

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

LEAVE BLANK	
JOB NO	
NC - 398-76 - 1	
DATE RECEIVED	
OCT 21 1975	
NOTIFICATION TO AGENCY	
<small>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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10</small>	
11-24-75 <small>Date</small>	<i>James B. Rhoads</i> <small>Archivist of the United States</small>

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

1. FROM (AGENCY OR ESTABLISHMENT)  
Department of Transportation

2. MAJOR SUBDIVISION  
Office of the Secretary

3. MINOR SUBDIVISION  
Office of Audits

4. NAME OF PERSON WITH WHOM TO CONFER  
Harry R. Jansen

5. TEL EXT  
x64103

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

11/13/75	<i>James B. Rhoads</i>	OST/RMO
C. DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE
10/16/76	<i>John W. Galloway</i> for Chief, Fac. Mgmt. Br.	Chief, Facilities Management Branch

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1	<p style="text-align: center;"><u>Headquarters and Regional Internal Audit Offices</u></p> <p>The records described in this schedule pertain to the management and operations of DOT's internal audit activities. The primary purpose of internal audits in the Department is to furnish management with objective appraisals concerning the programs and functions they are responsible for and to make constructive contributions to the improvement of Department activities and programs by focusing on conditions in need of correction or improvement and by recommending changes or other actions. The schedule describes the pertinent records categories and specifies the retention period and disposition for each.</p> <p><u>DIRECTIVE FILES</u></p> <p>Records of audit function policy, standards and technical guidance with related changes, including manual. (one copy kept in Headquarters, Office of Audits)</p> <p style="text-align: center;">Permanent. Offer to National Archives when 20 years old.</p>		

## Request for Records Disposition Authority – Continuation

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
2	<p><u>ADMINISTRATIVE OPERATIONS FILES</u></p> <p>This category includes all correspondence, memoranda and other documents which are general in nature and/or relate to the administrative operations of the Office of Audits. These files are closed at the end of each fiscal year.</p> <p>(a) When closed files are three years old separate those having administrative reference value.</p> <p style="padding-left: 40px;">Transfer to FRC when three years old. Destroy when eight years old.</p> <p>(b) All others</p> <p style="padding-left: 40px;">Destroy when three years old.</p>		
3	<p><u>FINAL AUDIT REPORTS</u></p> <p>Audit reports are considered closed when all final actions have been taken on observations reported.</p> <p>(a) One copy of final reports determined by the agency as having precedential significance concerning policy formulation. (To be kept in Headquarters, Office of Audits)</p> <p style="padding-left: 40px;">Permanent. Offer to National Archives when 20 years old.</p> <p>(b) One copy of final reports having no precedential significance (To be kept in Headquarters, Office of Audits) and all other copies.</p> <p style="padding-left: 40px;">Destroy when 5 years old.</p>		
4	<p><u>AUDIT WORKING PAPERS</u></p> <p>Working paper files are considered closed when all final actions have been taken on the related audit reports.</p> <p style="padding-left: 40px;">Transfer to the FRC when three years old. Destroy when ten years old.</p>		

**Request for Records Disposition Authority - Continuation**

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
5	<p><u>AUDIT SURVEY WORKING PAPER FILES</u></p> <p>These files relate to an auditable entity rather than a particular audit.</p> <p style="text-align: center;">Destroy when obsolete or superseded.</p>		
6	<p><u>ANNUAL AUDIT PLANS AND SCHEDULES</u></p> <p>Files containing approved annual audit plans and schedules with related records are considered closed at the end of the fiscal year for which prepared.</p> <p style="text-align: center;">Destroy when obsolete or ten years old.</p>		
7	<p><u>FUTURE PLANNING FILES</u></p> <p>Files containing future audit plan material, including the audit universe and five year plan, are constantly changing and updated.</p> <p style="text-align: center;">Destroy when obsolete or superseded.</p>		