

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

JOB NO

NCI-434-81-2

DATE RECEIVED

May 21, 1981

NOTIFICATION TO AGENCY

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

12/9/81
Date

Robert W. King
Archivist of the United States

TO: GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (AGENCY OR ESTABLISHMENT)

U.S. Department of Energy

2. MAJOR SUBDIVISION

Economic Regulatory Administration

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Robert K. Carpenter

5. TEL EXT

252-4357

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 3 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C. DATE

D. SIGNATURE OF AGENCY REPRESENTATIVE

E. TITLE

Howard H. Raiken
Howard H. Raiken

Director, Div. of Management Systems Analysis

7. ITEM NO

8. DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

9. SAMPLE OR JOB NO

10. ACTION TAKEN

1

AUDIT FILES (OF PETROLEUM COMPANIES) consisting of records of audits of the books and records of petroleum companies conducted by the Economic Regulatory Administration, Department of Energy, and its predecessor organization, the Federal Energy Administration during the years 1974 through 1982. Audits determined compliance with Federal petroleum pricing and allocation regulations.

audit case files

The ~~records~~ are divided into two major divisions: (a) the file referred to as the "permanent" file contains general information on the company, e.g., corporate charters, minutes of board of director's meetings, and Dun and Bradstreet reports which are unrelated to the audit; and (b) the audit file, referred to as the "working paper" file which contains the auditors' worksheets, records of interviews, audit reports, and related documentation of the audit.

a. Audit case files where a violation was determined to have occurred.

(1) Where restitution accomplished through direct refund or credits, rollbacks, or bank adjustments.

115-107

Closed Out: 12-16-81: J.T.D. Copies to ALL PRS & WTS

**All changes made in this schedule agreed to by Bob Carpenter per telecons R. Mosley and J. Wallace. H. Raiken has concurred.*

NO MASS DATA CHANGE REQUIRED

STANDARD FORM 115
Revised April, 1975
Prescribed by General Services Administration
FPMR (41 CFR) 101-11.4

mm
4/21/81

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS) | 9. SAMPLE OR JOB NO. | 10. ACTION TAKEN |
|----------------|--|----------------------------|---------------------|
| | <p>8/28/81 W Destroy 5 years after retirement to Federal Archives and Records Center (FARC).</p> <p>(2) Where settlement amount is paid into either a government or private escrow account.</p> <p>8/28/81 W Destroy 5 years after retirement to Federal Archives and Records Center (FARC).</p> <p>b. <u>Audit case files where no violation was determined to have occurred.</u></p> <p>(1) Audit case files of retail gasoline stations.</p> <p>8/28/81 W Destroy immediately. Do not retire to FARC.</p> <p>(2) All other audit case files.</p> <p>8/28/81 ✓ Destroy January 1, 1983.</p> <p>c. <u>Copies of audit records.</u></p> <p>(1) Copies of retail gasoline station audit records.</p> <p>8/28/81 ✓ Destroy immediately. Do not retire to FARC.</p> <p>(2) All other copies of audit records.</p> <p>8/28/81 W Destroy when the program manager determines that the files are no longer necessary for administrative purposes. Do not retire to FARC.</p> | | |
| 2. | <p><u>REGIONAL OFFICE APPLICATIONS RECORDS FOR ASSIGNMENT OF A SUPPLIER AND/OR BASE PERIOD SUPPLY VOLUME.</u></p> <p>a. <u>Application case files consisting of applications received from oil companies during the years 1974 through 1981 requesting assignment of a supplier or adjustment of base period supply volume under the Mandatory Petroleum Products Allocation Program. Files contain either an ERA Form 99, "Request for Assignment of a Supplier and/or Base Period Supply Volume," or the Federal Energy Administration (FEA)</u></p> | | |

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS) | 9. SAMPLE OR JOB NO. | 10. ACTION TAKEN |
|----------------|---|----------------------------|---------------------|
| | <p>Form 17, "Mandatory Petroleum Products Allocation Program Request for Assignment of a Supplier or Adjustment of Base Period Supply Volume." Applications include proprietary data relating to historical volume sold and prices charged. Files also contain work papers reflecting analytical data and supporting narrative and statistical justification. Included is either an assignment or a rejection by the approving official, and copies of documents issued to the applicant or others related to the case.</p> <p style="text-align: center;">Destroy 2 years after the date of the last entry to the case file.</p> <p>b. <u>Application case file numeric logs and alphabetic indexes of assigned cases.</u></p> <p style="text-align: center;">Destroy 2 years after the date of the last entry to the log or the alphabetic index.</p> | | |