

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER 570 71-398-04-36	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 8-16-2004	
1. FROM (Agency or establishment) U.S. Department of Transportation		NOTIFICATION TO AGENCY 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Bureau of Transportation Statistics			
3. MINOR SUBDIVISION Office of Airline Information			
4. NAME OF PERSON WITH WHOM TO CONFER Clay Moritz	5. TELEPHONE NUMBER (202) 366-4385	DATE 4/7/04	ARCHIVIST OF THE UNITED STATES <i>Allen Weinstein</i>
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not needed now for the business for 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 8/12/04	SIGNATURE OF AGENCY REPRESENTATIVE <i>Stacy Murphy</i>		TITLE Administrative Specialist
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1.	<u>Audit Files</u> Records relating to periodic audit of air carriers. This schedule applies to all the described records regardless of physical media. a. Reports, related correspondence, and memoranda. Disposition: Disposable . Destroy when 5 years old or when no longer needed, whichever is sooner. b. Staff working papers. Disposition: Disposable . Transfer to FRC 2 years after close of case. Destroy 5 years after audit. c. Electronic copies created with word processing and electronic mail applications. Disposition: Disposable . Delete when record copy is generated. <i>cc Agency NARA</i>	NCI-197-82-1 Item 114	



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

MRH 12/13/04

Date: December 13, 2004
To: NWML
From: Jim Cassedy, WG 1, NWML
Subject: N1-⁵⁷⁰~~398~~-04-36

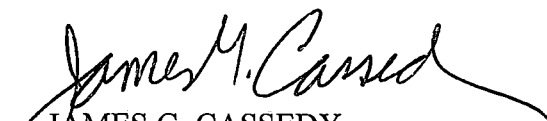
570 The Department of Transportation (DOT), Bureau of Transportation Statistics (BTS), submits Job No. N1-398-04-36) to request disposition authority for Audit Files. These records relate to the periodic auditing of air carriers to, among other things, verify information reported on BTS Air Carrier Reports. The Air Carrier Reports have been re-scheduled by NARA Job N1-398-04-23.

These records have been created for many years, and were last scheduled by CAB records disposition schedule NC1-197-82-1, item 114. As was the case for other BTS records, the functions which led to the creation of these audit reports were transferred from the Civil Aeronautics Board (CAB) upon the closure of that agency in 1985. These functions were transferred to DOT, where they resided with the Research and Special Projects Administration (RSPA), and then were organizationally delegated to BTS. NARA reviewed these records at BTS in December 2004.

The series consists of draft audit reports, information requests, notes and other working papers, final audit reports, and recommendations, if any. Besides verifying Air Carrier Reports, the audits help BTS to make decisions concerning foreign route cases, proposed mergers, and to monitor an air carriers' fitness to operate.

The vast majority of these records are routine audits of information submitted by airlines, and do not contain information of sufficient historical information to warrant permanent retention in the National Archives. Much of this information will be found in usable form in BTS databases accessioned by NARA, such as the Form 41 Financial Databank recently reviewed and again re-scheduled as permanent under N1-398-04-8. In addition, non-routine audit information will be found in higher level BTS offices.

The retention period proposed for these files, "destroy 5 years after closure," is certified by BTS as sufficient to ensure government accountability and legal rights of the government and citizens. BTS has provided for appropriate destruction of electronic copies of these records after they are no longer needed for business purposes or for reference. I recommend approval of this schedule.


JAMES G. CASSEDY
NWML