

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-138-09-004

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 8/10/2022

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items except those listed below are active.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Items 60, 62, 64, and 66 are superseded by DAA-0138-2019-0005-0001.

Item 69 is superseded by N1-138-12-001, item III/IV/C/1a.

Item 70 is superseded by N1-138-12-001, item III/IV/C/1b.

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <i>NI-138-09-4</i>	
1 FROM (Agency or establishment) Federal Energy Regulatory Commission 888 First Street, NE Washington, DC 20426		Date Received <i>7/30/09</i>	
2 MAJOR SUB DIVISION FERC Records Schedule III – Docketed Formal Case Files		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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION Parts I through V			
4 NAME OF PERSON WITH WHOM TO CONFER <i>Katherina Quijada-Cusack</i> <i>7/23/2009</i> Katherina Quijada-Cusack			
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 <u>24</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 06/02/2009	SIGNATURE OF AGENCY REPRESENTATIVE		TITLE 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)
	PLEASE SEE ATTACHED	<i>NI-138-88-2</i> <i>NI-138-98-6</i> <i>NI-138-06-1</i> <i>NI-138-98-8</i> <i>NI-138-98-11</i> <i>NI-138-83</i> <i>NI-138-88-2</i> <i>NI-138-83-1</i> <i>NI-138-91-2</i>	

This SF-115 is being submitted to notify NARA that the records on the attached schedules are now being created and maintained in electronic format.

FERC SCHEDULE III - DOCKETED FORMAL CASE FILES

PART I Electric Utilities

Subpart A - Applications and Adjustments

- 2 Interlocking Directorates (ID Dockets)
3. Electric Securities (ES Dockets)
- 4 Electric Corporate Applications (EC Dockets)
5. Qualifying Facilities (QF Dockets)

~~2. INTERLOCKING DIRECTORATES (N1-138-88-2) (ID Dockets)~~

~~Case files include applications from company officials for permission to hold office in more than one public utility, investment firm, or electrical equipment or supply company, with copies of Commission orders and related papers.~~

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~~A. Record Copy TEMPORARY; Destroy when 25 years old.~~

~~B. Other Copies. TEMPORARY; Destroy 10 years after cancellation or supersession or sooner if no longer needed~~

3. ELECTRIC SECURITIES (N1-138-88-2) (ES Dockets)

Case files include applications by public utilities for approval of securities, assumption of liabilities, purchase of securities, and mergers

① A Record Copy. TEMPORARY; Destroy when 5 years old.

~~B Other Copies (Non-record) TEMPORARY; Destroy when no longer needed.~~ ^{SFR} 7/31/09

4 ELECTRIC CORPORATE APPLICATIONS (N1-138-88-2) (EC Dockets)

Case files include applications seeking authority for merger, consolidation, sale, lease, or disposition of electric facilities subject to the Commission's jurisdiction; applications seeking authority for the purchase, acquisition or taking by a public utility of any security of any other public utility, applications for a determination that a person or entity is not a "public utility" within the meaning of Section 201 of the Federal Power Act, applications by a public utility for a determination that a rate schedule or rate schedules do not involve a "sale of electric energy at wholesale" and therefore not subject to FERC jurisdiction; official notices, orders, petitions, motions, opinions, and any additional correspondence to and from applicant

② A Record Copy. TEMPORARY, Close files after all actions have been taken Destroy when 25 years old.

③ B Other Copies Destroy 10 years after date docket is terminated or sooner if no longer needed

5. QUALIFYING FACILITIES (N1-138-88-2) (QF Dockets)

Case files include notices of self qualification, applications for qualifying status, hearing transcripts, Commission Orders, and appeals to Commission Orders.

- ④ A Record Copy. TEMPORARY; Close file after all actions have been taken. Destroy when 20 years old
- ⑤ B Other Copies. TEMPORARY; Destroy 2 years after Commission Order becomes final.

PART I Electric Utilities

Subpart B - Rate Filings and Investigations, Collections

- 1 Electric Rate Filings (ER Dockets)
2. Tariffs, Wholesale Contracts and Rate Schedules
- 3 Electric Federal Rates (EF Dockets)
4. Transmission Service (Section 211 of the Federal Power Act) Filings (TX Dockets)
- 5 Stranded Costs Filings (SC Dockets)
- 6 Open Access Transmission Tariff Filings (OA Dockets)
- 7 Non-Jurisdictional Open-Access Filings (NJ Dockets)
- 8 Exempt Wholesale Generation Determinations (EG Dockets)

1. ELECTRIC RATE FILINGS (N1-138-88-2) (ER Dockets)

Case files include rate filing applications, official notice, orders, petitions, motions, hearings (official), records and exhibits, transcripts, ALJ documents, opinions and correspondence.

- ⑥ A Record Copy. TEMPORARY, Close file after all actions have been taken Destroy when 25 years old.
- ⑦ B Other Copies TEMPORARY; Destroy 10 years after Order becomes final - sooner if no longer needed.

2. TARIFFS, WHOLESALE CONTRACTS AND RATE SCHEDULES (N1-138-88-2)

Documents filed with the Commission by electric utility companies giving tariffs and rate for sales of electricity in interstate commerce.

- ⑧ A Record Copy. TEMPORARY, Close file after all actions have been taken. Destroy when 20 years old
- ⑨ B. Other Copies. TEMPORARY; Destroy 1 year after cancelled, superseded or rejected.

3. ELECTRIC FEDERAL RATES (N1-138-88-2) (EF Dockets)

Case files include the documents filed with a request for final confirmation and approval of Federal rate schedules by the Commission. Included among these documents is the letter of request, rate schedules and general provisions, power or transmission system repayment study and supporting statements, rate design study, and such other documents as the Assistant Secretary of Resource Applications, DOE, may deem appropriate, notice of filing, comments, and petitions to intervene, staff conference records, hearing records, all correspondence and the FERC Order resolving the matter and all subsequent requests for rehearing and FERC Orders pertaining thereto

- ⑩ A. Record Copy. TEMPORARY; Destroy when 50 years old

- 11 B Other Copies. TEMPORARY; Destroy when no longer needed

4 TRANSMISSION SERVICE UNDER SECTION 211 OF THE FEDERAL POWER ACT FILINGS (TX Dockets)(N1-138-98-6)

Filings made by entities seeking a Commission Order requiring transmission service pursuant to the Energy Policy Act of 1992. Case files include complaints, statements of position; motions to intervene; answers, comments, protest and responses; requests for summary disposition, requests for rehearing, briefs (initial, reply, pretrial, post hearing, on exceptions, opposing exceptions); requests for exemption and/or waiver of regulations and other related material

- 12 A. Record Copy. TEMPORARY; Destroy when 25 years old

- 13 B Other Copies. TEMPORARY, Destroy when no longer needed for current business

5 STRANDED COSTS FILINGS (SC Dockets)(N1-138-98-6)

Filings made by jurisdictional entities in compliance with the "stranded cost" recovery provision of the Commission's "Open Access" rulemakings, Order No. 888 and 889. Case files include requests for summary disposition; statements of position; motions to intervene, answers, comments, protests, responses; requests for rehearing; petitions for declaratory orders; testimony and exhibits (rebuttal, surrebuttal, answering, counter answering testimony); briefs (initial, reply, pre-trial, post hearing, on exceptions and opposing exceptions), requests for exemption and/or waiver of regulations and other related material.

- 14 A Record Copy TEMPORARY; Destroy when 25 years old.

- 15 B Other Copies. TEMPORARY; Destroy when no longer needed for current business.

6 OPEN ACCESS TRANSMISSION TARIFF FILINGS (OA Dockets)(N1-138-98-6)

Filings made by jurisdictional entities in compliance with the Commission's "Open Access" rulemakings, Orders No. 888 and 889. Case files include standards of conduct, statements of position; motions to intervene, answers, comments, protests and responses, requests for rehearing, requests for summary disposition; testimony and exhibits (rebuttal, surrebuttal, answering, counter answering testimony); briefs (initial, reply, pre-trial, post hearing, on exception, opposing exception); requests for exemption and/or waiver of regulations and other related material.

- 16 A. Record Copy. TEMPORARY; Destroy when 25 years old.

- 17 B Other Copies TEMPORARY; Destroy when no longer needed for current business

7 NON-JURISDICTIONAL OPEN-ACCESS FILINGS (NJ Dockets)(N1-138-98-6)

Applications for declaration of non-jurisdictional status under the Federal Power Act. Case files include statements of position; requests for summary disposition, motions to intervene; answers, comments, protests and responses, requests for rehearing, briefs

(initial, reply, pre-trial, post hearing, on exceptions, opposing exceptions); requests for exemption and/or waiver of regulations and other related material.

18) A. Record Copy TEMPORARY; Destroy when 25 years old

19) B Other Copies TEMPORARY; Destroy when no longer needed for current business.

8. EXEMPT WHOLESALE GENERATION DETERMINATIONS (EG Dockets)(N1-138-98-6)

Applications (including amended) for Commission determination of "exempt wholesale generator" status Case files applications; motions to intervene; answers, comments; protests and responses; requests for rehearing; requests for exemption and/or waiver of regulations and other related material

20) A Record Copy. TEMPORARY; Destroy when 25 years old

21) B. Other Copies. TEMPORARY, Destroy when no longer needed for current business

PART I Electric Utilities

Subpart C - Licensed Projects, Surveys and Studies

1 Economic and Engineering Surveys and Studies

1 ECONOMIC AND ENGINEERING SURVEYS AND STUDIES (N1-138-88-2)

Case files include initiatory documents, progress reports, periodic summaries of data collected, correspondence with interested Federal, state and local agencies as well as companies, and final reports and surveys which may include maps, charts and other illustrative matter

B. Power market surveys on the utilization and marketing of electric power from existing and proposed hydro-electric development.

(22) 1.) Record Copy TEMPORARY, Destroy when 5 years old

~~2.) Other Copies (Non-record) TEMPORARY; Destroy when no longer needed.~~ *SBC*

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C River Basin studies made in cooperation with other agencies To include CIAP or other cumulative impact studies

(23) 1) Record Copy. TEMPORARY; Destroy when 50 years old

~~2.) Other Copies (Non-record) TEMPORARY; Destroy when no longer needed~~ *SBC*

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PART I Electric Utilities

Subpart D - General Dockets, Discontinued Dockets; and Company Correspondence

1. Company Correspondence Files (Electric)
2. Electric Utilities (E Dockets)
3. Other Electric Power Formal Proceedings (EL Dockets)

1 COMPANY CORRESPONDENCE FILES (N1-138-88-2) (ELECTRIC)

Files contain material of interest to the Commission including general correspondence, transmittals, reports, information on accounting systems, public utility status, allocation of operating and construction costs of federal hydro-electric projects, employee pension plans, operating agreements with other companies, and related matters

24 A Record Copy TEMPORARY, Destroy when 2 years old

~~B. Other Copies (Non-record) TEMPORARY; Destroy when no longer needed.~~

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2. ELECTRIC UTILITIES (N1-138-88-2) (E Dockets)

Case files include formal electric rate investigations declarations of intention to construct, applications for interconnections of facilities, transmission to a foreign country, sale, lease, merger, or consolidation of facilities; copies of formal documents issued, correspondence and related papers. NOTE E Dockets were discontinued as of 1975.

25 A Record Copy TEMPORARY, Close files after all actions have been taken Destroy when 25 years old

26 B Other Copies. TEMPORARY; Destroy 4 years from date Order becomes final or sooner if no longer needed.

3 OTHER ELECTRIC POWER FORMAL PROCEEDINGS (N1-138-88-2) (EL Dockets)

Case files include memoranda to be published in the Federal Register, applications for authority to interconnect to electric power utilities, orders authorizing sale, clarifying orders, petitions for relief, certificates of service, verifications, affidavits, opinions and orders setting just and reasonable rates, and other memoranda as they pertain to electric power utilities

27 A. Record Copy TEMPORARY; Close file after all actions have been taken. Destroy when 25 years old

28 B Other Copies TEMPORARY, Destroy 10 years after date Order becomes final or sooner if no longer needed

PART II Gas Producers and Utilities

Subpart A – Pre-Filings, Applications and Adjustments

1 Pre-Filings Related to Gas Pipeline Certificates (PF Dockets)

2 Gas Pipeline Certificates (CP Dockets)

1 PRE-FILINGS RELATED TO GAS PIPELINE CERTIFICATES (PF Dockets) (N1-138-06-1)

The National Environmental Policy Act (NEPA) pre-filing process for proposed natural gas projects requires that the natural gas pipeline industry provide information to be used by the Office of Energy Projects for planning and preparation of a prospective project before a formal application for a gas pipeline certificate is filed in the CP docket series. Files consist of environmental assessments, compliance reports, informational correspondence, notices, applications, comments, memoranda and scoping issues related to the pre-application process for gas pipeline projects.

29 A Record Copy TEMPORARY; Destroy when 20 years old.

2 GAS PIPELINE CERTIFICATES (N1-138-88-2) (CP Dockets)

Case files contain application for certificate, formal documents issued, correspondence, and related documents (service agreements, precedent agreements, flow diagrams, etc) submitted by pipeline companies

30 A. Record Copy. TEMPORARY; Destroy when 20 years old

~~B Other Copies (Non-record). TEMPORARY; Destroy when no longer needed.~~

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PART II - Gas Producers and Utilities

Subpart B - Rate Filings and Investigations, Collections

1. Gas Pipeline Rates and Tariffs (RP, GT, TQ, TM, TF, PR, RS and TA Dockets)
2. Staff Adjustments (Gas) (SA Dockets)
3. Gas Pipeline Service Agreements
4. Tariff Curtailment, Natural Gas (TC Dockets)
5. Tariffs, Wholesale Contracts and Gas Rate Schedules
6. Investigations: Natural Gas (IN Dockets)

1. GAS PIPELINE RATES AND TARIFFS (N1-138-98-8) (RP, GT, TQ, TM, TF, PR, RS and TA Dockets)

Case files include material relating to establishing and revising gas pipeline rates, such as cost and revenue information, notices, orders, petitions, requests, motions, hearing records (including exhibits, transcripts, and ALJ decisions), opinions, and filed correspondence

- 31 A Record Copy. TEMPORARY, Destroy when 20 years old.
- 32 B Other Copies. TEMPORARY, Destroy 5 years from date Order becomes final or sooner if no longer needed

2. STAFF ADJUSTMENTS (GAS) (N1-138-88-2) (SA Dockets)

Case files contain reviews of staff adjustments under Section 502e of the NGPA of 1978, material includes petitions and notices requesting amendments to petitions and extension of filing deadline, petitions for waiver notification of requirements, notices of application for an adjustment, motions to intervene, and protests.

- 33 A Record Copy TEMPORARY; Destroy when 15 years old.
- 34 B. Other Copies TEMPORARY, Destroy when no longer needed for reference

3. GAS PIPELINE SERVICE AGREEMENTS (N1-138-98-11)

Files include documents filed by natural gas companies and setting forth pipeline tariffs and rates for sales of natural gas at wholesale in interstate commerce.

- 35 A. Record Copy. TEMPORARY; Destroy when 20 years old
- 36 B Other Copies. TEMPORARY, Destroy 1 year after cancelled, superseded or rejected

4. TARIFF CURTAILMENT NATURAL GAS (N1-138-88-2) (TC Dockets)

Notices proposing changes in gas tariffs, petitions to intervene; protests on behalf of, or against, other gas corporations; requests for extensions to file comments relating to the reasoning of the protest petitions; presiding ALJ certification records of hearings

concerning seasons and shortages, notices stating a prepared report of analysis and evaluation of the impacts of gas shortages

37 A. Record Copy. TEMPORARY; Destroy when 20 years old

38 B Other Copies TEMPORARY, Destroy 4 years from date Order becomes final or sooner if no longer needed Exception Prior to disposition, all records in this category should be reviewed for application of the special exemption described on Page III-1

5 TARIFFS, WHOLESALE CONTRACTS, GAS RATE SCHEDULES (N1-138-88-2)
(ALSO SEE FASTR, PG. VI-1) Documents are filed with the Commission by Natural Gas Pipeline Companies - tariffs and rates for sales of natural gas at wholesale in interstate commerce, Independent Producers - rates for sale of gas to natural gas pipeline companies or to other independent producers in interstate commerce.

A. Record Copy

39 1.) Superseded or rejected files. TEMPORARY, Destroy when 40 years old.

40 2) Canceled files. TEMPORARY; Destroy 10 years after cancelled

~~B Other Copies. None exist~~ 5022- 7/31/09

6 INVESTIGATIONS: NATURAL GAS (IN Dockets)

Case files of investigations into alleged violations of the Natural Gas Act File includes order instituting investigation, responses to orders, motions to dismiss or terminate investigation, applications for rehearing and petitions to quash subpoenas.

41 A Record Copy (NC1-138-83) TEMPORARY, Destroy when 10 years old

PART II – Gas Producers and Utilities

Subpart C - Notices, Petitions, and Elections

1 Notices of Well Determination (NGPA) (JD Dockets)

1. NOTICES OF WELL DETERMINATION (NGPA) (N1-138-88-2) (JD Dockets)

Submitted to FERC by state jurisdictional agencies, the U S. Geological Survey, and Bureau of Indian Affairs for review; if no action is taken within 45 days after receipt in the Commission, the decision of the jurisdictional agency becomes final by the act of law

④2 A. Record Copy. TEMPORARY; Destroy when 4 years old.

~~B. Other Copies. None exist.~~

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PART II Gas Producers and Utilities

Subpart D - General Dockets, Discontinued Dockets; and Company Correspondence

1 General Gas Docket Category (GP Dockets)

2. Company Correspondence Files (Gas Pipelines)

1 GENERAL GAS DOCKET CATEGORY (N1-138-88-2) (GP Dockets)

Answers to petitions to intervene and requests for enlargement of issues and supplements; notices of petitions for declaratory orders and protests submitted protesting interim collections of gas prices

(43) A Record Copy TEMPORARY; Destroy when 10 years old

~~B Other Copies (Non-record) Destroy when no longer needed.~~ SAC 7/31/09

2 COMPANY CORRESPONDENCE FILES (GAS PIPELINES)

Files contain material of interest to the Commission including: general correspondence, transmittals, reports, information on accounting systems and operating agreements with other companies.

(44) A Record Copy (N1-138-88-2) TEMPORARY, Destroy when 5 years old

(45) B Other Copies (N1-138-88-2) TEMPORARY; Destroy when no longer needed

PART III Oil Producers and Pipelines

Subpart A - Applications and Adjustments

1. Requests for Adjustments (RA Dockets)
2. Remedial Orders (RO Dockets)

1. REQUESTS FOR ADJUSTMENTS (N1-138-88-2) (RA Dockets)

Case files include the Commission review of adjustment request denials, a review of average daily purchases, summary reports of daily production, affidavits to clarify and supplement records of the proceedings, requests for extension of time for placing additional filing information, motions for extension of time, responses to replies and orders, meeting dates on conferences and hearings for purposes of presenting oral arguments

- ④6 A Record Copy TEMPORARY; Close file after all actions have been completed
Destroy when 20 years old
- ④7 B Other Copies. TEMPORARY; Destroy 2 years after case is closed - sooner if no longer needed

2 REMEDIAL ORDERS (N1-138-88-2) (RO Dockets)

Case files include Notice of Intent to Appeal a proposed remedial order issued by the Economic Regulatory Administration on a case usually involving violations of the Mandatory Petroleum Price Regulations, and all supporting material

- ④8 A. Record Copy. TEMPORARY; Close file after all actions have been completed
Destroy when 20 years old
- ④9 B Other Copies. TEMPORARY, Destroy 2 years after case is closed - sooner if no longer needed

PART III Oil Producers and Pipelines

Subpart B - Rate Filings and Investigations; Collections

- 1 Oil Pipeline Rates (OR Dockets)
- 2 Pipeline Depreciation (Oil) (DO Dockets, formerly PD Dockets)
- 3 Fourth Section Filings (Oil Pipelines) (FS Dockets)
- 4 Oil Tariff Filings (TS Dockets)

1 OIL PIPELINE RATES (N1-138-88-2) (OR Dockets)

Case files include materials pertaining to rate filings brought about through initial briefs, submitted petitions, orders requesting extensions of time for filing briefs, orders accepting filings, suspensions subject to certain conditions, and tariff changes. Also, includes initial decision limiting individuals and issues of jurisdiction, and other granting joint motions introducing work papers into evidence. (A case formerly under jurisdiction of the Interstate Commerce Commission will also carry the former ICC docket number for convenience.)

- (50) A Record Copy TEMPORARY; Cut off after date of final non-appealable order
Destroy when 20 years old.
- (51) B Other Copies. TEMPORARY, Destroy 5 years from date Order becomes final or
sooner if no longer needed.

2 PIPELINE DEPRECIATION (OIL) (N1-138-88-2) (DO Dockets, formerly PD Dockets)

Case files include Commission Orders authorizing depreciation rates and related matters pertaining to oil pipelines.

- (52) A Record Copy. TEMPORARY; Cut off after final non-appealable order. Destroy when
15 years old.
- (53) B Other Copies. TEMPORARY; Destroy 7 years from date Order becomes final or
sooner if no longer needed

Exception: Prior to disposition, all records in this category should be reviewed for application of the special exemption described on Page III-1

3. FOURTH SECTION FILINGS (OIL PIPELINES) (N1-138-88-2) (FS Dockets)

These filings pertaining to oil pipelines refer to Section 4, Part 1 of the Interstate Commerce Act, which sets forth provisions for long and short haul charges and competition with other modes of transport

- (54) A. Record Copy. TEMPORARY, Destroy when 20 years old.

~~B Other Copies. None exist~~

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4. OIL TARIFF FILINGS (N1-138-88-2)

These Oil Tariff Filings contain information pertaining to the transportation rates and/or rules and regulations of individual pipeline companies

(55)

A Record Copy TEMPORARY; Destroy 15 years after cancellation

~~B Other Copies None authorized~~ 5/3/09
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PART III Oil Producers and Pipelines

Subpart C - General Dockets; Discontinued Dockets, and Company Correspondence

- 1 Energy Actions (EA Dockets)
- 2 The Alaskan Pipeline System (TAPS)
3. Company Correspondence Files (Oil Producers and Pipelines)

1. ENERGY ACTIONS (N1-138-88-2) (EA Dockets)

Case files contain a review of major energy actions proposed by the Secretary of Energy relating to oil pricing and allocation, proposed rulemaking, hearing testimony, analysis and input, petitions for reconsideration, Congressional Subcommittee reports, DOE decisions, and recommendations.

(56) A Record Copy. TEMPORARY, Cut off after date of final Order Destroy when 25 years old

~~B Other Copies. None required~~ *SAR 7/31/09*

2 THE ALASKAN PIPELINE SYSTEM (N1-138-88-2) (TAPS)

File consists of discovery materials in support of or relevant to pending litigation concerning the Alaskan Pipeline System.

(57) A. Record Copy. Retain indefinitely pending settlement of this case Then submit SF-115 to NARA with recommended disposition

~~B Other Copies. None authorized~~ *SAR 7/31/09*

3. COMPANY CORRESPONDENCE FILES (OIL PRODUCERS AND PIPELINES)

Files contain materials of interest to the Commission including: general correspondence, transmittals, reports, information on accounting systems, oil field status, employee pension plans, operating agreements with other companies and related matters

(58) A Record Copy (NC1-138-83-1) TEMPORARY, Destroy when 5 years old

(59) B. Other Copies (NC1-138-83-1) TEMPORARY, Destroy when no longer needed for reference

PART IV Hydropower Licensing

Subpart A - Licensed and Exempted Projects, Surveys & Studies

- 1 Preliminary Permits (All P and some EL Dockets)
2. Licensed Hydropower Projects - Issued or Transferred
3. Exempted Hydropower Projects
- 4 Licensed Hydropower Projects - Surrendered

1. PRELIMINARY PERMITS (N1-138-91-2) (All P and some EL Dockets)

Case files include the application and incoming amendments, outgoing correspondence, internal memoranda, reports and related papers, the formal documents issued; all items filed with the Office of the Secretary during the life of the permit and/or its surrender

(60) A. Record copy TEMPORARY, Destroy 10 years after preliminary permit withdrawn, surrendered, dismissed, canceled, or expired, whichever is later. Maintain in-house for 4 years and then transfer to Federal Records Center

(61) B Other copies TEMPORARY, Destroy one year after final Commission action on rehearing requests or sooner if no longer needed

2. LICENSED HYDROPOWER PROJECTS - ISSUED OR TRANSFERRED (N1-138-91-2) (All P and some EL Dockets)

Case files for filings for licenses including transfers and new capacity amendments Licenses are issued for up to 50 years and may be renewed (relicensed) Annual licenses are issued if new license is not issued or other Commission action is not taken prior to original license expiration Case files contain applications, supplements and amendments thereto; incoming and outgoing correspondence; internal memoranda and reports, environmental assessments, and environmental impact statements, and related material, copies of formal documents issues; all items filed with the Office of the Secretary

(62) A. Record copy. TEMPORARY; Destroy when 53 years old.

(63) B Other copies TEMPORARY, Destroy after final Commission action on renewal or reissuance of license or, if appealed, after appeals/Supreme Court action is final, whichever is later or when no longer needed for reference

3 EXEMPTED HYDROPOWER PROJECTS (N1-138-91-2) (All P and some EL Dockets)

Case files for filings on exemption from licensing requirements of Part I of Federal Power Act Exemptions are issued with no termination date, and can be transferred Case files contain applications, supplements and amendments thereto, incoming and outgoing correspondence; internal memoranda and reports; environmental assessments and related material copies of formal documents issued, all items filed within the Office of the Secretary.

64

A Record copy TEMPORARY, Destroy 10 years after exemption is surrendered, revoked or otherwise terminated Maintain in-house for 4 years after final action and then transfer to the Federal Records Center (FRC)

65

B Other copies TEMPORARY; Destroy 1 year after final Commission action on rehearing requests or sooner if no longer needed.

4 LICENSED HYDROPOWER PROJECTS - SURRENDERED (N1-138-91-2) (All P and some EL Dockets)

Case files contain the applications, supplements, and amendments, incoming and outgoing correspondence; internal memoranda and reports, environmental documents, and related materials; copies of formal documents issued; all items filed with the Office of the Secretary.

66

A Record copy. TEMPORARY, Destroy 4 years after final Commission action on surrender, other termination, rehearing request, or Appeals/Supreme Court(s) decision, whichever is later Transfer to the Records Maintenance Center (RMC) 1 year after final Commission action and destroy 3 years after transfer

67

B. Other copies. TEMPORARY; Destroy 4 years after final Commission or Court action or sooner if no longer needed

PART IV Hydropower Licensing

Subpart B - Applications and Adjustments

1. Power Site -- Section 24 FPA

1. POWER SITE -- SECTION 24 FPA (N1-138-91-2)

Case file contains the project applications, national forest maps, government maps, quadrangle maps, and related correspondence needed to make determinations regarding the land status with regard to Federal jurisdiction. May contain oversize material. Includes Form 587.

68

B Other copies (excludes recordkeeping copy) TEMPORARY; Destroy project applications immediately after final determination if no longer needed for reference. Maintain copy of National Forest maps, government maps, and quad maps.

PART IV Hydropower Licensing

Subpart C - Jurisdiction

1 Section 23(B)

2 Navigability Reports

1 SECTION 23(B) (N1-138-91-2)

Declarations of Intent, jurisdictional orders; contractors' preliminary reports, and associated data and correspondence used to make determination regarding Federal jurisdiction over hydropower sites.

69 A Record copy. TEMPORARY; Destroy when no longer needed for reference.

70 B Other copies TEMPORARY; Destroy after issuance of order or final court action, whichever is later.

2 NAVIGABILITY REPORTS (N1-138-91-2)

Reports used to determine the jurisdiction of projects on navigable rivers. Reports are done on river itself, not just the site. Used by Office historians to make determinations about other sites. Earlier reports used in preparation of new reports.

71 A. Record copy. TEMPORARY; Destroy when no longer needed for reference

~~B-Other copies-None exist.~~

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PART IV Hydropower Licensing

Subpart D - Headwater Benefits -- Sec 10(f) of FPA

1. Headwater Benefits

1. HEADWATER BENEFITS (HB Dockets) (N1-138-91-2)

Decisions, notices, orders, petitions, briefs, protests, comments, settlements, study data and related correspondence used to determine the future assessments for headwater benefits on a year-to-year basis

- 72 A. Record copy TEMPORARY, Destroy 50 years after final assessment order issued
- 73 B Other copies TEMPORARY, Destroy 10 years after final assessment order issued.

PART V Miscellaneous Filings Common to All Dockets

Miscellaneous filings common to all dockets are not limited in applicability to any single energy grouping. They become a part of the appropriate formal case file when properly filed and accepted by the Commission. A case file, sometimes referred to as a docket file, project file, or transaction file, is updated whenever additional material pertaining to an established case is received.

Subpart A - Rate Filings and Investigations; Collections

1. Suspension and Investigation of Rates, Fares, Charges And Practices of Companies (IS Dockets, Formerly OT Dockets)
2. Investigations (Formal) (IN Dockets)

1. SUSPENSION AND INVESTIGATION OF RATES, FARES, CHARGES AND PRACTICES OF COMPANIES (IS Dockets, formerly OT Dockets)

Case files include petitions for reconsideration and vacation of suspension order, order denying petition for reconsideration and vacation of suspension order

- (74) A. Record Copy (N1-138-88-2) TEMPORARY, Destroy when 10 years old
- (75) B. Other Copies (N1-138-88-2). TEMPORARY, Destroy when no longer needed.

2. INVESTIGATIONS (FORMAL) (N1-138-88-2) (IN Dockets)

Case files of formal investigations into alleged violations and improprieties. Files include orders instituting investigations, responses to orders, motions to dismiss or terminate investigation, applications for rehearing, petitions to quash subpoenas, and reports on fuel and energy purchase practices (Form 580 or equivalent)

- (76) A. Record Copy (NC1-138-83-1). TEMPORARY; Close file after all actions have been taken. Destroy when 10 years old

PART V Miscellaneous Filings Common to All Dockets

Subpart B - Licensed Projects, Surveys and Studies

1. Special Statistical Studies

1 SPECIAL STATISTICAL STUDIES (N1-138-88-2)

Manuscript studies pertaining mainly to gas, electric and hydro matters, dealing with volume of sales, cost of production and transmission, storage, and similar subjects as requested by other agencies, private sources, or as initiated by the Commission

- ⑦ A. Record Copy. TEMPORARY, Destroy when 5 years old.
- ⑦ B Other Copies. TEMPORARY, Destroy when no longer needed

PART V Miscellaneous Filings Common to All Dockets

Subpart C - General Dockets; Discontinued Dockets, and Company Correspondence

1 Classified Documents

1 CLASSIFIED DOCUMENTS (N1-138-88-2)

Documents bearing a security classification of CONFIDENTIAL or SECRET for national security reasons

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Record Copy. When downgraded to UNCLASSIFIED, transfer custody to Records Maintenance Center. Disposition thereafter will be made in accordance with applicable Schedule herein