years old. Offer to NARA when 15 years old.

4. **Labor relations complaints files.** Case files relating to union grievances and disputes that are resolved short of arbitration, and to unfair labor practice complaints. Includes complaints, reports, decisions and related correspondence.

Destroy 5 years after final action.

3750 CONFIDENTIAL FINANCIAL STATEMENT

1. **Confidential financial statement files** includes statements of employment and financial interests, and related papers.

Destroy 2 years after employee leaves a position in which a statement is required, or 2 years after the employee leaves the agency.

3770 GRIEVANCES, APPEALS, AND HEARINGS RECORDS

1. **Employee grievance and appeal from adverse action files.** Case files maintained by personnel offices, consisting of complaints, notices of adverse action, appeals, reports, transcripts, or summaries of hearings, decisions, and related correspondence. This item does not include adverse action documents filed in official personnel folders.

Destroy 5 years after close of case, or 5 years after any court action is concluded.

3900 EMPLOYEE HEALTH AND SAFETY RECORDS

1. Accident, fire, and personal injury files. Reports and summaries, such as FAA Form 3900-6, OSHA 102F, and OSHA 102FF, and related materials maintained by occupational safety offices, and copies retained by reporting officials. This item does not include reports filed as part of official personnel folders (item 3290(1)), tort claims case files (item 2250(1)), or motor vehicle management records.

Destroy 5 years following the end of the calendar year to which they relate.

2. Safety and health inspection files. Inspection checklists, such as FAA Form 3900-1 or equivalent, and related correspondence documenting results of safety, health, and fire hazard inspections and any corrective actions taken.

a. Records of Negative findings. Destroy when 5 years old. DO NOT TRANSFER TO FRC.

b. Records of Deficiencies that are Corrected Locally. Destroy 5 years after corrective action is taken. DO NOT TRANSFER TO FRC.

c. Records of Deficiencies that are Submitted to Higher Authority for Resolution. Destroy 5 years after corrective action is taken. DO NOT TRANSFER TO FRC.

3. Occupational Health Survey Reports. Reports containing data such as, radiation measurements, sound level measurements and results, and air samplings.

a. Agency Office of Primary Interest. Transfer to Federal Records Center when 5 years old. Federal Records Center destroy when 15 years old.

(1) If microfilmed.

(a) Original records. Microfilm in accordance with 41 CFR 101-11.504. Destroy original records after microfilm has been determined to be an adequate substitute for paper records.

(b) Microfilm of original records. Destroy when 15 years old.

4. Acoustic and Audiometric files. Records containing audiograms, charts, graphs, and tables showing an individual hearing threshold. Audiometric test files contains individual's; name and job classification, date of audiogram, examiner's name, date of last acoustic or exhaustive calibration and employee's most recent noise exposure assessment. Correspondence and reports related to noise exposure measurements.

a. Noise exposure measurement files. Destroy after 2 years,

b. Audiometric test files. Destroy in agency after separation or transfer of affected employee's employment.

3910 ENVIRONMENTAL HEALTH RECORDS

1. Employee health records case files. Documents constituting the basic medical record of agency employees, including medical examination reports, laboratory findings, correspondence, and related papers, EXCEPT pre-employment, disability retirement, and fitness for duty examinations, which become a part of the Official Personnel Folder upon separation, even though maintained separately from the folder prior to separation.

a. Files of employees transferring within the FAA shall be forwarded to the servicing personnel office to be forwarded with the Official Personnel Folder to the gaining organization.

b. Files of employees who resign, retire, die or transfer to another agency. Transfer to Federal Records Center 2 years after separation. Federal Records Center destroy 20 years after date of last entry. NOTE: Records of other Federal (non-FAA) employees shall be covered by this schedule.

2. Employee health record cards. DOT Form F3901.1, Individual Environmental Health Record, and equivalent. Forward cards of employees transferring within the FAA to the medical official at the gaining organization. Destroy 2 years after last entry.

3. Medical logs and registers. Logs and registers of visits to dispensaries, first aid rooms, and health units.

a. Where information is summarized on statistical reports. Destroy 3 months after last entry date.

b. Where information is not otherwise summarized. Destroy 2 years after last entry date.

4. Employee health statistical summaries and reports, and related paperwork concerning employee health matters. Destroy when 2 years old.

5. Medical records of persons not appointed to FAA positions (unsuccessful applicants). Destroy 3 years after date of examination, provided that Federal Personnel Manual requirements are met.

6. X-ray files. X-rays made in connection with employee health programs maintained by agency medical offices.

a. Pathological. Employee's pathological X-rays, post accident X-rays, and related examinations and morbidity records maintained by agency offices. Destroy when 55 years old.

b. Nonpathological. Destroy when 5 years old.

3940 DISPENSARY SERVICES RECORDS

1. Medical records of non-FAA employees visiting FAA facilities to receive first-aid or emergency treatment. Destroy 5 years after treatment date.

CHAPTER 8. AGENCY AIRCRAFT MANAGEMENT RECORDS

AGENCY AIRCRAFT MANAGEMENT RECORDS.

The records described below are generated in activities pertinent to the development, utilization, and maintenance of the agency's aircraft fleet, including rental aircraft. They relate to the allocation of FAA aircraft resources; the operation of agency and rental aircraft; and the performance of related maintenance, modification, standardization, and engineering functions.

4000 GENERAL RECORDS

1. General correspondence files. Routine correspondence, reports, studies, replies to request for information and related material maintained by the agency office of primary interest relating to its responsibilities for planning, development, direction, and evaluation of national agency aircraft management policies and programs.

Transfer to Federal Records Center when 4 years old. Federal Records Center destroy 3 years after receipt.

2. Regional aircraft management files. Correspondence, reports, and other documents maintained by offices responsible for managing regional agency aircraft programs.

a. FAA aircraft assignment and issue files. Destroy 2 years after being superseded or after conclusion of assignment, whichever is earlier.

b. Work orders, workload reports, and other data which reflects man-hour and utilization and maintenance costs. Destroy when 2 years old.

c. Correspondence and reports pertaining to the use of FAA owned and rental aircraft. Destroy when 2 years old.

4040 AGENCY AIRCRAFT OPERATION RECORDS

1. Pilot proficiency and qualification files. Documents reflecting proficiency of personnel authorized to operate agency aircraft, including FAA Form 4040-2, Pilot/Flight Engineer/Navigator Flight Record and Record of Flight Check, or equivalent forms, and related correspondence.

Destroy 1 year after pilot's separation or transfer from agency. (Note: The record may be offered to the employee for own use upon transfer or separation.)

2. Aircraft rental files. Correspondence, reports, authorization cards, proposals, and other documents relating to the rental of aircraft.

a. Pilot's authorization to rent files. Destroy upon separation of pilot from agency.

b. Airports district office files. Destroy when 5 old.

3. FAA Aircraft Request and Use Record—FAA Form 4040-6. Documents providing records of passengers carried on board FAA Aircraft, including request and justification for rental aircraft and purpose of flight.

Destroy when 3 years old.

4100 AGENCY AIRCRAFT MAINTENANCE RECORDS

1. General correspondence files. Correspondence, reports, and other documents relating to the repair, maintenance, inspection, servicing, and associated engineering of agency aircraft and avionics, but EXCLUDING files described elsewhere below.

a. Files pertaining to the inspection, servicing, and maintenance of FAA aircraft and the processing and storing of surplus aircraft, components, equipment, and parts. Destroy when 10 years old.

b. Files pertaining to securing, storing, revising and issuing of aircraft supplies and equipment. Destroy when 2 years old.

2. Aircraft maintenance instruction files. Manuals, circular memorandums, change orders, aircraft electronic equipment modifications, field maintenance bulletins, safety circulars, avionic test equipment modifications, and related aircraft and avionics maintenance directives, with supporting case files, if any.

a. Record set maintained by the issuing or controlling office. Place in inactive file when superseded or canceled. Transfer to Federal Records Center when 4 years old. Federal Records Center destroy 6 years after receipt.

b. All others. Destroy when superseded or canceled.

3. Aircraft historical files. Documents maintained for the purpose of reflecting a complete record of condition and serviceability of agency aircraft, such as aircraft log books (blue copy), inspection and maintenance records, malfunction and defect reports, airworthiness applications, and supporting papers, and including related aircraft card files.

a. *When aircraft is transferred or sold as surplus.* Transfer related file with aircraft.

b. *When aircraft is scrapped.* Destroy related file when 1 year old.

c. *When aircraft is destroyed in an accident.* Destroy related file when 2 years old.

4. **Aircraft log book files.** Home base copies of aircraft log books which remain in the original binder after the permanent and aircraft service base copies have been withdrawn. Maintained chronologically by date of last entry.

Destroy when 6 months old.

5. **Engine and propeller historical files.** Documents maintained to provide a complete record of condition and serviceability of agency aircraft engines and propellers, such as log books, repair and maintenance records, and forms AC 4100-184 and AC 4100-184-1 or equivalent.

a. *When engine or propeller is transferred or sold as surplus.* Transfer related file with engine or propeller.

b. *When engine or propeller is scrapped or otherwise destroyed.* Destroy related file when 1 year old.

6. **Aircraft services files.** Forms, bulletins, card records, and other documents used in the maintenance, modification, and servicing of agency aircraft at the Aeronautical Center.

a. *Aircraft cost record indicating parts used in aircraft maintenance.* Destroy when 1 year old.

b. *Aircraft, man-hour costs record indicating number of man-hours utilized to repair aircraft.* Destroy when 1 year old.

c. *Aircraft gas and oil cost record.* Destroy when 1 year old.

d. *Aircraft service bulletin.* Destroy when no longer needed for current operations.

e. *Manufacturer's aircraft and components blueprints.* Destroy when no longer needed for current operations.

f. *Aircraft stock control and locator cards.* Destroy when part to which card applies is discontinued as a stock item.

g. *Log book of incoming invoices.* Destroy 10 years after log is closed.

h. *Aircraft maintenance and modification work projects files, consisting of authorizations, status reports, estimates, schedule, changes, man-hours expended and related correspondence.* Destroy 2 years after project completed.

4200 AIRCRAFT LOAN GUARANTEE PROGRAM

1. **History of Loan Guarantee Program Files.** Memorandum, agenda, reports, master copy of manual, and statistical summaries documenting the policies, procedures, and coordination of the loan guarantee program. Arranged chronologically. Current volume: 6 in.

Permanent. Offer to NARA in 1996 or when last loans are paid, whichever is sooner.

2. **General Correspondence Files.** Correspondence, memorandum, reports, and other records relating to the daily administration of the loan guarantee program.

Transfer to Federal Records Center when 4 years old. Destroy when 8 years old.

3. **Aircraft Loan Guarantee Records.** Case files for loans which have been paid in full and applications for loans which have been denied or withdrawn.

Transfer to Federal Records Center when 5 years old. Destroy when 10 years old.

CHAPTER 9. MATERIAL, PROPERTY, AND SUPPLY MANAGEMENT RECORDS

MATERIAL, PROPERTY, AND SUPPLY MANAGEMENT RECORDS. The records described below relate to all aspects of the procurement, materiel, and real property functions of the agency. They pertain to the acquisition, management, storage, distribution, transfer, and disposal of real and personal property; the assignment and utilization of administrative and technical space; and motor vehicle management.

4400 ACQUISITION RECORDS

1. General correspondence files. Correspondence, reports, and related documents accumulated in the administration and operation of agency procurement functions, including contracting and contract administration, but EXCLUDING files described elsewhere in this paragraph.

a. Logistics Service and other major procurement activities responsible for planning and development of procurement policies and programs. Transfer to Federal Records Center when 4 years old. Federal Records Center destroy when 10 years old.

b. All others. Destroy when 2 years old.

2. Real property title files. Original deeds, abstracts or certificates of title, survey notes, maps, correspondence, and related Papers documenting the acquisition of real property by FAA and predecessor agencies by purchase, condemnation, donation, or otherwise.

a. Abstract of certificate of title. Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.

b. Other pages. Destroy 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.

3. Official contract, purchase order, and lease files. Case files documenting the initiation and administration of procurement transactions, including negotiation, award, administration, inspection, testing, acceptance, and payment. (Note: This item does not relate to any contract files stored at the Aeronautical Center as vital record.)

a. Transactions of more than \$25,000 and all contracts exceeding \$2,000, dated after July 25, 1974. Transfer to Federal Records Center after final payment. Federal Records Center destroy 6 years and 3 months after receipt.

b. Transactions of \$25,000 or less and construction contracts under \$2,000, dated subsequent to July 25, 1974; and transactions of \$2,500 or less dated prior to July 25, 1974. Destroy 3 years after final payment.

c. Case files relating to utility contracts regardless of monetary value. Destroy 6 years after service is completed.

4. Procurement document copy files. Copies of contracts, purchase orders, and other procurement documents, exclusive of those covered in item (3) above, used by procurement offices for administrative purposes.

Destroy after completion of related transaction.

5. Bid files. Case files of bids received from prospective contractors for supplies, equipment, or services, both successful and unsuccessful.

Destroy in accordance with provisions in item 4400(3).

6. Canceled bid files. Case files on bids for which no contract was awarded and bids subsequently canceled.

Destroy 1 year after cancellation.

7. Bidders qualification files. Bidders mailing lists, bidders list applications, reports, financial statements, and related correspondence reflecting bidder's qualifications.

Destroy when superseded or canceled.

8. Procurement report files. Volume and workload reports of procurement operations and procedures.

Destroy when 2 years old.

9. Catalog files. Catalogs, federal supply schedules, and other publications used in procurement operations.

Destroy when superseded, obsolete, or no longer needed.

4600 PROPERTY MANAGEMENT RECORDS

1. General correspondence files. Correspondence, reports, and related papers documenting the administration and operation of materiel and property management functions such as utilization, inventory, distribution, identification, provisioning, warehousing, and transportation, and including programs for the management of buildings, space, and motor vehicles, but

EXCLUDING files described elsewhere in this paragraph.

a. *Logistics Service*. Destroy when 4 years old.

b. *All others*. Destroy when 2 years old.

2. **Property management report files**. Reports generated in property and supply management activities, other than those specifically covered elsewhere.

a. *FAA Depot report file indicating property on hand, items shipped, items received, and other shipment data*. Destroy when 10 years old.

b. *Reports on supply requirements and procurement matters submitted for supply management purposes*. Destroy when 2 years old.

c. *Property inspection reports*. Destroy when 2 years old.

d. *Reports of survey and lost property certificates*. Destroy 1 year after equipment leaves agency control.

3. **Plant and stores account files**. Documents recording characteristics and worth of items of equipment.

a. *Inventory and plant account cards and ledgers used for equipment purposes*. Destroy when item is withdrawn from plant account.

b. *Invoices used for stores accounting purposes*. Transfer to Federal Records Center when 2 years old. Federal Records Center destroy when 5 years old.

c. *Work papers used in accumulating stores accounting data*. Destroy when 2 years old.

4. **Requisition files**. Documents showing evidence of requisition, issue, delivery, and receipt of supplies, equipment, and services.

a. *Requisitions for supplies and equipment from current inventory or in storage, and related registers*. Destroy when 2 years old.

b. *Requisitions and related papers documenting intra-regional and inter-regional property transfer transactions*. Destroy 1 year after completion of transactions.

5. **Depot requisition files**. Documents maintained by the FAA Depot.

a. *Requisition files consisting of procurement request forms*. Destroy when 1 year old.

b. *Requisition and shipping files*. Destroy 6 months after materiel is received.

c. *Requisitions for stationery and supplies*. Destroy when 30 days old.

6. **Depot voucher files**. Debit vouchers, invoices, packing slips, shipment receipts, and related registers, maintained by the FAA Depot.

Destroy when 10 years old.

7. **Employee property issue files**. Documents, including card files, showing property and equipment

charged out to personnel, including employee receipts.

a. *Regional headquarters*. Destroy 6 months after item is returned.

b. *FAA Depot*. Destroy 1 year after stock item has been declared obsolete and disposed of.

8. **Property record receipt files**. Copies of purchase orders maintained as regional property record receipts.

Destroy when 2 years old.

9. **Field supply and equipment files**. Vouchers, purchase orders, copies of vendors bills, memorandum copies of bills lading, and other documents pertaining to the acquisition, transfer, and disposal of equipment and supplies maintained by air traffic field facilities, aviation safety district offices, airport district offices, and airway facilities flight standards field office.

a. *Records relating to equipment transactions*. Destroy 2 years after equipment is released from district office.

b. *Records relating to supply transactions*. Destroy when 2 years old.

c. *Work order cost sheets pertaining to the construction, modification, or dismantling of equipment and facilities*. Destroy after work is completed.

10. **Project materials files**. Correspondence, reports, and other documents accumulated by the FAA Depot relating to the receipt, custody, shipment, modification, testing, repairing, and reconditioning of materiel, parts, and other components used in the establishment and maintenance of aids to air navigation.

a. *General correspondence files*. Destroy when 5 years old.

b. *Stock control card files*. Destroy 3 years after card is completed or stock item obsoleted.

c. *Washington purchase order file, FAA Form 45 or equivalent*. Destroy when 5 years old.

d. *Aeronautical Center purchase order file, FAA Form 45 or equivalent*. Destroy when 3 years old.

e. *Work orders, work order cost sheets, and specification files*. Destroy when 5 years old.

f. *Monthly work order progress charts*. Destroy when 5 years old.

g. *Project complement charts*. Destroy 5 years after chart is completed.

h. *Requisition invoice file, FAA Form 4650-12 or equivalent*. Destroy when 5 years old.

i. *Bills of lading and related receipts*. Destroy when 5 years old.

j. *Drawings and specifications of construction equipment*. Destroy when no longer required for current operations.

11. **WITHDRAWN.** (See item 4665).

12. **WITHDRAWN.** (See item 4670).

13. **Provisioning files.** Documents accumulated by the FAA Depot in provisioning actions required to support end items of materiel.

a. *Provisioning case files.* Retain for life cycle of equipment to which applicable. 1 year after end of life cycle, transfer to FRC. Destroy 5 years after end of life cycle.

b. *Replaceable parts lists.* Retain for life cycle of equipment to which applicable. 1 year after end of life cycle transfer to FRC. Destroy 5 years after end of life cycle.

c. *Initial supply support allowance charts (ISSAC).* Destroy 3 years after last shipment of material.

4630 INVENTORY CONTROL RECORDS

1. **Inventory files.** Documents maintained to provide replenishment, stock control, and property maintenance data.

a. *Inventory lists.*

(1) Annual inventories. Destroy 2 years from date of list.

(2) Triennial inventories. Destroy 5 years from date of list.

b. *Inventory cards.* Destroy 2 years after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from agency control.

c. *Report of survey files and other papers used for adjustment of inventory records.* Destroy 2 years after date of survey.

4650 LOGISTICS SYSTEMS AND ACCOUNTABILITY RECORDS

1. **Personal property in-use accountability files.** Documents accumulated by property accountable officers and property custodians in the management, accountability and physical control of personal property in-use in the agency.

a. *Detail property record (card, punchcard, tape, printout, log, etc.) reflecting physical and financial characteristics of personal property in-use.* Destroy after disposal of related property or its transfer to other accountability.

b. *Code sheets, punchcards and other media used merely for transmitting data to tape.* Destroy when 30 days old.

c. *Machine listing of property, including master listing, and listings of transactions, custodial areas, error re-*

jects, etc. Destroy when 2 years old or when purpose has been served, as appropriate.

d. *Property voucher case files, consisting of debit and credit vouchers, adjustment vouchers, invoices, receipts and related documents.* Destroy when 2 years old.

2. **Master project materiel case files.** Documents accumulated by regional Logistics Divisions in the management and control of project materiel required in the establishment and modification of facilities in the National Airspace System.

Destroy 1 year after project has been capitalized.

4665 SPACE MANAGEMENT RECORDS

1. **Space and buildings maintenance files.** Documents relating to the acquisition, allocation, utilization, and release of space, and related matters.

a. *Building plan files and related records utilized in space planning, assignment, and adjustment.* Destroy 2 years after termination of assignment, when lease is canceled, or when plans are superseded or obsolete.

b. *Space occupancy report files.* Destroy reports to General Services Administration 2 years after date of report; destroy all others 1 year after date of report.

c. *Requests for building and equipment maintenance services, excluding fiscal copies.* Destroy 3 months after work is performed or requisition canceled.

d. *Rental questionnaire files relating to occupancy and rental of Government-owned buildings.* Destroy questionnaires 2 years after being superseded; destroy related correspondence after 3 years.

4670 MOTOR VEHICLE MANAGEMENT RECORDS

1. **Motor vehicle management files.** Documents relating to the management, operation and maintenance of motor vehicles.

a. *Motor vehicle operating files.* Destroy when 3 months old.

b. *Motor vehicle maintenance files.* Destroy when 1 year old.

c. *Motor vehicle ledger and work sheets providing cost and expense data.* Destroy 3 years after discontinuance of ledger or date of worksheet.

d. *Motor vehicle report files (other than accident, operating, and maintenance reports).* Destroy 1 year after date of report.

e. *Motor vehicle accident files maintained by transportation offices.* Destroy 3 years after case is closed.

f. *Vehicle release and transfer files.* Destroy 1 year after vehicle leaves agency custody.

g. Motor vehicle operators files. Includes drivers test, authorizations to use, safe drivers award and related correspondence. Destroy 3 years after separation of employee or 3 years after recession of authorization to operate government-owned vehicle, whichever is earlier.

4770 TRAFFIC MANAGEMENT RECORDS

1. Bill of lading files. Government and commercial bills of lading and supporting papers maintained by transportation units.

a. Issuing office. Destroy when 3 years old.

b. All others. Destroy when 1 year old.

4800 PROPERTY DISPOSAL RECORDS

1. General correspondence files. Correspondence, reports, and related documents pertaining to the administration and operation of activities dealing with the redistribution and disposal of excess and surplus property, EXCLUDING files described elsewhere below.

a. Logistics Service. Transfer to Federal Records Center when 4 years old. Federal Records Center destroy when 10 years old.

b. All others. Destroy when 2 years old.

2. Real property sales files. Case files relating to General Services Administration conducted sales of surplus real property and related personal property sold with the real estate.

Destroy 1 year after sale of property.

3. Personal property sales files. Case files developed in FAA conducted sales of small lots of surplus personal property at isolated locations valued at \$1,000 or less.

Destroy 4 years after final payment.

4830 EXCESS PROPERTY REPORTING RECORDS

1. Reports of excess real property.

Destroy 1 year after disposal of property.

2. Reports of excess personal property.

Destroy when 3 years old.

3. Excess and surplus property listings.

Destroy when superseded or obsolete.

CHAPTER 10. AIRPORTS AND OTHER LANDING FACILITIES RECORDS

AIRPORTS AND OTHER LANDING FACILITIES RECORDS. The records described below relate to the administration of programs promoting the development of a national system of public airports. These include airports systems planning; administration of the Federal Aid Airport Program; conveyance of land for public airport purpose; providing standards for design, construction, maintenance, and ground safety at civil airports; and related activities.

5000 GENERAL RECORDS

1. General correspondence files. Routine correspondence, reports, and related materials documenting the planning, coordination, and establishment of a national system of civil airports; developing a national airport plan; granting Federal funds to airport sponsors; transfer of public lands for airport purposes; review of claims for repair of public airports damaged by Federal agencies; enforcing compliance with laws and regulations affecting airports constructed with Federal funds; compilation of airport facility data; and development of standards for airport planning, design, construction, and maintenance; but **EXCLUDING** files described elsewhere in this paragraph.

a. Office of the Associate Administrator for Administration. Transfer to Federal Records Center when 4 years old. Federal Records Center destroy when 20 years old.

b. Regional Airports Divisions. Transfer to Federal Records Center when 4 years old. Federal Records Center destroy when 20 years old.

c. Airports District Offices. Destroy when 4 years old.

2. Military utilization of civil airports files. Routine correspondence, reports, and other documents relating to military and joint civil-military use of public airports, not filed in airport project files (item 5100).

a. Office of the Associate Administrator for Administration. Transfer to Federal Records Center when 10 years old. Federal Records Center destroy when 20 years old.

b. Regional Airports Divisions. Destroy 5 years after restoration and claims related to military use at the individual location have been settled.

c. Airports District Offices. Destroy 5 years after restoration and claims related to military use at the individual location have been settled.

3. Special airport program and project files. Correspondence, reports and related data pertaining to special subjects such as fog intensity diversion operations and air marking, maintained by airports district offices.

Destroy when 10 years old.

4. State files. Case files, arranged by state, maintained by airport district offices, relating to airports under their jurisdiction. Includes correspondence; construction progress reports; inspection and test reports on aircraft, runways, and buildings; flight landing and take-off patterns with related instructions; photographs and blueprints of airport structures and facilities; and related materials.

Destroy when 4 years old unless file includes zoning ordinance which should be retained until superseded.

5010 AIRPORTS MASTER RECORDS

1. Airport master files. Documents relating to facilities at civil airports in the United States and its possessions, including FAA Form 5010-1, Airport Master Record, FAA Form 5010-2, Landing Facility Information Request, or equivalents, and related materials.

a. Case files maintained by Office of Airports Standards. Case files transferred to Defense Mapping Agency Aerospace Center after airport (other than those with Federal agreements) is in abandonment status for 3 years, for scheduling by Defense Mapping Agency.

b. Regional Airport Divisions. Destroy FAA Form 5010-1 and related correspondence and reports when superseded by current form; destroy instructions pertaining to the preparation of FAA Form 5010-1 when superseded or canceled.

c. Airports District Offices. Destroy 3 years after airport is abandoned, or no longer required for current operations.

d. All others. Destroy FAA Form 5010-1 when superseded or no longer required for current operations, whichever is earlier.

2. Airport facility statistical files. Statistical summaries and studies prepared from machine tabulations of airport facilities data.

a. Master location list of airports and special studies and summaries. Destroy when superseded.

b. *Periodic tabulations summarized or published in FAA publications.* Destroy when 1 year old.

3. **Airport identification files.** Files containing summary data on airports and airport facilities.

Destroy files on airports (other than Federal agreement airports) 3 years after being placed in abandonment status.

5030 AIRPORTS SYSTEM PLANNING RECORDS

1. **Airport traffic files.** Card files showing enplaned airlines traffic, by airport; total employees, departures of passengers, mail, express, and freight, by city; and traffic load, by airlines.

Destroy when 10 years old.

2. **Airports economic studies and publications files.** Studies made in formulation of economic criteria of community needs and analysis of community requirements for establishing airport facility priorities.

a. *Record copy of publications and background material for unpublished studies.* Destroy when 10 years old.

b. *Background material of publications.* Destroy when 10 years old.

3. **City summary and economic analysis files.** Destroy when 10 years old.

5050 ENVIRONMENTAL PLANNING

1. **Draft and Final Section 102(2)(C) Environmental Impact Statements (EIS), Finding of No Significant Impact (FONSI), and Federal Aviation Regulations (FAR), Part 150 files.** Project files on approved airport projects consisting of the above-mentioned impact statements and all related correspondence, documents, and project files for noise compatibility planning under the Aviation Safety and Noise Abatement Act and Federal Aviation Regulations Part 150.

a. *Office of Airport Planning and Programming.*

(1) Transfer to FRC 3 years after the FAA has approved the EIS or FONSI for a proposed action. FRC to destroy 10 years after receipt.

(2) *Controversial projects.* Transfer to FRC 3 years after all litigation have been resolved. FRC to destroy 10 years after receipt.

(3) *EIS or FONSI prepared for future projects which will be evaluated and are intended to have a written reevaluation action applied.* Transfer to FRC after administrative actions have been taken on the last projects. FRC to destroy 10 years after receipt.

(4) *FAR Part 150 files.* Transfer to FRC 10 years after the Noise Compatibility Program (NCP) has been approved. FRC to destroy 10 years after receipt.

b. *Regional Airports Divisions/Airports District Offices.*

(1) Transfer to FRC when the project or projects for which the EIS or FONSI was prepared are constructed or completed, including Federal funding. FRC to destroy 10 years after receipt.

(2) *EIS or FONSI prepared for future projects for which a prior approval affirmation action was intended.* Transfer to FRC after the last project is federally funded and completed. FRC to destroy 10 years after receipt.

(3) *FAR Part 150 files.* Transfer to FRC either 10 years after the NCP has been approved, or 10 years after the Noise Exposure Map (NEM) determination, where only an NEM was acted on by the FAA. FRC to destroy 10 years after receipt.

5061 WITHDRAWN. (See Item 5030.)

5071 WITHDRAWN. (See Item 5030.)

5090 NATIONAL AIRPORT SYSTEM PLAN/ NATIONAL PLAN OF INTEGRATED AIRPORT SYSTEMS RECORDS

1. **National airport plan data files.** Documents, such as state data sheets and related forms, used in the development of national airport plans and requirements.

a. *Office of the Associate Administrator for Airports.* Transfer to Federal Records Center when 5 years old. Federal Records Center destroy when 10 years old.

b. *Regional Airports Division Offices.* Destroy when 10 years old.

c. *Airports District Offices.* Destroy when 5 years old.

5100 FEDERAL-AID AIRPORT PROGRAM/ AIRPORT DEVELOPMENT AID PROGRAM RECORDS

1. **Airport project case files.** Case files on airport projects affected by agreements with the Federal Government under the Airport Development Aid Program (ADAP) and the Federal-Aid Airport Program (FAAP), consisting of programming documents, project applications, inspection reports, sponsor assurances, cost estimates, grant agreements, correspondence, and related documents.

a. *Office of the Associate Administrator for Airports.* Transfer to the Federal Records Center when financially completed. Destroy 5 years later.

b. *Regional Airports Division/Airports District Offices.* Maintain 1 copy of project case files in either the regional Airports Division or Airports District

Offices. Transfer to the Federal Records Center when financially completed. FRC destroy 20 years later.

2. Airport project plan files. Preliminary, approved, and as-constructed plans maintained by regional Airports Divisions or Airports District Offices.

a. Preliminary plans. Destroy upon receipt of approved construction plans.

b. Approved construction plan. Destroy upon receipt of as constructed plans.

c. As-constructed plans. (1) Paper (if not filmed). Transfer to Federal Records Center when volume warrants. Destroy 50 years after financial completion of the project or sooner if as-constructed plans for subsequent projects include all modifications. (2) If microfilm is available, the original paper record may be destroyed after the film is determined to be an adequate substitute. (3) Microfilm is to be made in accordance with Federal Property Management Regulations, FPMR 101-11.5. (See FAA Order 1350.20, Micrographics Management Program.) These film records may be forwarded to the Federal Records Center for retention when volume warrants. Destroy film 50 years after financial completion of project.

3. Airport layout plans. Documents maintained by region/airports district offices showing boundaries and facilities at FAAP/ADAP funded airports. Destroy 50 years after financial completion of the project. If microfilm is available, the original paper records may be destroyed after the film is determined to be an adequate substitute. Microfilm to be made in accordance with Federal Property Management Regulations, FPMR 101-11.5. (See FAA Order 1350.20, Micrographics Management Program).

Destroy microfilm 50 years after financial completion of projects.

4. Airport project specification files. Specifications for the design and construction of ADAP projects maintained by the regional airport divisions or airports district offices.

Destroy when project is financially completed.

5. ADAP program control records. Program control records consisting of ledger forms maintained by headquarters/regional airports offices.

a. Headquarters destroys 1 year after financial completion of all projects in a program.

b. Regions destroy 3 years after financial completion of all projects in a program.

6. Unprogrammed airport project files. Correspondence relating to proposed projects for which no funds were allocated.

Destroy when 3 years old.

7. Headquarters FAAP/ADAP fund control records. Documents relating to the financial status of airport

grant-in-aid projects, including the control and apportionment of funds to regions.

a. Card records, ADAP, AS Form 5100-2, FAAP, FAA Form 1973, or equivalent, summarizing actions on each airport under FAAP/ADAP. Destroy 50 years after financial completion of program.

b. Request for changes in allotment and suballotment. Destroy 3 years after program is completed.

8. WITHDRAWN

9. WITHDRAWN

10. WITHDRAWN

11. WITHDRAWN

5150 SURPLUS AIRPORT PROPERTY RECORDS

1. Surplus airport property files. Case files relating to the disposal of surplus Government airports and airport facilities and equipment, containing declarations, surveys, deeds, agreements, leases, charts, compliance reports, and related correspondence.

a. Office of the Associate Administrator for Airports. Transfer to Federal Records Center when volume warrants. Destroy when land reverts to Federal Government and all related Federal obligations are settled or cancelled.

b. Regional Airports Divisions. Screen annually and destroy material of expired temporary value, such as duplicate copies, transmittals, expired leases; transfer skeleton file on basic documents and compliance enforcement records to the nearest Federal Records Center when the volume warrants. Destroy when land reverts to the Federal Government and all related Federal obligations are settled or cancelled.

c. Airports District Offices.

(1) Surplus real property files. Retain instruments of conveyance and related plats. Destroy subsidiary agreements 5 years after agreement is satisfied; destroy all other records 5 years after conveyance.

(2) Donable surplus personal property files. Destroy 3 years after conveyance.

5170 TRANSFER OF PUBLIC LAND RECORDS

1. Section 16 and 23 files. Case files relating to transfers of Federal land to public agencies for use in connection with public airports.

a. Office of the Associate Administrator for Airports. Transfer to Federal Records Center when volume warrants. Destroy when land reverts to Federal Government and all related Federal obligations are settled or cancelled.

b. Airports District Offices. Retain applications, resolutions, transfer instruments and related exhibits; destroy all other records 3 years after conveyance.

5190 COMPLIANCE ENFORCEMENT RECORDS

1. **Compliance enforcement files.** Case files relating to activities concerned with effecting compliance with laws, regulations, and agreements regarding airports sponsored under DLAND and DCLA programs (AP-4).

a. *Office of the Associate Administrator for Airports.* Transfer to Federal Records Center when volume warrants. Destroy when there is no longer any Federal obligations under programs administered by the Department of Transportation and/or FAA.

b. *Airports District Offices.* Destroy 5 years after final action.

5200 AIRPORT SAFETY RECORDS

1. **Airport obstruction files.** Correspondence and reports pertaining to hazards to air navigation maintained by airport district offices.

Destroy when 5 years old.

5300 DESIGN, CONSTRUCTION, AND MAINTENANCE RECORDS

1. **General technical correspondence files.** Documents relating to airport engineering, design, paving, turfing, drainage, landscaping, architecture, zoning, and related subjects.

a. *Regional Airports Divisions.* Destroy 5 years after notice of deactivation of airport.

b. *Airports District Offices.* Destroy when 3 years old.

2. **Airport management files.** Documents reflecting advisory and inspection activities with regard to airport management, planning, operations, and maintenance.

a. *Regional Airports Divisions.* Destroy after 5 years, EXCEPT that periodic inspection reports are to be destroyed when superseded.

b. *Airports District Offices.* Destroy when 8 years old.

3. WITHDRAWN

4. **Airport site investigation files.** Documents relating to the selection, investigation, and approval of airport sites, and to agreements between FAA and the Federal Highway Administration with regard to the use of highways in or adjacent to airports, maintained by airport district offices.

Destroy when 10 years old.

5. **Drawings, tracings, and sketches.** Aeronautical Navigational Chart (ANC) drawings, duplicate copies of tracings, drawings and sketches and preliminary drawings, all submitted to FAA by airport sponsors seeking Federal aid to build airports.

Destroy 5 years after notice of deactivation of airports.

6. **Wind rose charts.** Charts showing wind trends for four- to eight-year periods prior to compilation, prepared from material received from the Weather Bureau.

a. *Record copy.* Destroy 5 years after notice of deactivation of airport.

b. *All others.* Destroy when no longer needed for administrative operations.

5345 AIRPORT LIGHTING RECORDS

1. **Airport lighting specification files.** History file of specifications for airport lighting installations and equipment.

Destroy 5 years after a specification becomes obsolete.

2. **Lighting equipment approval files.** Correspondence, reports, test data, and related documents pertaining to approvals of manufacturer's lighting equipment.

Destroy 5 years after related equipment becomes obsolete.

5355 AIRPORT TERMINAL AREA FACILITIES RECORDS

1. **Terminal facilities data files.** Correspondence and reports, maintained by regional airports divisions, relating to gate and loading positions, and passenger and loading facilities.

Destroy when 5 years old.

5900 PLANNING GRANT PROGRAM

1. **Airport master planning and system planning project files.** Case files on planning projects affected by agreements with the Federal Government under the Planning Grant Program (PGP) consisting of project applications, grant agreements, airport planning program action forms, grant payment forms, audit reports, correspondence, and related documents.

a. *Office of the Associate Administrator for Airports.* Destroy 1 year after financial completion of all projects in program.

b. *Regional Airports Divisions/Airports District Offices.* Maintain 1 copy of project files in either Regional Airports Divisions or Airports District Office. Transfer to Federal Records Center no sooner than 5 years after project completion. Federal Records Center destroy 10 years after financial completion of PGP project.

2. **Completed airport master plans and systems plans.** Completed master plans and systems plans prepared

under the Planning Grant Program, consisting of reports and plans prepared by the states and sent to FAA for review.

a. *Office of the Associate Administrator for Airports.* Destroy when superseded or obsolete.

b. *Regional Airports Divisions/Airports District Offices.* Maintain 1 copy of final plans in Regional Airports Divisions and/or Airports District Offices. Destroy when superseded or obsolete giving consider-

ation to longevity of plan recommendations and environmental studies prepared as part of a plan or which reference completed plans.

3. **Unprogrammed airport master planning and system planning project files.** Correspondence and other papers relating to PGP projects on which no funds were allocated.

Destroy when 3 years old.

CHAPTER 12. FACILITIES AND EQUIPMENT

FACILITIES AND EQUIPMENT. The records described in this paragraph relate to the construction, commissioning, installation, maintenance, inspection, and relocation of air navigation, air traffic control, and aeronautical communications systems, facilities, and equipment.

6000 GENERAL RECORDS

1. General correspondence files. Routine correspondence, reports, and related documents accumulated in the administration and operation of programs for the survey, installation, construction, maintenance, and inspection of air navigation, air traffic control, and aeronautical communication facilities and equipment; and the determination of requirements for the procurement, manufacture, and distribution of equipment, but EXCLUDING files described elsewhere in this paragraph.

a. Correspondence files of the agency office of primary interest and that portion of files of regional headquarters offices relating to the development of policies and standards in the management of assigned programs. Destroy when 5 years old.

b. Correspondence files of regional headquarters offices (other than that portion described in (a) above). Destroy when 5 years old.

c. Correspondence files of Airway Facilities field offices relating to the inspection, repair, and servicing of facilities and equipment. Destroy when 2 years old.

2. Air marking program files. Documents pertaining to providing visual ground markings to guide pilots of aircraft not equipped or unable to use electronic navigational aids.

a. Agency office of primary interest. Permanent. Transfer to Federal Records Center when inactive. Offer to NARA 10 years later.

b. Regional headquarters offices. Destroy when 1 year old.

3. Facilities establishment files. Case files maintained by regional headquarters offices relating to the engineering, construction, and installation of facilities.

a. Program case files. Destroy 5 years after the last facility of the type or types established under the program has been decommissioned provided there are no outstanding claims against the Government.

b. Project case files. Destroy 5 years after decommissioning of related facility.

c. Work order and cost data files. Destroy 5 years after decommissioning of the system involved.

4. Facilities maintenance files. Case files maintained by regional headquarters offices consisting of all routine correspondence and other communications between the regional office and field offices. Includes pertinent maintenance inspection and flight inspection reports and related correspondence, such as follow-up and reports of corrective actions, narrative reports by field personnel regarding maintenance operations at communication stations, FCC inspection reports and action thereon, informal reports of maintenance inspections by regional inspectors of landlines equipment and facilities, landlines standardization and modernization program reports, and FAA Form 237, Maintenance Operation Report, or equivalent.

Destroy when 2 years old.

6010 PLANNING RECORDS

1. Overseas planning files. Correspondence, memorandums, reports, and related papers pertaining to the coordination of plans and policies for the establishment, development, improvement, and maintenance of air navigation facilities outside the continental United States.

Permanent. Transfer to Federal Records Center when 5 years old. Offer to NARA when 15 years old.

2. Airport engineering planning files. Case files pertaining to engineering, planning, and governing the construction of airports built by FAA in the U.S. (not including, however, the Washington Airport Project), its territories and possessions, and in foreign countries. Contains proposals (including plans and specifications), contracts, summary bids, physical and fiscal progress reports, change orders, notices to proceed, and related correspondence.

Destroy 10 years after construction is completed.

3. Facility data files. Documents containing data regarding location and type of facility maintained by FAA, used to provide control and planning information.

a. Monthly tabulations.

(1) Agency office of primary interest. Destroy when 1 year old.

(2) Regional headquarters offices. Destroy when superseded.

b. Sector maps. Destroy when 1 year old.

c. *Card files of proposed and current facilities.* Destroy 4 years after facility is canceled.

6020 PROGRAMMING RECORDS

1. **Program engineering files.** Case files pertaining to the assignment and scheduling of establishment projects, and the allocation of funds required, maintained by the agency office of primary interest, containing drawings, bids and specifications, copy of contract or lease, cost of estimates, data sheets, and correspondence regarding authorization for scheduling project and allocating funds.

a. *Facilities established for FAA.* Destroy 4 years after facility is canceled.

b. *Facilities established for other agencies.* Destroy 1 year after acceptance of facility or work by other agency.

2. **Contract engineering files.** Case files reflecting engineering activities involved in the procurement of project material and equipment, including technical inspection and acceptance, maintained by the agency office of primary interest, consisting of procurement proposals, copies of contracts and specifications, technical data submitted by contractors, inspection reports, and related correspondence.

Destroy 4 years after close of fiscal year in which contract is completed.

3. **Test data files.** Test data on equipment to determine compliance with procurement specifications.

Destroy upon expiration of guarantee of equipment.

4. **F&E project files.** Case files pertaining to F&E project assignments, fund allocations, adjustments of F&E programs, technical documentation, and project grouping and coding, maintained by regional headquarters offices.

a. *Correspondence with field-working parties, including work orders, installation instructions, permanent installation adjustments, and weekly progress reports, or equivalent.* Destroy 1 year after decommissioning of facility.

b. *Instructions and implementation correspondence to and from Washington offices.* Destroy 2 years after decommissioning of facility.

5. **Project control files.** Card files maintained by regional headquarters offices for each assigned F&E project, reflecting project allotments, project cost, and periodic status of physical progress.

a. *Monthly record.* Destroy 1 year after close of appropriation.

b. *Final cost summary.* Destroy 2 years after decommissioning of facility.

6. **F&E report files.** Fiscal and other reports relating to the F&E program.

a. *F&E monthly reports.*

(1) Agency office of primary interest. Destroy at end of fiscal year in which prepared, EXCEPT the final report of the fiscal year is to be destroyed at the end of the following fiscal year.

(2) Regional headquarters offices. Destroy when 2 years old, EXCEPT the final report of each fiscal year is to be destroyed 1 year after close of F&E appropriation.

(3) All others. Destroy when 1 year old.

b. *F&E monthly fiscal reports.* Destroy at the end of fiscal year, EXCEPT final September 30 report, which is to be destroyed 2 years after close of F&E appropriation.

c. *F&E work program quarterly reports.* Destroy when 5 years old.

7. WITHDRAWN

6030 POLICIES AND STANDARDS RECORDS

1. **Maintenance standardization files.** Correspondence, memorandums, reports, and related papers pertaining to qualification and performance standards for facilities maintenance personnel; training of maintenance personnel, and analysis and modification of regional employee standards of performance and training activities; standards and procedures for use in classifying facilities and for computing personnel workloads; effective utilization of maintenance personnel; promotion of training for engineering personnel in schools; and field maintenance organization structure, maintained by the agency office of primary interest.

Destroy when 5 years old.

2. **Reports of maintenance, alteration, and modernization projects.** Destroy 2 years after project is completed.

3. **Maintenance log files.** Logs recording maintenance of airway facilities or equipment, such as FAA Form 6030-1, or equivalent, and supporting papers.

Destroy after a minimum of 2 or a maximum of 3 years, providing there are no unresolved claims against the Government with regard to subject facility.

4. **Equipment modification files.** Record of equipment modification, FAA Form 6032-1, or equivalent, maintained at the facility site.

Transfer with equipment. Destroy when equipment becomes obsolete or is removed from FAA inventory.

5. **Equipment instruction books.** Manufacturer's instruction books for ground facilities and equipment.

Transfer with equipment. Destroy when equipment becomes obsolete or is removed from FAA inventory.

6040 SYSTEM PERFORMANCE RECORDS

1. **Maintenance operations evaluation files.** Documents accumulated by agency office of primary interest in the review and evaluation of maintenance services rendered on facilities and equipment.

a. *Records pertaining to the summarization and analysis of maintenance services performed by the regional offices.* Destroy when 10 years old.

b. *Facility technical inspection reports (6040-9 thru 15-series).* Destroy when 2 subsequent reports are on file or 2 years after decommissioning of facility involved.

c. *Records of itineraries and assignments of inspectors.* Destroy when 2 years old.

2. **Systems performance evaluation files.** Documents accumulated by the agency office of primary interest in the review and evaluation of the technical functioning of facilities and equipment.

a. *Records pertaining to the analysis and review of performance of radio and radar equipment types.* Destroy when equipment is obsolete and FAA has none in stock or in use.

b. *Reports of failure of radio and radar equipment, used for analyzing general quality of equipment.* Destroy when 2 years old.

3. **Facility outage report files.** Facility outage and service interruption reports, such as FAA Form 6040-3, or equivalent.

a. *Regional headquarters offices.* Destroy when 2 years old.

b. *Airway facilities field offices.* Destroy when 3 years old.

4. **Technical performance record files.** FAA Form 6000-8, or equivalent.

Destroy when 2 years old.

5. **Technical inspection and evaluation files.** Reports and related documents pertaining to facility inspection and evaluation, maintained by airway facilities field offices.

Destroy when 2 subsequent reports are on file or 2 years after decommissioning of facility involved.

6050 FREQUENCY MANAGEMENT RECORDS

1. **General correspondence files.** Administrative correspondence, memorandums, reports, and related papers pertaining to the requirements of the agency for radio frequencies, and uniform practices governing the use thereof. Includes subjects on allocation, assignment, cancellation, modulation, and usage of frequencies, circuits, disaster communications services, and similar subjects related to radio frequencies.

Destroy when 7 years old.

2. **Frequency assignment files.** Documents and correspondence pertaining to assignment policy and procedures and to the operation of facilities to which frequencies have been assigned, or to be assigned.

a. *Interdepartmental Radio Advisory Committee (IRAC).* IRAC frequency lists and preface manual of regulations and procedures and emergency readiness plan. Destroy upon receipt of revised copy.

b. *FAA frequency lists.* Destroy upon receipt of revised copy.

c. *Miscellaneous frequency lists (Canadian, FAA, ERDA).* Destroy upon receipt of revised copy.

d. *International Frequency Registration Board (FAS).* IFRB publications. Destroy upon receipt of revised copy.

e. *Frequency Assignment Subcommittee (FAS).* FAS agendas. Destroy when 2 years old.

f. *Radio Frequency Appendix and Classified Frequency Supplement.* Destroy when 2 years old.

g. *Completed OT-19 files.* Destroy when 2 years old.

h. *Station location files.* Destroy when superseded.

3. **Interdepartment Radio Advisory Committee (IRAC) files.** Case files reflecting agency membership on IRAC, which assigns radio frequencies to Federal agencies, containing agenda, applications for frequency assignments, and minutes of meeting.

Destroy when 2 years old.

4. **WITHDRAWN.** (See 6050(2)).

5. **WITHDRAWN.** (See 6050(2)).

6. **Frequency assignment coordination files.** Documents pertaining to coordination with Federal agencies on assignments of radio frequencies to non-Federal licensees, including requests from FCC for recommendation regarding application for construction of new, or modification of existing, non-government stations that may interfere with FAA operations, and FAA's recommendation thereon.

a. *Files relating to coordination with the Federal Communications Commission (FCC).* Destroy when 1 year old.

b. *Files pertaining to coordination with agencies other than the Federal Communications Commission.* Destroy when 2 years old.

c. *Informal comments regarding proposed frequency utilization by Government agencies.* Destroy when 2 years old.

7. **Radio frequency interference files.** FAA reports of interference by other agencies or countries, and related actions.

Destroy 2 years after case is closed.

8. Infraction report files. Reports by the Federal Communications Commission regarding infractions of frequencies by FAA, and related actions to prevent recurrence.

Destroy 1 year after case is closed.

9. International conference files. Records accumulated by offices serving as agency representatives on international bodies dealing with radio frequency utilization.

a. Correspondence and records created in developing U.S. position at conference. Destroy upon completion of conference or convention and submission to the Secretary of State of final report by U.S. Delegation.

b. Agenda, minutes, reports, and related processed material. Destroy when no longer required for current operations.

6300 RADAR FACILITIES AND EQUIPMENT RECORDS

1. Radar facilities site files. Case files regarding each site selected for the establishment of radar facilities maintained by the agency office of primary interest. Contains copy of proposal, bid, data sheets, lease, engineering drawings, specifications, and related correspondence.

Destroy 1 year after facility is decommissioned.

2. Facility Reference Data files. Facility Reference Data files, FAA Form 198 series, or equivalent.

a. Regional headquarters offices. Destroy when 5 years old, or 1 year after superseded, whichever is longer.

b. AAF sector offices. Destroy 3 years after equipment is sold, obsoleted, or otherwise discontinued.

3. Station facility files. Case files regarding the maintenance of radio and radar equipment at individual facilities maintained by agency office of primary interest. Contains inventories, inspection reports, and reports of equipment adjustments.

Destroy when superseded by current inventory or report, or when facility is decommissioned or relocated, whichever is earlier.

4. Vacuum tube files. WITHDRAWN

6500 COMMUNICATIONS FACILITIES AND EQUIPMENT RECORDS

1. Communication facilities site files. Case files regarding each site selected for the establishment of communication facilities accumulated by the agency office of primary interest. Contains copy of proposal, bid, data sheets, lease, engineering drawings, specifications, and related correspondence and memorandums.

Destroy 1 year after facility is decommissioned.

2. Facility Reference Data files. Facility Reference Data files, FAA Form 198 series, or equivalent.

a. Regional headquarters offices. Destroy when 5 years old or 1 year after superseded, whichever is longer.

b. Airway Facilities sector field offices. Destroy 3 years after equipment is sold, obsoleted, or otherwise discontinued.

3. Communications maintenance time report files. Reports provide information concerning the time utilized by maintenance inspectors and technicians in connection with inspecting and maintaining communication facilities, such as FAA Form 1880, or equivalent.

a. Agency office of primary interest. Destroy when 4 years old.

b. Airway Facilities sector field offices. Destroy when 1 year old.

4. Communications maintenance technicians data files. Sheets listing names of technicians, position number, address, and related information.

Destroy when superseded.

5. Communication equipment failure files. Report of communication equipment failure and facility performance, such as FAA Form 4650-10 or equivalent, and related correspondence.

Destroy when 3 years old.

6. Communication facilities maintenance inspection report files. Destroy when 3 years old.

7. WITHDRAWN.

8. Permanent equipment files. Inventories of fixed property at communications facilities, such as FAA Form 416, or equivalent.

a. Regional headquarters offices. Destroy 2 years after equipment is surveyed.

b. Airway Facilities Sector field offices. Destroy 1 year after equipment is removed from custody of the facility.

9. Radio transmitter operations files. FAA Form 418, or equivalent.

Destroy when 3 years old.

10. Printing telegraph equipment test data files. WITHDRAWN.

11. Teletype record books. WITHDRAWN.

Transfer with equipment. Destroy when equipment is removed from FAA inventory.

12. Multi-Channel recorder check record. FAA Form 6670-1, or equivalent.

Destroy 1 month after last entry on form, EXCEPT in the event of an aircraft accident/incident in which the facility recording equipment is in ques-

tion, the forms shall be retained for inspection or used by cognizant officials until no longer needed.

6600 COMMUNICATIONS EQUIPMENT RECORDS

1. Mobile facility files. Case files accumulated by the FAA Depot for each type of mobile facility, containing correspondence, deployment schedules, work orders for repair and rehabilitation, and related documents.

Destroy 2 years after loan of facility is completed.

6700 NAVIGATIONAL AIDS FACILITIES AND EQUIPMENT RECORDS

1. Navigational aids facilities site files. Case files regarding each site selected for the establishment of navigational aids facilities accumulated by agency office of primary interest. Contains copy of proposal, bid, data sheets, lease, engineering drawings, specifications and related correspondence and memorandums.

Destroy 1 year after facility is decommissioned.

2. Facility Reference Data files. Facility Reference Data files, FAA Form 198 series, or equivalent.

a. Regional headquarters offices. Destroy when 5 years old or 1 year after superseded, whichever is longer.

b. Airway Facilities Sector field offices. Destroy 3 years after equipment is sold, obsoleted, or otherwise discontinued.

3. Navigational aids equipment repair files. Requisitions for repair of goniometers and crystals, and related correspondence.

Destroy 2 years after action is completed, or requisition canceled.

6900 PLANT, STRUCTURES, AND GROUNDS RECORDS

1. Plant and structures site files. Case files regarding each site selected for the establishment of visual aids to air navigation, maintained by agency office of primary interest. Contains copy of proposal, bid, data sheets, lease, engineering drawings, specifications, and related correspondence.

Destroy 1 year after facility is decommissioned.

2. Sector data files. Case files pertaining to the requirements and operations of lighting and structures maintenance sectors maintained by agency office of primary interest. Consists of duplicates regarding property and equipment, standard allowances, sector directories and maps, and schedules of maintenance and inspection.

Destroy when rescinded or superseded, or when 1 year old, whichever is earlier.

3. Structures and ground files. Documents relating to insulating tape, transformers, painting and lettering, paint and allied materials, cable, wire and reels, safety engine generators, batteries, sector storerooms, excess and surplus property, comments on abnormal operations, and new equipment and test data, maintained by regional headquarters offices.

Destroy after 4 years, EXCEPT that weekly progress reports of structures and ground work parties on jobs in progress are to be destroyed when superseded, and final reports on completed jobs are to be destroyed at the end of each fiscal year.

4. Lighting and structures equipment failure files. Reports of failures of lighting and structures equipment, giving location, time, length, and cause of failure.

a. Agency office of primary interest. Destroy when 1 year old.

b. Regional headquarters offices. Destroy when 2 years old.

5. Lighting and structures maintenance files. Monthly reports of maintenance operations of field lighting and structures maintenance personnel.

a. Agency office of primary interest. Destroy when 1 year old.

b. Regional headquarters offices. Destroy when 2 years old.

6. Lighting and structures inspection files. Reports of inspection of lighting and structures aids prepared by regional and Washington maintenance inspectors.

a. Agency office of primary interest. Destroy when 2 years old.

b. Regional headquarters offices. Destroy when superseded by a subsequent report.

7. Fire extinguisher maintenance files. FAA Form 6930-1, or equivalent.

Destroy when superseded, or when extinguisher is discarded.

8. Airways beacons and intermediate landing fields files. WITHDRAWN.

9. Intermediate landing field reports files. WITHDRAWN.

a. Agency office of primary interest. Destroy when 1 year old.

b. Regional headquarters offices. Destroy FAA Form 269 after 1 year; destroy FAA Form 279 not pertaining to accidents after 3 months; destroy FAA Form 279 pertaining to accidents 1 year after completion of accident investigation.

6930 ENGINE GENERATOR RECORDS

1. Engine generator files. Case files pertaining to the procurement, installation, and maintenance of engine generators, accumulated by agency office of primary

interest. Contains correspondence, drawings, specifications, duplicates of contracts, and test data.

Destroy when equipment is surveyed or transferred from custody of FAA.

CHAPTER 13. AIR TRAFFIC MANAGEMENT RECORDS

AIR TRAFFIC MANAGEMENT RECORDS. The records described below relate to the management of air traffic, including the allocation and utilization of airspace; administration and operation of air navigation, flight assistance, and communications facilities; promulgation of air traffic regulations and procedures; operational telecommunications matters; flight information and cartography and ATC automation.

7000 GENERAL RECORDS

1. **Air traffic management correspondence files**, consisting of correspondence, reports, and other documents relating to the administration and operation of programs dealing with the management and control of civil and military air traffic in the navigable airspace.

a. *Correspondence files of Air Traffic relating to the development and evaluation of national air traffic management plans, policies and procedures.* Permanent. Transfer to Federal Records Center when 5 years old. Offer to NARA when 10 years old.

b. *Correspondence files of Air Traffic other than those described in (a) above.* Destroy when 5 years old.

c. *Correspondence files of regional Air Traffic Divisions.* Destroy when 3 years old.

2. **Regional project files.** Case files maintained by regional air traffic management offices, containing correspondence, drawings, and documentation relating to technical and planning projects.

Destroy 3 years after completion of project.

7030 PLANNING RECORDS

1. **Regional planning and evaluation data files**, consisting of correspondence, reports, program data, status charts, aviation statistics, facility utilization data and related documents prepared by regional air traffic divisions in planning, coordinating and evaluating regional air traffic management programs.

a. *Official file copies.* Permanent. Transfer to Federal Records Center when 5 years old. Offer to NARA when 10 years old.

b. *All others.* Destroy when 1 year old.

2. **Air traffic place name files**, consisting of working library of raw research data, special reports, correspondence used for future planning of the National Airspace System, as well as as program information.

Destroy when 5 years old.

7110 AIR TRAFFIC CONTROL PROCEDURES RECORDS

1. **Letters of agreement files.** Letters of agreement on specific interfacility responsibilities, and letters of procedure regarding standard instrument approaches and departures, maintained by air traffic field facilities.

Destroy when superseded or canceled.

7200 AIR TRAFFIC OPERATIONS RECORDS

1. **Air traffic operation summary files.** Consisting of air traffic control, instrument approach and delay time; summaries prepared by Air Traffic. Contain current workload in terms of groups transmitted, number of flight assistance services, number of telephone contacts, flight plans relayed, notices to airmen relayed, and public weather service.

Destroy when 5 years old.

2. **Air traffic operation report files.** Reports reflecting regional fixed posting and flight advisory service for centers, aircraft operations for towers, instrument approaches, delay times and average interval between successive approaches, used in preparing summaries described in item 7200(1).

Destroy when 1 year old.

3. **Overseas and foreign facility files.** Correspondence, reports, and related materials regarding the operation of individual overseas and foreign communications stations. Includes matters on the establishment of circuits, equipment, operating requirements, and cost data.

Destroy when 2 years old, EXCEPT that monthly reports of operations are to be destroyed when 1 year old.

4. **Operating procedures files.** Correspondence of regional air traffic management offices with field facilities pertaining to technical equipment changes at facilities, or interpretations, revisions, additions to or deletions from operating procedures.

Destroy when 3 years old.

7220 ATCS CERTIFICATION RECORDS

1. **Air traffic control specialists examination files.** Case files relating to examinations for certificates and ratings, and operational examinations. NOTE: Results

of such examinations are recorded in official personnel folders.

Destroy when 1 year old.

7230 FACILITY OPERATIONS RECORDS

1. General correspondence files. Correspondence, reports, and other materials maintained by air traffic field facilities pertaining to the functions for which the facilities are responsible, but EXCLUDING files described elsewhere below.

Destroy when 2 years old.

2. Facilities operations files. Documents accumulated by air traffic field facilities and activities in the performance of air traffic control operations. EXCEPTION: The following standards do not apply to documents filed as part of incident or accident case records.

a. Teletypewriter messages (including handwritten drafts) handled for other offices, agencies, facilities, or individuals. Destroy when 30 days old, except when containing only relayed meteorological data destroy immediately.

b. Weather briefing data. Teletype messages accumulated by Flight Service Stations and Combined Stations/Towers performing weather briefing functions consisting of: (1) Surface weather reports, (2) Terminal forecasts and amendments, (3) Upper wind reports, (4) Enroute forecasts and amendments, (5) SIGMETs and AIRMETs and amendments, (6) Area forecasts and amendments, and (7) Any other material which is used for pilot briefing. Destroy when 15 days old.

c. Message fee charge records maintained by International Flight Service Stations for services rendered to airlines. Charges are assessed by the first station handling the message. Destroy copies of messages when 90 days old; destroy copies of summaries of charges forwarded to regional headquarters for billing purposes when 1 year old.

d. Daily Record of Facility Operation and Position Log, such as FAA Forms 7230-4 and 7230-10, or equivalent.

(1) Facility logs dated May 1, 1974 through July 3, 1976. Destroy after the first full pay period in July 1982.

(2) Facility logs dated after July 3, 1976. Destroy when 6 months old.

e. Voice recorder loops and tapes, and the 5 x 8 plain paper used for traffic clearances in lieu of recordings. Destroy paper and loops and return tape reels to service, when 15 days old.

NOTE: Retain tapes pertaining to incidents and accidents as specified in Order 7210.3H, Facility Man-

agement and Order 8020.11, Aircraft Accident and Incident Notification, Investigation, and Reporting.

f. Flight plans, FAA Form 7233-3, or equivalent.

(1) Military flight plans filed directly with FAA facilities by a military base operations office. Destroy when 15 days old.

(2) Military flight plans filed directly with FAA facilities by other than military base operations; e.g., by pilot or his representative. Mail to pilot's home base indicated in flight plan after 15 days or retain for 90 days in facility files and then destroy.

(3) Civil flight plans (including teletype copies). Destroy when 15 days old.

g. Preflight briefing logs, FAA Form 7233-2 or equivalent. Destroy when 15 days old.

h. Aircraft flight contact records such as FAA Form 7230-21 or equivalent. Destroy when 15 days old.

i. Flight progress strips, FAA Form 7230/566 series. Destroy when 15 days old, EXCEPT (1) when part of an AMIS unknown intercept report, when 90 days old; (2) when requiring special handling, as specified in Handbooks 7210.3H and 8020.11.

j. Air traffic control facility computer printouts (from input/output devices, high speed printers, etc.) Destroy when 15 days old.

k. NAS computer magnetic tapes that contain the record of the daily operation of the computer system (System Analysis Tapes.) Return to service when 15 days old.

3. Air traffic activity report files. Activity reports, including copies of narrative and tabular workload and traffic reports and records such as the following or their equivalent: (a) FAA Form 7230-16, Approach Data Worksheet; (b) FAA Forms 7230-12, 7230-26 Monthly Summary, Instrument Approaches, Instrument Operations; (c) FAA Form 7233-6, Message Traffic Number Report; (d) FAA Form 7230-1, Monthly Airport Traffic Record; (e) FAA Form 7230-14, Daily Summary of ARTC Operations; (f) FAA Form 7230-13, Daily Activity Record-Flight Service Stations; (g) FAA Form 7230-22; Enroute IFR Peak Day Traffic Report, and related charts and summaries; (h) FAA Form 7230-15, International Flight Service Station Activity Report; (i) Report of noteworthy service to airmen; including narrative reports, and (j) monthly report of operations and intercepts (Security Control); and similar reports.

a. Regional air traffic management offices. Destroy regional and national summaries when 2 years old; destroy reports from field facilities when 6 months old.

b. Air traffic field facilities. Destroy records and reports prepared for administrative use within a facility or for preparation of summary reports to other of-

fices when 30 days old, except when filed as a part of incident, accident, or other case records. Destroy file copies or records and reports prepared for submission to the regional, Washington, or other supervisory office, when 1 year old.

4. Air Traffic facility evaluation files. Reports and related correspondence pertaining to the schedule of evaluations, corrections of improper conditions, and follow-up of findings.

a. Agency office of primary interest. Destroy when 1 year old or when superseded.

b. Air traffic field facilities. Destroy when 6 months old.

5. Familiarization Travel Request Files. Request for access to aircraft or free transportation files for the purpose of observing air traffic control procedures in flight, or in-flight evaluation of air traffic services.

a. FAA Form 7000-5. Destroy by issuing authority 1 year after the last FAA Form 7000-5 in the book has been used.

b. Familiarization Travel Request (FAA Form 1500-7). Destroy 1 year after travel completed or earlier if purpose has been served.

7233 FLIGHT SERVICE RECORDS

1. Reports from regional offices summarizing noteworthy or outstanding flight assistance services rendered. Shows number of instances where air traffic facilities have assisted in saving lives and property, number of aircraft involved, number of passengers and/or crew members, dollar value of property saved, number of other nonroutine noteworthy services rendered by facilities, and a brief account of each noteworthy service.

Destroy when 2 years old.

7300 COMMUNICATIONS RECORDS

1. Communications establishment files. Documents regarding programs for the establishment of direct communications equipment in air route traffic control centers.

Destroy 2 years after completion of program.

2. Communications lease files. Case files regarding the arrangements for procurement or rearrangement of (a) leased teletype and interphone circuits for air traffic control and flight assistance services, (b) leased key equipment, and (c) leased teletype facilities for meteorological services. Contains duplicate copies of contracts, contract modification sheets, and related materials.

a. Agency office of primary interest. Destroy (1) 1 year after circuit is discontinued; (2) 1 year after con-

tract is completed or terminated; (3) upon cancellation or termination of contract.

b. Regional air traffic management offices. Destroy 2 years after contract is canceled or superseded.

3. Communications service request files. Requests and orders, such as FAA Form 4441-1, or equivalents, for fixed communication services.

a. Agency office of primary interest. Destroy when eighteen months old.

b. Regional air traffic management offices. Destroy when 3 years old.

c. Air traffic field facilities. Destroy after action is completed.

4. Regional telephone and interphone facility files. Correspondence, reports and forms maintained by regional air traffic management offices relating to telephone and interphone facilities operations and services, including circuits, line troubles, equipment repair, outage reports, and the like.

Destroy when 3 years old.

7350 LOCATION IDENTIFIERS RECORDS

1. Identifier assignment files. Correspondence, regarding the assignment of identifiers to designate airports, landing fields, etc. Identifiers are a combination contraction and code suggestion location of the facility.

Destroy when 5 years old, or when system of identifiers changes, whichever is earlier.

7400 AIRSPACE ALLOCATION AND USE RECORDS

1. General correspondence files. Correspondence, reports, and related papers pertaining to planned actions concerning the assignment revocation, or review of the navigable airspace, not related to a specific docket.

Transfer to Federal Records Center when 3 years old; Federal Records Center destroy 3 years later.

2. Airspace docket files. Case files pertaining to development of dockets in terminal and enroute airspace rulemaking actions. Transfer to Federal Records Center 5 years after close of case. Federal Records Center destroy 10 years later.

3. Airspace rulemaking projects files. Consisting of case files relating to the designation, alteration or revocation of navigable airspace by rule, regulation or order.

a. Case files relating to special use airspace, such as restricted or prohibited. Permanent. Transfer to Federal Records Center when 5 years old. Offer to NARA when 10 years old.

b. *All others.* Transfer to Federal Records Center 5 years after close of case. Federal Records Center destroy 5 years later.

4. **Airspace general project files.** Consisting of case files or staff studies relating to topics such as new types of airspace designations, research and procedures.

Destroy 5 years after close of project.

5. **Non-rulemaking files.** Circulars and related data concerning non-rulemaking actions.

Destroy when 2 years old.

7460 OBSTRUCTION EVALUATION RECORDS

1. **General correspondence files.** Correspondence, memorandums, reports, and related papers, not part of a case file, pertaining to coordination of FAA action to prevent hazardous interference with the navigable airspace.

Transfer to Federal Records Center when 2 years old, Federal Records Center destroy 3 years later.

2. **Obstruction evaluation case files.** Documents relating to aeronautical studies of the effect of proposed construction or alteration on the use of navigable airspace.

a. *Files containing information on structures that do not exceed obstruction standards of FAR Part 77.* Destroy when 3 years old.

b. *Files containing information on structures that exceed obstruction standards of FAR Part 77 and which were circularized for comment and/or of a controversial nature.* Transfer to Federal Records Center when 3 years old. Federal Records Center destroy when structure is dismantled.

3. **OE docket files.** Official dockets of petitions to the Administrator concerning determinations, comments, correspondence, and denials or grants of petitions.

a. *Records relating to proposed obstructions that are NOT constructed.* Transfer to Federal Records Center 3 years after file is closed. Federal Records Center destroy 25 years later.

b. *Records relating to proposed obstructions that ARE constructed.* Transfer to Federal Records Center 3 years after notification of completion of construction. Federal Records Center destroy when obstruction no longer exists.

7480 AIRPORT AIRSPACE ANALYSIS RECORDS

1. **General correspondence files.** Correspondence, memorandums, reports, and related papers, not part of a case file, pertaining to coordination of FAA action to prevent hazardous interference of airspace in the vicinity of airports.

Destroy when 3 years old.

2. **Airport airspace analysis case files.** Documents relating to aeronautical studies of the effect of proposed construction, alteration, activation and deactivation of airports on the use of airspace.

Permanent. Transfer to Federal Records Center when 5 years old. Offer to NARA when 10 years old.

7800 ATC AUTOMATION PROGRAM RECORDS

1. **General correspondence files.** Routine correspondence, reports and documents pertaining to planning, establishment of requirements, evaluation, development, maintenance and testing of the NAS enroute and terminal automation systems maintained by office of primary interest. Included are documents on policies and procedures related to each model and version of the NAS automation system.

Destroy 2 years after superseded or after associated model is no longer subject to configuration management control.

2. **Configuration management files.** Correspondence relating to configuration decisions of proposed modifications to the NAS hardware and software systems.

Destroy 2 years after rejection or withdrawal.

a. *Baseline specifications of NAS system models and versions.* Consisting of NAS management decisions under configuration management control which specify hardware and software configurations for operational and support systems. Transfer to Federal Records Center when model no longer subject to configuration management control. Federal Records Center destroy 4 years later.

b. *System maintenance records.* Relating to the reporting and resolution of hardware and software discrepancies. Destroy when associated model is no longer subject to configuration management control.

c. *Operational and support systems manuals.* User manuals not under configuration management (7800(2)). Transfer to Federal Records Center when model no longer subject to configuration management control. Federal Records Center destroy 4 years later.

d. *Design records of NAS system models and versions.* Not under configuration management (7800(2)). Transfer to Federal Records Center when model no longer subject to configuration management control. Federal Records Center destroy 4 years later.

7900 FLIGHT INFORMATION RECORDS

1. **Meteorological service files.** Documents maintained by the agency office of primary interest relating to the dissemination of meteorological data.

a. *Correspondence and memorandums pertaining to detailed operations of individual stations and use of services for meteorological dissemination.* Destroy when 3 years old.

b. *Case working papers of studies of fixed communications systems* for meteorological service to determine characteristics of activity involved in providing these services and to realize maximum utilization and effectiveness. Contains summarizations working tables, scheduled information, direct observations of operations used in preparing and developing detailed instructions in manuals of operations (see item 1320). Destroy when made obsolete by new or changed requirements of users of fixed communications services.

2. **Teletype revocable license files.** Case files maintained by agency office of primary interest relating to authorization of licensees to receive meteorological information, containing applications, questionnaires, copies of license, and related correspondence.

a. *Non-government agencies files.* Destroy upon expiration or revocation of license.

b. *Government agencies files.* Destroy application, or its equivalent and notice of discontinuance upon receipt of notice of continuance.

3. **Weather observation files.** Correspondence maintained by regional air traffic management offices relating to weather observations policy and procedures.

Destroy when 3 years old.

4. **Field weather report files.** Weather reports, Weather Bureau Form 1130, or equivalent, accumulated by air traffic management field activities.

Destroy when 90 days old, except when filed as part of incident, accident, or other case file.

7910 AERONAUTICAL CHARTS RECORDS

1. **Field aeronautical chart files.** Aeronautical and weather charts and other maps and drawings maintained by air traffic field facilities.

Destroy when no longer needed.

2. **Aeronautical chart and flight information.** Case files pertaining to aeronautical chart and flight information requirements.

Destroy 2 years after canceled or superseded.

7920 AERONAUTICAL PUBLICATIONS RECORDS

1. **National Flight Data Digest (NFDD)**, consisting of physical and operational changes to airports, navigation aids, communication facilities, airspace and flight procedures affecting aeronautical changes.

Microfilm and destroy original paper copy after the film is determined to be an adequate substitute. Microfilm to be made in accordance with FPMR 101-11.5. Destroy microfilm when 10 years old.

7930 NOTAM SYSTEMS RECORDS

1. **Domestic and international NOTAM file**, consisting of teletype copies and related materials.

a. *NOTAMs maintained by air traffic field facilities.* Destroy 15 days after cancellation.

b. *NOTAMs maintained by the National Flight Data Center.* Destroy 90 days after cancellation.

2. **NOTAM log files.** FAA Form 7930-1, Station NOTAM Accountability Log, and FAA Form 7930-2, FDC NOTAM Receipt Log, or equivalents.

Destroy 15 days after all NOTAMS entered on the form are canceled.

3. **FDC NOTAM files**, consisting of original FDC NOTAM and logbook containing identifier of affected location, description of text, date and time of issuance and cancellation.

Transfer to Federal Records Center when 3 years old. Federal Records Center destroy 5 years later.

7940 AERONAUTICAL FLIGHT DATA RECORDS

1. **Airport validation files**, consisting of records used to collect, validate and disseminate a physical and operational description of all categories of airports in the United States, its territories and possessions to aviation interests.

Transfer to Federal Records Center when 4 years old. Federal Records Center destroy 5 years later.

2. **Airspace, obstruction, airways/route files, flight procedures and NAVAID/communication files**, consisting of records used to collect, validate and disseminate aviation data on the total national aviation system in support of all aviation community requirements.

Transfer to Federal Records Center when 3 years old. Federal Records Center destroy when 8 years old.

CHAPTER 14. FLIGHT SAFETY RECORDS

FLIGHT SAFETY RECORDS. The records described below relate to type, production, and airworthiness certification of aircraft; inspection and surveillance of flight operations and maintenance activities of air carrier and general aviation aircraft; medical examination and certification of airmen, instructors, designated examiners, and air agencies; registration of aircraft and recordation of aircraft encumbrances; flight inspection; and the investigation of aircraft accidents, incidents, and violations.

8000 GENERAL RECORDS

1. General correspondence files. Routine correspondence, reports, and safety related documents pertaining to the administration of programs for the safety of flight of civil aircraft by assuring the airworthiness of aircraft, the competence of airmen, the adequacy of flight operations and maintenance activities, and the evaluation of inflight facility performance but **EXCLUDING** files described elsewhere below.

a. Agency office of primary interest. Transfer to Federal Records Center when 4 years old. Federal Records Center to destroy 6 years after receipt.

b. Regional flight standards offices: correspondence files relating to regional planning, direction, control, and evaluation of assigned programs. Transfer to Federal Records Center when 4 years old. Federal Records Center to destroy 6 years after receipt.

c. Regional flight standards offices: correspondence files other than those described elsewhere in this paragraph. Destroy when 5 years old, **EXCEPT** that field narrative reports are to be destroyed when 2 years old.

d. Flight standards field offices. Destroy when 2 years old.

2. General correspondence files (engineering and manufacturing activities). Correspondence, reports, and related documents concerning issuance of original, amended, and supplemental type certificates.

Destroy when 5 years old, **EXCEPT** files should be screened prior to destruction to determine if certain documents should be withdrawn and filed under 8110, **TYPE CERTIFICATION RECORD**.

3. Aviation safety committee files. Documents pertaining to general activities and recommendations of committees and groups such as Air Space Sub-Committee, Regional Planning Committee, Schedule Air

Coordinating Committee, and similar coordinated aviation safety planning groups.

Destroy when 3 years old.

4. Designee case files (excluding Designated Medical Examiners). Authorizations, inspection reports, periodic reports, and related correspondence pertaining to individuals other than FAA employees designated (or who have made application for designation) to act for or on behalf of the Administrator in conducting and evaluating applicant's performance in the various practical phases of examinations leading to the issuance of or revalidation of airmen certificates of all types and the certification of airworthiness of aircraft and aircraft components.

a. Official case file maintained by office assigned responsibility for documenting such designations. Transfer to Federal Records 2 years after designation becomes inactive. Federal Records Center to destroy after 6 additional years.

b. All others. Destroy 5 years after designation becomes inactive, or when no longer needed for reference, whichever is sooner.

8020 ACCIDENT AND INCIDENT INVESTIGATION AND REPORTING RECORDS

1. Aircraft accident/incident report packages. Case files containing documents reflecting information of possible significance in aircraft accidents near midair collisions, and other incidents, prepared and maintained by air traffic field facilities, including reports, controller and employee witness statements, flight plans and flight progress strips, transcripts, recorder loop and tapes, computer tapes and or data extraction and related materials. **NOTE:** Computer readout data shall not be included in ATC accident packages, but shall remain in the originating facility in accordance with appropriate orders.

a. Formal accident packages containing original documents. Transfer to Federal Records Center after 2 and 1/2 years. Destroy 5 years after date of accident.

b. Formal accident packages containing copies of originals. Destroy 2 and 1/2 years after date of accident.

c. Informal accident packages. Destroy 2 and 1/2 years after date of accident.

d. Incident packages. Destroy 2 and 1/2 years after date of incident.

(EXCEPTION: Packages relating to a particular accident or incident for which specific retention instructions are received will be disposed of on an individual basis. In an instance where a facility removed a tape recording as the result of a preliminary request of another facility or FAA office regarding its use in an accident or incident inquiry and no further data, formal or informal, is requested or provided, that tape recording will be returned to service 90 days after the date removed.)

2. Aircraft accident review files. Reports of aircraft accidents and accident investigation reviewed for determining whether air traffic facilities may have been cause of accident, periodically analyzed for examining trends.

Destroy when 5 years old.

3. Aircraft accident/incident investigation files. Case files relating to the reporting and investigation of aircraft accidents, and near midair collisions and other incidents.

a. Air carrier accident report and investigation files. Transfer closed files maintained by Office of Aviation Safety to Federal Records Center when 2 years old. Federal Records Center to destroy 6 years after receipt in center. Destroy files maintained by region, area and district flight standards activities when necessary followup or corrective action is completed.

b. General aviation accident report and investigation files. Destroy files maintained by Aviation Standards National Field Office after 3 years. Destroy files maintained by all other flight standards activities when necessary followup and corrective action is completed.

c. Incident report and investigation files. Destroy closed files maintained by the Washington Flight Standards Safety Analysis Staff after 3 years. Destroy files maintained by region, area and district flight standards activities when necessary followup or corrective action is completed.

d. Accident/incident investigation files involving Aeronautical Center aircraft or personnel maintained by the AAC Flight Safety Officer. Destroy closed files when 3 years old.

4. WITHDRAWN

5. WITHDRAWN.

6. Aircraft accident and pilot violation studies. Special studies involving aircraft accidents and violations and related causes, trends, etc., including related statistical printouts and other materials, accumulated by the Aviation Standards National Field Office.

Destroy when 10 years old.

8025 MEDICAL INVESTIGATION OF AIRCRAFT ACCIDENTS RECORDS

1. Medical investigation of aircraft accidents records. Case files maintained by Civil Aeromedical Institute documenting the investigation of medical aspects of civil aviation accidents. Includes accidents reports, autopsy and toxicological reports, and related correspondence.

a. Case files involving investigation of fatal accidents. Transfer closed files to Federal Records Center when 5 years old. Federal Records Center destroy when 25 years old.

b. Case files involving investigation of non-fatal accidents. Dispose of in accordance with item 8020 (3).

c. Card file on airmen involved in general aviation accidents of special medical interest. Destroy when 50 years old.

8030 VIOLATION INVESTIGATION AND REPORTING RECORDS

1. Violation report and investigation files. Documents relating to the reporting and investigation of violations of rules, regulations, orders, and minimum standards for flight safety, such as FAA Form 8030-2, Enforcement Investigative Reports, and predecessor forms.

a. Regional Flight Standards offices. Destroy in agency when necessary followup and corrective action is completed.

b. Flight Standards field offices. Destroy in agency when necessary followup and corrective action is completed.

c. Aviation Standards National Field Office. Transfer to Federal Records Center when 6 years old. Federal Records Center destroy 4 years after receipt.

8040 REGULATORY RECORDS

1. Flight Standards regulations files. Case files relating to the development and formulation of Civil Air Regulations (CARs) and Federal Aviation Regulations (FARs), special conditions, airworthiness directives, Airworthiness and Operations Review Program and related rulemaking activities, denials of petitions for rulemaking, grants or denials of exemption petitions and amendments or denials of reconsideration of operations specifications.

a. Agency Office of Primary Interest.

(1) Civil Air Regulations (CARs), Federal Aviation Regulations (FARs), and Airworthiness Directives.

(a) *Original records.* Microfilm in accordance with 41 CFR 101-11.504. Destroy original

records after microfilm is determined to be an adequate substitute for paper records.

(b) *Microfilm of Original Records.* Destroy 15 years after the issued date of final rule or withdrawal notice.

(c) *If not microfilmed.* Transfer to Federal Records Center 10 years from the issued date of final rule or withdrawal notice. Records Center destroy 5 years after receipt.

(2) Special conditions. Transfer to the Federal Records Center 2 years from issued date. Federal Records Center destroy 3 years after receipt.

(3) Airworthiness and Operations Review Program and related rulemaking activities.

(a) *Original records.* Microfilm in accordance with 41 CFR 101-11.504. Destroy original records after microfilm is determined to be an adequate substitute for paper records.

(b) *Microfilm of original records.* Destroy 15 years from the issued date of final rule or withdrawal notice.

(c) *If not microfilmed.* Transfer to Federal Records Center 2 years from the issued date of final rule or withdrawal notice. Records Center destroy when 7 years old.

(4) Denials of petitions for rulemaking.

(a) *Original records.* Microfilm in accordance with 41 CFR 101-11.504. Destroy original records after microfilm is determined to be an adequate substitute for paper records.

(b) *Microfilm of original records.* Destroy 5 years from the denial date.

(c) *If not microfilmed.* Transfer to Federal Records Center 2 years from the denial date. Federal Records Center destroy 3 years after receipt.

(5) Petitions for exemptions.

(a) *Original records.* Microfilm in accordance with 41 CFR 101-1.504. Destroy original records after microfilm is determined to be an adequate substitute for paper records.

(b) *Microfilm of original records.* Destroy 5 years from the grant or denial date.

(c) *If not microfilmed.* Transfer to Federal Records Center 2 years from the grant or denial date. Federal Records Center destroy 3 years after receipt.

(6) Petitions for reconsideration of operations specifications.

(a) *Original records.* Microfilm in accordance with 41 CFR 101-11.504. Destroy original

records when microfilm is determined to be an adequate substitute for paper records.

(b) *Microfilm of original records.* Destroy 5 years from date of amendment or denial date.

(c) *If not microfilmed.* Transfer to Federal Records Center 2 years from the date of amendment or denial. Federal Records Center destroy 3 years after receipt.

b. *Regional Flight Standards offices.* Destroy when 10 years old, EXCEPT that drafts and comments on proposed FARs and CARs are to be destroyed when no longer needed.

c. *Flight Standards field offices.* Destroy when 18 months old.

2. **Flight Standards regulations waiver files.** Documents maintained by Flight Standards field offices relating to waivers of flight safety regulations (other than by air carriers).

Destroy 1 year after expiration of the waiver period.

3. **National Transportation Safety Board (NTSB) Recommendations.** Case files of safety recommendations, resulting from accidents/incidents of various aircraft, correspondence and documents used in the development and formation of airworthiness directives (ADs). Correspondence addressed to the FAA Administrator and Congressional responses.

a. *Place in inactive file when 5 years old.* Transfer to Federal Records Center when 10 years old from issued date of ADs. Federal Records Center destroy 5 years later.

b. *If microfilmed:*

(1) *Original records.* Microfilm in accordance with 41 CFR 101-11.504. Destroy original records when microfilm is determined to be an adequate substitute for paper records.

(2) *Microfilm of original records.* Destroy 20 years from issued date of ADs.

4. **Preambles and Code of Federal Regulations (CFRs).** History sheets, background and justification of rules pertaining to CARs, FARs, and CFRs, as they relate to aviation safety rulemaking activities.

a. *Preamble, CFR, and history sheets.* Microfilm a 5 year block in accordance with 41 CFR 101-11.504. Destroy paper records when microfilm is determined to be an adequate substitute. DO NOT TRANSFER TO FEDERAL RECORDS CENTER.

b. *Microfilm of original records.* Destroy when no longer needed for administrative use.

8050 AIRCRAFT REGISTRATION AND RECORDATION RECORDS

1. **Aircraft registration and recordation files.** Case files containing a history of registered aircraft, including ownership information, lien status, and airworthiness data, and related correspondence and indexes.

a. If microfilmed.

(1) Original records. Microfilm in accordance with 41 CFR 101-11.507C(1). Destroy original records after microfilm is determined to be an adequate substitute for paper records.

(2) Microfilm of original records. Destroy when it is determined that the aircraft is no longer in existence.

b. If not microfilmed. Destroy when it is determined that the aircraft is no longer in existence.

2. **Engine, propeller, and spare parts files.** Card files containing lien information on parts which are used as a cross-reference to conveyances generally filed in aircraft registration and recordation file.

Destroy when it is determined that the part is no longer in existence.

3. **Dealer's aircraft, registration certificates files.** Case files recording holders of dealers' aircraft registration certificates, including applications and related correspondence.

Destroy 3 years after expiration of certificate.

4. **Aircraft registration correspondence files.** Correspondence pertaining to regional and district office activity in connection with aircraft registration, ownership, registration accuracy checks, and related matters.

Destroy when 2 years old.

8060 AIRMAN RECORDS

1. **Airman certification files.** Files documenting the history of official actions in the issuance of certificates and ratings of airmen, and related correspondence.

a. Aeronautical Center Airmen and Aircraft Registry.

(1) Original records. Destroy in agency after microfilming and the film is determined to be an adequate substitute for the paper records, EXCEPT that routine correspondence not having a direct bearing on the case, such as transmittals and duplicate requests for fees, are to be destroyed when 1 year old. Microfilm to be made in accordance with FPMR 101-11.5.

(2) Microfilm copies of the original records. Destroy when sixty years old.

b. Flight Standards field offices. Destroy when 1 year old.

2. **Student pilot certification files.** Case files relating to the certification of student pilots, and related correspondence.

Destroy 1 year after expiration of certificate.

3. **Airman certification correspondence files.** Correspondence maintained by regional and field offices pertaining to qualifying experience, examinations, and other general criteria required for certification of airmen.

Destroy when 2 years old.

4. **Crewmember Passport Files.** Applications, such as FAA Form 8066 or equivalent, photographs of crewmembers (U.S. Citizens employed on U.S. registered aircraft and commercial operators which are used in international air commerce.)

Place in inactive files when crewmember certificate is surrendered or cancelled. Transfer inactive files to FRC when 5 years old. Destroy when 15 years old.

5. **Crewmember Correspondence to the State Department.** These files consist of applicants requests, lists of applicants, approved applications, and correspondence to and from the State Department, and verifications of approved certificates.

Destroy when 2 years old.

8080 AIRMAN WRITTEN TEST RECORDS

1. **Airman written test active files.** Master copies of current tests, and related revisions, comments, statistical analyses, and significant background documents, maintained by the Aviation Standards National Field Office.

Transfer to airman written test inactive file (item 8080 (2) below) when test becomes inactive.

2. **Airman written test inactive files.** Master copies of tests that have become inactive, with related test item, testing situation and applicant performance data and other materials transferred from the airman written test active files (item 8080 (1) above).

Destroy when 4 years old.

3. **Airman written test application files.** Application forms and related answer sheets completed by applicants for airman certificates.

a. Originals maintained by the Airman/Aircraft Registry. Transfer to Federal Records center when 1 year old. Federal Records Center destroy 3 years after receipt.

b. Copies of completed answer sheets retained by offices administering the tests. Destroy when 60 days old by burning, or other authorized means. Airman written test distribution files. Correspondence, reports and other records maintained by the Aviation Standards National Field Office distribution office and by re-

gional and field offices relating to the distribution and accountability of airman written tests.

Destroy 1 year after the test is superseded or otherwise becomes inactive.

8100 AIRWORTHINESS CERTIFICATION RECORDS

1. Aircraft airworthiness maintenance files. Documents maintained by flight standards and aircraft certification field offices relating to airworthiness in connection with maintenance items not anticipated in manufacturers' manuals or interpretation of airworthiness standards set forth in regulations as applied to specific maintenance problems.

Destroy when 5 years old.

8110 TYPE CERTIFICATION RECORDS

1. Aircraft engineering files. Case files reflecting the complete case history of engineering investigation, testing and disposition (approved or disapproved) of requests for Type Certificate or supplemental Type Certificate or amendments for aircraft, aircraft components, aircraft propellers, aircraft accessories and accessory kits, and aircraft engines. Consist of applications, correspondence, engineering data, drawings, and specifications related to the prototype; and project data airworthiness certificates, directives, correspondence and publications related to subsequent modifications of the character required by regulations to be made the subject of engineering investigation for comparison with airworthiness standards for inclusion on the Type Certificate.

a. Aircraft case files maintained by regional/field aircraft certification offices. Transfer inactive files to Federal Records Center. FRC to destroy when aircraft no longer in existence.

b. Equipment case files maintained by regional/field flight standards offices. Destroy in agency 10 years after it is established that a specific type of equipment no longer exists.

2. Type certification technical data files (if filed separately from files in item 8110 (1) above). Includes alterations and repair technical data, drawings, test reports, descriptive data and specifications comprising the type design for type certificated aircraft models.

Transfer data file pertaining to certificated models to the Federal Records Center when only a few aircraft remain in service; transfer technical data files pertaining to uncertificated, incomplete projects when the project becomes inactive. FRC destroy when aircraft no longer in existence.

3. WITHDRAWN. (See Item 8110 (1)).

8120 PRODUCTION CERTIFICATION RECORDS

1. Manufacturing inspection and production files. Correspondence and other records maintained by regional manufacturing branch offices and Manufacturing Inspection District Offices (MIDO's) pertaining to general inspection and production of manufacturers.

Destroy when 5 years old.

2. Field production certification files. Conformity inspection reports; quality assurance systems analysis review (QASAR) reports, DMIR activity reports; airworthiness certificates; and related correspondence, regarding original issuance and continuation of production certificates.

Destroy 1 year after production certificate is canceled, EXCEPT QASAR reports may be destroyed upon close out of corrective action.

8130 ORIGINAL AIRWORTHINESS RECORDS

1. Field airworthiness certification and approval files. Correspondence, applications, statements of conformity, copies of certificates, number assignment cards, and related documents maintained by regional manufacturing branch offices and Manufacturing Inspection District Offices (MIDO's).

a. Destroy 2 years after certificate is issued.

b. Destroy in agency case files when 2 years old. Statements of conformity and airworthiness certificates to be retained in issuing office until aircraft no longer in existence.

c. Export airworthiness files. Destroy in agency case files when 2 years old. Statements of conformity and airworthiness certificate to be retained by the issuing office until aircraft no longer in existence.

8140 WITHDRAWN (See 8130)

8200 FLIGHT INSPECTION RECORDS

1. General correspondence files. Routine correspondence, reports, and related papers pertaining to the administration and operation of programs of flight inspection and evaluation.

a. Agency office of primary interest. Destroy when 6 years old EXCEPT that correspondence pertaining to maintenance and operation of aircraft assigned for flight inspection purposes is to be destroyed when 3 years old.

b. Aviation Standards National Field Office and regional Flight Standards offices. Destroy when 5 years old.

2. Flight inspection performance files. Workload data regarding number of facilities checked, average

and total hours on types of facilities, number and type of discrepancies discovered, and utilization of aircraft.

a. *Aviation Standards National Field Office, Flight Inspection Field Offices, and regional reports.* Destroy when 1 year old.

b. *Monthly summaries.* Destroy when 5 years old unless accrued in place of annual summaries.

c. *Annual summaries.* Destroy when 6 years old. If annual summaries are not prepared, monthly or quarterly summaries will be retained to the 6 year limit.

3. Flight inspection report files. Reports of flight inspection of aids to air navigation, and related recorder charts, graphs bearing error reports, and correspondence.

a. *Flight inspection reports.*

(1) Flight inspection field offices. Destroy 2 years after evidence of microfilming is furnished to the originating office by the Aviation Standards National Field Office. A reproduced copy of the original report constitutes legal documentation (Ref: 28 U.S.C. 1732).

(2) Aviation Standards National Field Office (AVN). Destroy after microfilm copies have been determined to be adequate substitutes.

b. *Microfilm copies of flight inspection report.*

(1) Official record copy maintained by FSNFO. Destroy 5 years after decommissioning of facility.

(2) All other microfilm copies. Destroy when 2 years old.

(3) Aviation Standards National Field Office (AVN). Transfer duplicate film copy of flight inspection reports to the Federal Records Center on yearly basis. Federal Records Center to destroy 5 years following decommissioning of facility.

c. *Flight inspection recorder charts and associated data maintained by flight inspection field offices.*

(1) Site evaluation records. Destroy 2 years after the facility is commissioned or the site is rejected.

(2) Commissioning records. Destroy 5 years after the facility is decommissioned.

(3) Periodic, special and surveillance flight inspection records. Retain one-year history of facility in working files, EXCEPT "after accident flight check data." Destroy "after accident flight check data" 5 years after anniversary date of accident.

(4) Shipboard TACAN records. Destroy when 2 years old.

d. *SAFI raw data files.* Destroy when superseded.

e. *Data sheets, polar plots of coverage patterns, error curve graphs and other flight inspection reporting data not covered elsewhere.* Destroy 5 years after the related facility is decommissioned.

4. Instrument approach procedure files (FAA Forms 8260 series or equivalent). Destroy when superseded or canceled, EXCEPT those procedure files in use at the time of an accident/incident which may result in litigation which are to be destroyed 7 years after date of accident/incident.

8300 MAINTENANCE RECORDS

1. Technical correspondence files. Technical correspondence pertaining to aircraft, aircraft components, engines, propellers, instruments, accessories, and maintenance thereof (exclusive of files maintained in aircraft engineering case files (item 8110 (1))).

a. *Regional flight standards offices.* Destroy when 6 years old.

b. *Flight Standards field offices.* Destroy when 3 years old.

2. Air carrier maintenance files. Case files documenting the certification, inspection, and surveillance of maintenance activities of scheduled and non-scheduled air carriers.

a. *Regional flight standards offices.* Destroy when 10 years old EXCEPT that basic certificates, specifications, and authorizations are to be destroyed 8 years after being superseded or canceled. Transfer to Federal Records Center after 5 years, EXCEPT that basic certificates, specifications, and authorizations are to be transferred 5 years after being superseded or canceled.

b. *Flight Standards field offices.* Destroy when 5 years old, EXCEPT that basic certificates, specifications, and authorizations are to be destroyed 5 years after being superseded or canceled.

3. Approved schools files. Case files documenting the certification and inspection of schools offering courses leading to the obtaining of a maintenance airman certificate, including those whose physical plant and quality of instructions meet the criteria for an "Approved School" rating or who have made application for such rating.

a. *Flight Standards field offices.* Destroy 3 years after certificate becomes inactive or is canceled.

b. *All others.* Destroy 3 years after school is discontinued, or when no longer needed for reference, whichever is sooner.

4. Approved repair station files. Case files documenting the certification, inspection, and surveillance of repair stations, consisting of applications, certificates and ratings, inspection reports, and related correspondence.

a. *Flight Standards field offices.* Destroy applications and related basic documents 3 years after certificate becomes inactive or is canceled.

b. *All others.* Destroy 3 years after certificate becomes inactive or is canceled, or when no longer needed for reference, whichever is sooner, EXCEPT for surveillance and inspection reports which will be destroyed after 2 years.

5. **Aircraft repair and alteration files.** Case files maintained by flight standards field offices pertaining to modification conversions, adaptations, etc., to aircraft structures components, equipment and accessories.

Destroy case records of engineering changes requiring revision of approved type specifications 5 years after approval or abandonment of the project; destroy residue of files after 1 year.

6. **Air carrier contracts and agreements.** Case files of agreements made between airlines and contractors for aircraft and component maintenance and/or overhaul such as retreading tires; overhauling engines, instruments, propeller governors, fuel pumps, generators, starters, magnetos; and recovering of control surfaces.

Destroy 1 year after totally canceled or superseded.

7. **Service difficulty program files.** Reports documenting the occurrence of mechanical malfunctions or defects endangering the safe operation of civil aircraft, and related summaries, microfilm, computer listings and data stored on magnetic tape.

a. **WITHDRAWN.**

b. *Reporting forms.* FAA Form 8070-1, Service Difficulty Report, and FAA Form 8010-4 (formerly FAA Form 8330-2), Malfunction or Defect Report. Destroy when 1 year old or when the report status is closed, whichever is later.

c. *Microfilm of reporting forms and related documents.* Destroy when 5 years old.

d. *Master tape record,* containing data extracted from source documents. Erase data when 5 years old, at 90 day intervals.

e. *Computer listings,* consisting of scheduled and special interrogation listings. Destroy when 5 years old or when no longer needed, whichever is earlier.

f. *Daily summaries* of service difficulty reports.

(1) Master copy maintained by Aviation Standards National Field Office. Destroy when 2 years old.

(2) All others. Destroy when 1 year old.

8. **Mechanical Reliability Report (MRR) and Mechanical Interruption Summary (MIS) systems data files.**

a. *Mechanical Reliability Report (MRR) system data files.* Data created prior to the service difficulty

data system, and stored on magnetic tape by the Aviation Standards National Field Office.

(1) Master tape record. Erase after microfilming and film is determined to be an adequate substitute.

(2) Microfilm of the taped data. Destroy when 5 years old.

b. *Mechanical Interruption Summary (MIS) system data files.* Data retained in the district office. Destroy when 1 year old.

9. **General aviation aircraft surveillance files.** Documents relating to the maintenance surveillance of general aviation aircraft. Included are notices of aircraft condition, malfunction and defects reports, inspection reports and related correspondence.

Destroy when 2 years old.

10. **Air carrier aircraft engine utilization files.** Monthly reports of engine utilization, overhaul, shutdowns and similar data, and related computer listings and publications, maintained by the Aviation Standards National Field Office.

a. *Utilization reports.* Destroy when 2 years old.

b. *Computer listings.* Destroy when 10 years old.

c. *Aircraft Utilization and Propulsion Report.* Retain 1 master copy.

11. **Operations specifications—maintenance Part "D" files.** FAA Form 1014 or equivalent, listing authorizations and limitations on air carriers that are not specifically covered in formal regulations, and related correspondence.

a. *Regional Flight Standards Divisions.* Destroy 5 years after cancellation.

b. *Air Carrier District Offices.* Destroy 5 years after cancellation.

12. **Air carrier maintenance manuals.** Manuals maintained by Flight Standards Field Offices for each type of aircraft operated by assigned air carriers.

Destroy when superseded or obsolete.

13. **WITHDRAWN.**

8400 OPERATIONS RECORDS

1. **Air carrier operations files.** Case files documenting the certification, inspection, and surveillance of operations of scheduled and non-scheduled air carriers.

a. *Regional Flight Standards Offices.* Destroy when 10 years old, EXCEPT that basic certificates, specifications, and authorizations are to be destroyed 8 years after being superseded or canceled. Transfer to Federal Records Center after 5 years, EXCEPT that basic certificates, specifications, and authoriza-

tions are to be transferred 5 years after being superseded or canceled.

b. *Flight Standards Field Offices*. Destroy when 5 years old, EXCEPT that basic certificates, specifications, and authorizations are to be destroyed 5 years after being superseded or canceled.

2. **Approved schools case files**. Case files documenting the certification and inspection of schools offering courses leading to the obtaining of an operations airman certificate, including those whose physical plant and quality of instructions meet the criteria for an "Approved School" rating or who have made application for such rating.

a. *Flight Standards Field Offices*. Destroy 3 years after certificate becomes inactive or is canceled.

b. *All others*. Destroy 3 years after school is discontinued, or when no longer needed for reference, whichever is sooner.

3. **Air taxi files**. Case files maintained by Flight Standards Field Offices containing all basic certificates, authorizations, operating and maintenance data, reports of inspections and other records pertaining to each air taxi or non-scheduled operation utilizing aircraft under 12,500 pounds gross weight.

Destroy basic certificates and data 3 years after being superseded or canceled; destroy all other records when 3 years old.

4. **Industrial flying files**. Correspondence and reports concerning aerial patrol, banner towing, wildlife census taking, mineral exploration and similar operations.

Destroy when 2 years old.

5. **Agricultural aircraft operations files**. Case files documenting the certification, inspection, and surveillance of agricultural aircraft operations.

Destroy 3 years after certificate becomes inactive or is canceled.

6. **Rotorcraft external load operations files**. Case files documenting the certification, inspection, and surveillance of rotorcraft external load operations.

Destroy 3 years after certificate becomes inactive or is canceled.

7. **Instrument pilot training files**. Correspondence pertaining to instrument pilot training for air carrier pilots, air line transport rating, and flight and academic test procedures.

Destroy when 5 years old.

8. **Air carrier personnel training and checking activities files**. Documents reflecting the amount of training and periodic checks conducted by air carriers, the results thereof, and related reports.

Destroy when 5 years old.

9. **WITHDRAWN**. (See Item 8200 (4)).

10. **WITHDRAWN**.

11. **Special flight permit files**. Documents relating to issuance of ferry permits and manufacturers product flight test permits.

Destroy 2 years after completion of action for which permit is issued, or after need has been exhausted.

12. **Safety improvement report files**. FAA Form 8740-5, or equivalent, and related correspondence.

Destroy 1 year after completion of requested action.

13. **Air Carrier Operations Manuals**. Manuals maintained by Flight Standards Field Offices for each type of aircraft operated by assigned air carriers.

Destroy when superseded or obsolete.

14. **WITHDRAWN**.

8440 GENERAL AVIATION INSPECTION AND SURVEILLANCE RECORDS

1. **General aviation surveillance files**. Documents accumulated in the inspection and surveillance of flight operations of general aviation aircraft.

Destroy when 2 years old.

8500 AEROMEDICAL CERTIFICATION RECORDS

1. **Medical examination clear files**. Reports of medical examination of airmen containing no significant pathology, arranged numerically by number reflecting year and sequence of receipt.

Original records. Destroy after 3 years.

2. **Medical examination pathology files**. Case files consisting of applications for medical certificates and other related documents evidencing the physical status of airmen having medical disabilities, disorders, diseases.

a. *Original records*. Transfer original records 5 years after case is closed to the Federal Records Center. Federal Records Center destroy 50 years after case is closed.

b. *Microfilmed records*. Microfilm original active records, if and when possible. Microfilm in accordance with 41 CFR 101-11.504. Destroy original record after microfilm is determined to be an adequate substitute for paper records. DO NOT transfer microfilm to the Federal Records Center. Destroy microfilm 50 years after record becomes inactive.

3. **X-ray files**. X-rays made in connection with the medical certification of airmen maintained by regional medical offices.

a. *Pathological* (further action required). Destroy when seventy-five years old.

b. *Non-Pathological*. Destroy when 2 years old.

4. **Electrocardiogram files.** EKG tracings generated in medical examinations of airline transport pilots, maintained by the Civil Aeromedical Institute.

a. *Original tracings*. Destroy after microfilming and the film is determined to be an adequate substitute for the paper record. Microfilm will be made in accordance with FPMR 101-11.5.

b. *Microfilm copies*. Destroy 50 years after last inactive status.

5. **Medical examination locator files.** Microfilm and microfiche containing file locator information on airmen by name, date of birth, medical identification number (MID), and pathology number (PI).

Destroy inactive records when 50 years old.

8520 MEDICAL EXAMINER RECORDS

1. **Designated examiner case files.** Case files consisting of applications for appointment as aviation medical examiner, annual renewal agreements, and related correspondence.

Transfer to Federal Records Center 10 years after dedesignation. Federal Records Center destroy 25 years after dedesignation.

2. **Computer master files.** Tape record of personal identification and location information on current and former Aviation Medical Examiners (AMEs).

Destroy 2 years after death or 25 years after dedesignation.

CHAPTER 15. AVIATION MEDICINE RECORDS

AVIATION MEDICINE RECORDS. These records relate to the development of standards, rules, and regulations governing the medical fitness of airmen and other persons whose health affects safety in flight; medical examination and certification of airmen; and research in medicine affecting civil aviation. (See 3910 for administration of employee and environmental health services.)

9000 GENERAL RECORDS

1. General correspondence files. Correspondence, reports, and related records documenting the development of agency medical plans, policies, standards, and procedures, and the direction and evaluation of agency medical programs, and records relating to significant transactions of continuing interest.

a. Correspondence of the Office of Aviation Medicine and the Civil Aeromedical Institute of historical nature documenting the establishment, development, plans, policies, standards, and procedures of agency

medical programs. PERMANENT. Transfer to Federal Records Center when 30 years old. Offer to NARA when 40 years old.

b. General correspondence of medical program activities, documenting the administration and operation of FAA medical programs. Transfer to Federal Records Center when 4 years old. Federal Records Center destroy when 29 years old.

2. Regional activity reports. FAA Form 1380-9, Flight Surgeon Activity Report.

Destroy after 2 years.

9200 AEROMEDICAL CERTIFICATION RECORDS (WITHDRAWN, See Item 8500)

9210 MEDICAL EXAMINER RECORDS (WITHDRAWN, See Item 8520)

9300 ENVIRONMENTAL HEALTH RECORDS (WITHDRAWN, See Item 3910)

CHAPTER 16. RESEARCH AND DEVELOPMENT RECORDS

RESEACH AND DEVELOPMENT RECORDS. These records are created in connection with technical and scientific research and development programs relating to the development of new systems, facilities, and devices and the improvement or refinement of existing systems, facilities, and devices, including aircraft, aircraft engines and equipment. They involve all phases of research and development, including plan ning and the establishment of requirements and preliminary characteristics, experimentation, design, engineering, testing, and evaluation.

9500 GENERAL RECORDS

1. General correspondence files. Routine administrative correspondence, reports and related records maintained by the agency office of primary interest relating to the administration of the planning, management, evaluation, and accomplishment of research and development programs, policies, and procedures.

Transfer to Federal Records Center when 5 years old. Federal Records Center destroy 20 years later.

2. Technical boards and committees files. Records of boards and committees studying assigned technical research and development problems, including requirements for or the authorization of projects, the scheduling and phasing of projects or programs, and the control and coordination of research and development project phases. Consists of agendas, minutes of meetings, and documents relating to the establishment, revision, or termination of projects; and papers reflecting the group's actions, recommendations, and accomplishments.

a. Official files of the committee or board maintained by the chairman, secretary, or other designee. Transfer closed files to Federal Records Center 2 years after closing. Federal Records Center destroy 25 years later.

b. Copies of committee or board files distributed to members. Destroy when superseded or obsolete or upon termination of membership, whichever is earlier.

3. Research and development project files. Case files maintained by laboratories and other activities and offices responsible for research and development functions reflecting a complete history of each project or task from initiation through research, development, design, and testing to completion. Consists of project authorization documents; project cards; technical characteristics; test and trial results; drawings, specifi-

cations, and photographs considered essential to document design, modifications, and engineering development; technical and progress reports, notices of completion; and correspondence influencing the course of action taken on a project.

Transfer to closed project file upon completion or termination; transfer closed file to Federal Records Center 3 years after closing. Federal Records Center destroy 25 years later.

4. Research and development project working and control files. Copies of documents essentially duplicated in project case files; preliminary sketches, drawings, specifications, photographs, and other working papers determined not to be of sufficient value to incorporate into project case files; and related project control and progress control records.

Destroy upon completion or cancellation of project or when purpose has been served.

5. Laboratory notebooks. Notebooks containing technical and scientific data accumulated in the conduct of research and development projects.

a. Notebooks containing data determined to be duplicated in technical reports or in project case files, or to be of such a nature that their retention would not add significantly to the project file. Destroy 6 months after completion or termination of related project.

b. All other notebooks. Transfer to Federal Records Center when 5 years old. Federal Records Center destroy 20 years later.

6. Technical report files. Official file copy of each technical report or unpublished manuscript of report prepared in connection with a project or task.

a. Record copy. Permanent Transfer to Federal Records Center when 5 years old. Offer to NARA 20 years later.

b. All other copies. Destroy when no longer needed for reference.

7. Drawing and specification files. Official file copy of each drawing and specification showing final design and technical characteristics of items developed.

Transfer to Federal Records Center 1 year after superseded. Federal Records Center destroy 25 years after superseded.

8. Progress report files. Reports showing initiation, progress, or degree of completion of projects or tasks,

submitted by research facilities, laboratories, or project offices to higher authority, and related papers.

a. *Reporting office copies.* Destroy 1 year after completion or cancellation of related projects.

b. *Feeder reports used for compilation of consolidated reports.* Destroy upon submission of consolidated reports.

c. *Consolidated reports, and any feeder reports used for preparation thereof containing technical or scientific data not fully documented in the consolidated reports.* Transfer to Federal Records Center when 5 years old. Federal Records Center destroy 20 years later.

9. **Feasibility study files.** Documents relating to the exploration of the feasibility of unsolicited proposals for projects received from individuals.

a. *Proposals resulting in authorized projects.* File in related project case file and dispose of accordingly.

b. *Rejected proposals.* Destroy 5 years after completion of investigation.

10. **Research contract and agreement files.** Case files of formal contracts and agreements with universities, commercial concerns, individuals, and others for research and development work, and related papers, but EXCLUDING technical or scientific data furnished FAA pursuant to the terms of the contracts or agreements and copies of contractual documents filed in project case files (item 9500 (3)).

Apply provisions of item 4400 (3).

11. **Technical reference files.** Copies of technical reports, specifications, drawings, and other data received from other sources, used as a reference source in the performance of research and development functions, but EXCLUDING official file copies of these documents.

Destroy when superseded or obsolete.

