

Request for Records Disposition Authority

(See Instructions on reverse)

To **National Archives and Records Administration (NIR)**
Washington, DC 20408

1 From (Agency or establishment)

Federal Energy Regulatory Commission

2 Major Subdivision

FERC Records Schedule II and VII

3 Minor Subdivision

4 Name of Person with whom to confer

Katherina Quijada-Cusack

5 Telephone (include area code)

202-502-8748

Leave Blank (NARA Use Only)

Job Number

N1-138-10-4

Date Received

8/18/10

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

Date

Archivist of the United States

[Handwritten signature]

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 5 page(s) are not now needed 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

is not required is attached has been requested

Signature of Agency Representative

Katherina Quijada-Cusack

Title

Records Management Officer

Date (mm/dd/yyyy)

08/13/2010

7 Item Number

8 Description of Item and Proposed Disposition

9 GRS or Superseded Job Citation

10 Action taken (NARA Use Only)

| 7 Item Number | 8 Description of Item and Proposed Disposition | 9 GRS or Superseded Job Citation | 10 Action taken (NARA Use Only) |
|---------------|---|----------------------------------|---------------------------------|
| | Please see attached Records are being scheduled in media neutral format | | |
| 1 | Reports of Emergency Circumstances of Transmission Providers (EY Dockets) | N1-138-98-15 | |
| 2 | Congressional Correspondence, State Files and Constituent Records | N1-138-00-7 | |
| 3 | Requests for Approval by the Chief Accountant (AC Dockets) | N1-138-98-17 | |
| 4 | Requests for Commission Approval of Changes in Depreciation (DR Dockets) | N1-138-98-17 | |
| 5 | Administrative Grievance Files | 5 CFR 771 | |
| 6 | Adverse Action Files | 5 CFR 752 | |
| 7 | Information Collections (IC Dockets) | N1-138-98-2 | |
| 8 | Parking Applications and Support Files | N1-138-99-6 | |
| 9 | Parking Violations Files | N1-138-99-6 | |
| 10 | Delegations of Authority | N1-138-99-1 | |
| 11 | Management/Consulting Reports | N1-138-99-4 | |
| 12 | Interpretations and Advisory Opinions, Including NL Dockets | N1-138-02-1 | |

Item 1.

**FERC RECORDS SCHEDULE II - RECORDS OF THE COMMISSION
PART III - OFFICE OF GENERAL COUNSEL**

**5 REPORTS OF EMERGENCY CIRCUMSTANCES OF TRANSMISSION
PROVIDERS (EY Dockets) (N1-138-98-15)**

①

Submitted by transmission providers engaged in transmission system operations functioning independently of those involved in wholesale merchant functions when deviation from the standards of conduct results from invoking the emergency exception identified in Section 37 4(a)(2) of FERC Order No 889 Case files include emergency reports, update reports and other related material

TEMPORARY, Destroy when 4 years old

Item 2.

**FERC RECORDS SCHEDULE II - RECORDS OF THE COMMISSION
PART IV - OFFICE OF EXTERNAL AFFAIRS**

②

**16 CONGRESSIONAL CORRESPONDENCE, STATE FILES AND CONSTITUENT
RECORDS (N1-138-00-7)**

Correspondence from members of Congress, replies to Congress or Congressional constituents, and supporting documents

TEMPORARY, Cut off at the end of each Congress (2 years) Destroy when 6 years old

Item 3.

**FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS
PART III - FINANCE, ACCOUNTING AND OPERATIONS**

③

**6 REQUESTS FOR APPROVAL BY THE CHIEF ACCOUNTANT (AC Dockets) (N1-
138-98-17)**

Requests for approval from Chief Accountant, submitted by utilities subject to Commission jurisdiction Files include accounting/journal entries such as permission to record extraordinary losses and related taxes, extension of time for submission of filings, records of retention or premature destructions of records in accordance with 18 CFR, parts 125 and 225, and Commission replies

TEMPORARY, Destroy when 20 years old

Item 4.

FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS
PART III - FINANCE, ACCOUNTING AND OPERATIONS

7 REQUESTS FOR COMMISSION APPROVAL OF CHANGES IN DEPRECIATION
(DR Dockets) (N1-138-98-17)

Petitions submitted by utilities subject to the jurisdiction of the Commission requesting changes in depreciation rates under Section 301 of the Federal Power Act, used for Accounting purposes only

TEMPORARY, Destroy when 20 years old

Item 5.

~~**FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS**~~
PART I - STRATEGY AND ORGANIZATIONAL MANAGEMENT

2 ADMINISTRATIVE GRIEVANCE, DISCIPLINARY, AND ADVERSE ACTION
FILES

PART I - STRATEGY AND ORGANIZATIONAL MANAGEMENT - CONTINUED

A Administrative Grievance Files (5 CFR 771)

Records relating to grievances raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request

~~TEMPORARY; Destroy 4 years after case is closed~~

GRS I
Item 30a
SBR
8/18/2010

Item 6.

~~**FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS**~~
PART I - STRATEGY AND ORGANIZATIONAL MANAGEMENT

B Adverse Action Files (5 CFR 752) and Performance-Based Actions (5 CFR 432)

Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The files includes a copy of the proposed adverse action with supporting documents, reversal of action, and appeal records, EXCLUDING letters of reprimand which are filed in the OPF

~~TEMPORARY, Destroy 4 years after case is closed~~

GRS I
Item 30b
SBR
8/18/2010

Item 7.

**FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS
PART II - CHIEF INFORMATION OFFICER**

2 INFORMATION COLLECTIONS (IC DOCKETS) (N1-138-98-2)

Case file includes notices issued and comments received by the Commission on its information collection requirements prior to obtaining approval from the Office of Management and Budget as a result of the Paperwork Reduction Act, as expanded on October 1, 1995. The Act specifies that agencies are now required to plan for the development of new collections of information and the extension of existing collections of information far in advance of sending them for OMB approval and to develop greater public participation. Case file does not include notices or comments that are the subject of a proposed or final rule.

5

A Recordkeeping Copy

TEMPORARY, Destroy when three years old

~~B Other Copies~~

~~TEMPORARY, Destroy when three years old or sooner if no longer needed~~

SBR
8/18/2010

Item 8.

**FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS
PART III - FINANCE, ACCOUNTING AND OPERATIONS**

6

1 D Parking Applications and Support Files (N1-138-99-6)

Applications for use of parking facilities under Commission control, revisions/updates to applications, verifications, physician statements and discontinuation notices

TEMPORARY, Destroy after subsequent open season

Item 9.

7

**FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS
PART III - FINANCE, ACCOUNTING AND OPERATIONS**

1 E Parking Violations Files (N1-138-99-6)

Records include files on employees not complying with guidelines as set forth in Commission Directive entitled "FERC Commuter Support Program "

TEMPORARY, Destroy when 1 year old unless violation results in a reprimand as outlined in FERC Administrative Directive "FERC Work Force Discipline Program" in which case the records shall be incorporated into the appropriate case file

Item 10.

**FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS
PART III - FINANCE, ACCOUNTING AND OPERATIONS**

8

2 DELEGATIONS OF AUTHORITY (N1-138-99-1)

A Delegation of Authority Records

Records administrative authorities assigned to employees

1 Record Copy (maintained by Delegation of Authority Administrator)

TEMPORARY, Destroy or delete 3 years after revoked or revised or after position is vacated or eliminated

Item 11.

**FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS
PART IV - ADMINISTRATIVE RECORDS COMMON TO ALL OFFICES**

9

1 MANAGEMENT/CONSULTING REPORTS (N1-138-99-4)

Documents accumulated in planning, administering, conducting, and assisting in management, manpower studies, surveys and evaluations (including those performed by contractors) of operations, systems procedures, methods, and staffing for developing, recommending, and implementing improvements Case files may include the finalized report, project requests or authorizations, project plans, milestone charts, briefing material, conceptual models, surveys, operational reviews, manpower utilization material, and related materials

A Recordkeeping Copy

TEMPORARY, Cut off when study is completed and no further actions are necessary
Destroy 5 years after cutoff

~~B Working Papers~~

SBR
8/18/2010

~~TEMPORARY, Cut off at end of fiscal year in which study was completed Destroy 3 years after cutoff~~

SAE
8/18/2010

Item 12.

**FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS
PART IV - ADMINISTRATIVE RECORDS COMMON TO ALL OFFICES**

2 INTERPRETATIONS AND ADVISORY OPINIONS (N1-138-02-1), including NL Dockets

10

Correspondence, including no action letters (NL Dockets), providing informal advice, interpretations and/or opinions of Commission staff to the general public and to prospective applicants for licenses, certificates, and other Commission authorizations. Opinions expressed by the staff do not represent the official views of the Commission and do not set precedent binding the Commission in future cases. They are designed to aid the public and facilitate the accomplishment of the Commission's functions.

TEMPORARY, Close file at the end of each calendar year Destroy when 15 years old