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| <b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>   |  | LEAVE BLANK (NARA use only)   |  |
| To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001   |  | JOB NUMBER <b>NI-138-09-2</b>   |  |
| 1 FROM (Agency or establishment)<br>Federal Energy Regulatory Commission   |  | Date Received<br><b>10/6/08</b>   |  |
| 2 MAJOR SUB DIVISION<br>Office of Enforcement  |  | NOTIFICATION TO AGENCY<br><br>In accordance with the provisions of 44 U S C 3303a, the disposition request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 |  |
| 3 MINOR SUBDIVISION  |  |   |  |
| 4 NAME OF PERSON WITH WHOM TO CONFER<br>Katherina Quijada-Cusack   | 5 TELEPHONE<br>202-502-8748  | DATE<br><b>2/2/2009</b>   | ARCHIVIST OF THE UNITED STATES<br><i>Susan R. Cummings</i><br>Acting Director, DWM |
| <b>6 AGENCY CERTIFICATION</b><br>I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>  2  </u> page(s) are not needed now for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, |  |   |  |
| <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested   |  |   |  |
| DATE<br>09/25/2008   | SIGNATURE OF AGENCY REPRESENTATIVE<br><i>Katherina Quijada-Cusack</i>  |   | TITLE<br>Records Management Officer  |
| 7 ITEM NO  | 8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION   | 9 GRS OR SUPERSEDED JOB CITATION  | 10 ACTION TAKEN (NARA USE ONLY)  |
|  | FEDERAL ENERGY REGULATORY COMMISSION<br>FERC RECORDS SCHEDULE II – GENERAL RECORDS<br>PART V – Office of Enforcement<br><br>Please see attached media neutral schedule and revisions |   |  |

FEDERAL ENERGY REGULATORY COMMISSION  
FERC SCHEDULE II – GENERAL RECORDS  
PART V - Office of Enforcement

1. ENFORCEMENT INVESTIGATION FILES (N1-138-88-2)<sup>1</sup>

Informal investigations conducted by the Office of Enforcement.

DISPOSITION: Temporary; Destroy when 5 years old.

2. AUDIT FILES – External (FA, PA Dockets) (formerly N1-138-88-2)<sup>2</sup>

Financial and operational audits of jurisdictional companies conducted by FERC staff to evaluate whether they are in compliance with the statutes, rules, regulations and orders of the Commission.

Records include commencement letters; data collected from observations, inquiries, site visits, interviews, testing and other publicly available records; audit findings; draft audit reports; company comments; compliance plans and quarterly compliance reports; and other working papers which support the audit staff's findings, conclusions and recommendations.

DISPOSITION: Temporary; Destroy 7 years after audit is closed.

3. FINAL AUDIT REPORT (FA, PA Dockets) (formerly N1-138-88-2)<sup>3</sup>

The final report which summarizes the audit findings, conclusions and recommendations.

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<sup>1</sup> This schedule is being moved from FERC Records Schedule II, Part III/Office of General Counsel, Item 2. Part III will be renumbered accordingly. We are also removing the reference to 2.B.

<sup>2</sup> This schedule is being revised. The previous retention period was 20 years, and work papers were to be destroyed when no longer needed. It is also being moved from FERC Records Schedule VII, Part III/Finance Accounting and Operations/Item 5.A. Docket prefixes are also being added to identify the fact that these are financial (FA) or operational (PA) audits.

<sup>3</sup> This report will be retained in accordance with the previously approved retention authority. Docket prefixes are being added to identify the fact that these are financial (FA) or operational (PA) audits.

DISPOSITION: Temporary; Destroy when 25 years old.

4. CONTESTED AUDIT FILES (FA, PA Dockets) (formerly N1-138-88-2)<sup>4</sup>

Case files in formal proceedings resulting from disagreements between utilities and the Commission's audit staff. Files include all notices, orders, petitions, requests, motions, hearing records including exhibits, transcripts and ALJ documents, opinions, and filed correspondence.

DISPOSITION: Temporary; Destroy when 25 years old.

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<sup>4</sup> This schedule is being revised to decrease the retention period by 5 years to 25 years. It is being moved from Schedule III-Docketed Formal Case Files/Part V-Miscellaneous Filings Common to All Dockets/Subpart A-Rate Filings and Investigations; Collections/Item 3. Docket prefixes are being added to identify the fact that these are financial (FA) or operational (PA) audits.