

# REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS

(See Instructions on Reverse)

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

1. FROM (AGENCY OR ESTABLISHMENT)

National Transportation Safety Board

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Frederick King

5. TEL. EXT.

426-3807

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

472-6177

## LEAVE BLANK

DATE RECEIVED

JOB NO.

**NC1 400 77 1**  
**3 JAN 1978**

## 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 "with-drawn" in column 10.

1-18-78 James B. Rhoads  
(Date) Archivist of the United States

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 4 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

12/28/77 Frederick King  
Date (Signature of Agency Representative)

Chief, Operations and Facilities Div.  
(Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1.	<p>Accident Investigation "Official Use Only" Files.</p> <p>Retention: Destroy 4 years after close of the accident case.</p> <p>This series, which is a separate folder within each accident case file regardless of mode of transportation, is created during the course of the investigation and added to until close of case. It consists of working papers, notes, internal agency memoranda, investigators' preliminary determination of probable cause, and other material that has no direct bearing on the official determination of the probable cause of each accident. The retention period proposed is sufficiently long to satisfy NTSB's administrative need for the records, which is, the extraction for such information concerning accidents individually and statistically and will help to prevent future similar accidents. Public Law 93-633 (49 U.S.C. 1901), Section 304, (c) states that "...no part of any report of the Board relating to any accident, or the investigation thereof, shall be admitted as evidence or used in any suit or action for damages growing out of any matter mentioned in such report or reports", and since at the time of destruction they will have been retained under this schedule beyond the expiration of the maximum period for filing suits for damages under applicable statutes of limitations.</p>	Formerly part of item 1, II-NNA-108.	12 items

115-106

sent to agency, NNF, NCH - 1/19/78

## 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
	<p>Functional documentation values are safeguarded by the various statutes governing civil aviation and the annual reports, and internal procedural issuances of the NTSB and its predecessors.</p>		
2.	<p>Air Carrier Aircraft Accident Reports, NTSB Form 6120.2 and associated investigation case files.</p> <p>Retention: Transfer to FRC 4 years after close of case. Destroy 15 years after close of case.</p>	II-NNA-108, item 1.	
3.	<p>Non-Air-Carrier Aircraft Accident Reports, NTSB Form 6120.1 and associated investigation case files.</p> <p>Retention: Transfer to FRC 4 years after close of case. Destroy 7 years after close of case.</p> <p>Items 2 and 3. Federal Air Regulations require that an Accident Report be submitted to the NTSB in connection with each accident involving a civil plane of U.S. registry. The data is tabulated. The resulting statistics are retained. The data is not available for use in any private litigation which may arise out of the accident and, in any event, will be retained for a 10 or 20 year period.</p> <p>NTSB Form 6120.2 is used in reporting all civil aircraft accidents in air carrier operations, and NTSB Form 6120.1 in non air-carrier operations. Air carrier operations refer to the transportation of persons and property as a common carrier for compensation or hire.</p>	II-NNA-108, item 2.	
4.	<p>Accident Public Hearings Files.</p> <p>Retention: Transfer to FRC 4 years after close of case. Destroy 15 years after close of case.</p> <p>Public hearings are held in certain cases (regardless of mode of transportation but are generally accidents involving air carriers) to obtain facts on which to base a finding of probable cause. Files contain the transcripts of testimony, depositions, exhibits (records of the carriers, etc.) and other documents in connection with the hearing, including the formal investigation report of the</p>	II-NNA-108, item 3.	

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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
	<p>Items 2, 3 and those hearings under 4 involving air carriers. These series originated under the Air Commerce Act of 1926 which required the Secretary of Commerce "...to investigate, record, and make public the causes of accidents in civil air navigation in the United States." Successively these functions have been carried out by the Commerce Department's Aeronautics Branch and Bureau of Air Commerce, the Air Safety Board of the Civil Aeronautics Authority, the Civil Aeronautics Board, and currently by the National Transportation Safety Board. For the most part the case file contains only NTSB forms 6120.1 or 6120.2 (or predecessor forms) submitted by the owner, operators, or pilots of the aircraft involved, field investigations reports, and related correspondence. However, in more serious cases the files may also include exhibit materials (such as statements of witnesses, diagrams, maps, newspaper-clippings, photographs), formal NTSB reports after public hearings, and associated memoranda and telegrams.</p>		
5.	<p>Aircraft Incident Reports. Amount of loss and circumstances of the occurrence are such that it is not classified as an accident.</p> <p>Retention: Transfer to FRC 4 years after close of case. Destroy 7 years after close of case.</p>	New item	
6.	<p>Missing Aircraft Notifications.</p> <p>Retention: Transfer to FRC 4 years after date of notification, or close of case. Destroy 20 years after date of notification or close of case.</p>	New item	
7.	<p>Accident Reports and associated investigation files involving U.S. registered aircraft on foreign soil.</p> <p>Retention: Destroy 4 years after date of receipt of report from the foreign government responsible for investigating the accident.</p>	New item	
8.	<p>Accident reports and associated investigation case files involving foreign-registered aircraft on United States soil.</p> <p>Retention: Transfer to FRC 4 years after close of case. Destroy 7 years after close of case.</p>	New item	

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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
	<p>Items 5, 6, 7 and 8. These series were designated by the International Civil Aviation organization. The case files contain investigation reports, statements from witnesses, related correspondence, and other material submitted by owners, operators, pilots, etc.</p>		
9.	<p>Railroad Accident Reports and associated investigation case files.</p> <p>Retention: Transfer to FRC 4 years after close of case. Destroy 7 years after close of case.</p>	New item	
10.	<p>Highway Accident Reports and associated investigation case files.</p> <p>Retention: Transfer to FRC 4 years after close of case. Destroy 7 years after close of case.</p>	New item	
11.	<p>Pipeline Accident Reports and associated investigation case files.</p> <p>Retention: Transfer to FRC 4 years after close of case. Destroy 7 years after close of case.</p>	New item	
12.	<p>Marine Accident Reports and associated investigation case files.</p> <p>Retention: Transfer to FRC 4 years after close of case. Destroy 7 years after close of case.</p>	New item	
	<p>Items 9, 10, 11 and 12. These series were originated under the Department of Transportation Act of 1966 (PL89-760) and presently are carried out by the NTSB under the Independent Safety Board Act of 1974 (PL93-633). The case files contain material submitted by owners/operators of the carrier involved, state and local law enforcement authorities, other Government agencies participating in the investigation, NTSB investigation reports. More serious cases on which public hearings are held are covered under Item 4 above.</p>		