

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

JOB NO.

NI-138-88-2

DATE RECEIVED

5/3/88

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

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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

1. FROM (Agency or establishment)

Federal Energy Regulatory Commission

2. MAJOR SUBDIVISION

Office of Information Resources Management

3. MINOR SUBDIVISION

Division of Information Policy and Review

4. NAME OF PERSON WITH WHOM TO CONFER

Timothy F. Shaughnessy

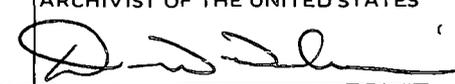
5. TELEPHONE EXT.

357-5570

DATE

9/6/88

ARCHIVIST OF THE UNITED STATES



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 _____ 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence: is attached; or is unnecessary.

B. DATE

4/29/88

C. SIGNATURE OF AGENCY REPRESENTATIVE

Timothy F. Shaughnessy



D. TITLE

Records Management Officer

7. ITEM NO.

8. DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

Revision of Federal Energy Regulatory Commission Comprehensive Records Disposition Schedules.

See attached.

9. GRS OR SUPERSEDED JOB CITATION

NCI-138-88-1

10. ACTION TAKEN (NARS USE ONLY)

All changes to this proposed schedule have been approved.

William J. Seitzinger
 Margaret C. Kovacs
 Agency representative
 NARA appraiser

Copy sent to MCF
MME, MMS 9/18/88

FEDERAL ENERGY REGULATORY COMMISSION

RECORDS DISPOSITION SCHEDULE

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FERC RECORDS SCHEDULE I

GENERAL RECORDS

See Appendix A - General Records Schedules

FERC RECORDS SCHEDULE II
RECORDS OF THE COMMISSION

PART I - RECORDS OF THE CHAIRMAN AND COMMISSIONERS

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	Chron files of correspondence originated in the Commissioner's office.	<u>Permanent.</u> Close file when term of office ends. Offer to NARS ¹⁰ in 5 year blocks when 20 years old.
2.	Speech Files of the Commissioners.	<u>Permanent.</u> Close file when term of office ends. Offer to NARS ¹⁰ in 5 year blocks when 20 years old.
3.	General Files on miscellaneous topics relating to the individual Commissioner.	Destroy upon expiration of Commissioner's term of office.
4.	Commissioners' Personal Files.	To be retained by Commissioner upon expiration of his/her term; otherwise, destroy immediately.

FERC RECORDS SCHEDULE II

Part II - RECORDS OF THE OFFICE OF SECRETARY

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>COMMISSION, COMMITTEE AND CONFERENCE RECORD</u>	
a.	Records relating to establishment, organization, membership and policy.	
	(1) Interagency, advisory or international committees.	<u>Permanent.</u> Offer to NARS in 5 year blocks when 20 ₁₀ years old.
	(2) Internal committees.	<u>Permanent.</u> Offer to NARS in 5 year blocks when 20 ₁₀ years old.
b.	Minutes of Commission Meetings. Record copy includes Secretary's minutes of Commission meetings together with a copy of all documents approved at such meetings. <i>Includes Sunshine Act Records.</i>	<u>Permanent.</u> Offer to NARS in 5 year blocks when 20 ₁₀ years old.
c.	Secretary's Meeting Folders. Record copy includes Secretary's agenda of Commission meetings and drafts of documents discussed and considered.	Destroy when 5 years old.
d.	Secretary's Administrative Agenda File. Record copy includes copies of administrative documents considered, discussed and approved by the Commission at regular or special meetings.	<u>Permanent.</u> Offer to NARS in 5 year blocks when 20 ₁₀ years old.
e.	List of Formal Documents Issued. Record copy includes daily summary of orders, opinions, decisions and notices issued by the Commission.	<u>Permanent.</u> Offer to NARS in 5 year blocks when 20 ₁₀ years old.

FERC RECORDS SCHEDULE II

Part II - RECORDS OF THE OFFICE OF SECRETARY (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
2.	<u>DOCKET SHEETS</u> Brief historical outline of a proceeding, with dates and entries of actions constituting a complete chronological record of a docketed case a. Record Copy.	<u>Permanent.</u> When Docket Sheets and Index Files are beyond agency functional use, FERC and NARS will decide how to block and transfer the two series.
3.	<u>DOCKET SHEETS INDEX FILE.</u> A card file arranged alphabetically by applicants' names giving Docket number(s) assigned to proceedings initiated by companies/ individuals. a. Record Copy.	<u>Permanent.</u> When Docket Sheets and Index Files are beyond agency functional use, FERC and NARS will decide how to block and transfer the two series.

FERC RECORDS SCHEDULE II

PART III - OFFICE OF GENERAL COUNSEL

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>LEGISLATIVE HISTORY FILES</u> A set of historical files containing records of legislation leading to passage of the Federal Power and Natural Gas Acts.	
	a. Construction Files.	Permanent. Offer to NARS ^A in 5 year blocks when 20 ¹⁰ years old.
	b. Technical Reference Back-up Files.	Purge file annually; remove and destroy material no longer relevant.
2.	<u>ENFORCEMENT INVESTIGATION FILES</u> Informal investigations conducted by the Enforcement Division.	
	a. Record Copy.	Destroy 5 years after case is closed. SENT TO FERC RECORDS MAINTENANCE CENTER.
	b. Other Copies.	None authorized.
3.	<u>FORMAL INVESTIGATIONS (IN)</u>	See FERC Schedule III, Part IV, Sub-part A, Item 2.

FERC RECORDS SCHEDULE II

PART IV - OFFICE OF CHIEF ACCOUNTANT

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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~~1. a. AUDIT FILES - External~~

~~Audits of public utilities and licensees, natural gas companies and oil pipeline carriers.~~

~~(1) Report Record Copy~~

~~Destroy when 20 years old.~~

~~(2) Working Papers.~~

~~Destroy after 2 successive audits have been completed.~~

~~b. AUDIT FILES - Internal~~

~~See GRS 6, Item 1.~~

~~2. COST STUDIES WORK PAPERS~~

~~These are audit working papers; documents prepared and developed by the staff of the Division of Audits during the course of auditing public utilities, licensees, natural gas companies, oil pipeline carriers and pipeline systems coming under the jurisdiction of the FERC.~~

~~a. Record Copy.~~

~~Destroy when 7 years old or when superseded, whichever is sooner.~~

~~b. Other Copies.~~

~~None authorized.~~

Delete

FERC RECORDS SCHEDULE II

PART IV - OFFICE OF CHIEF ACCOUNTANT (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	<u>LICENSED PROJECT ACCOUNTING WORK PAPERS</u>	
	Record related to the construction of licensed projects, or additions or betterments for which the Commission has not determined the actual cost.	
	a. Record Copy.	
	(1) Record related to plant of licensed projects.	Destroy 25 years from date of record.
	(2) Other Records.	Destroy 7 years from date of record or when superseded, whichever is sooner.

delete

FERC RECORDS SCHEDULE III

DOCKETED FORMAL CASE FILES

Docketed formal case files are established upon receipt and acceptance by the Commission of written applications, complaints, declarations, petitions, projects, answers, motions, briefs, exceptions, rate schedules, notices, reports, or other pleadings, amendments to pleadings, documents or papers, as required or allowed by the Code of Federal Regulations (C.F.R.), by any rule, regulation or order of the Commission, or by any applicable statute. 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.

It is to be noted that, because of the legal ramifications involved in most docketed cases, the retention period allowed for material is usually in excess of most normal requirements. For this reason, retention periods authorized for much of this material, particularly for nonrecord copies, is generally beyond the NARS² recommended maximum retention period of five years for temporary records.

It is also to be noted that ~~special exception to any retention period can be made for~~ records establishing legal precedents or otherwise carrying special historical value. ~~Records eligible for special exception will be identified jointly by FERC staff offices and the FERC Records Officer, subject to final approval by NARS.~~

ARE TO

MANAGEMENT

THESE RECORDS ONCE IDENTIFIED WILL BE SUBJECT TO REVIEW AND FINAL APPROVAL BY NAR&A.

FERC RECORDS SCHEDULE III

PART I - ELECTRIC UTILITIES

Subpart A - Applications and Adjustments

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<p><u>POWER SITE LAND APPLICATIONS</u> (DA Dockets)</p> <p>Case files include applications with supporting material together with approval/denial action.</p> <p>a. Applications.</p> <p>b. Other Supporting Material (Not docketed) (Requests for Rights-of-Way (EPR's), Geothermal Leases (EPR-GSL's) Mineral Leases (EPR-MGL's) and Mining Claims (MAR's) on Federal lands).</p> <p>c. Other Copies.</p>	<p>Permanent. Offer to NARS in 5 year blocks when 20¹⁰ years old.</p> <p>Permanent. Offer to NARS in 5 year blocks when 20¹⁰ years old.</p> <p>Destroy ^{when} 2 years after case is closed or sooner if no longer needed.</p>

~~2. INTERLOCKING DIRECTORATES~~

~~(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.~~

- ~~a. Record Copy. Close file after all actions have been taken. Destroy when 25 years old.~~
- ~~b. Other Copies. Destroy 10 years after cancellation or supersession or sooner if no longer needed.~~

FERC RECORDS SCHEDULE III

PART I - ELECTRIC UTILITIES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	<p><u>ELECTRIC SECURITIES</u></p> <p>(ES Dockets)</p> <p>Case files include applications by public utilities for approval of securities, assumption of liabilities, purchase of securities, and mergers.</p>	
	a. Record Copy.	Destroy ^{when 5} when 10 years old.
	b. Other Copies.	Destroy 5 years after ^{WHEN} date order becomes ^{final or sooner if} no longer needed.

~~4. ELECTRIC CORPORATE APPLICATIONS~~

~~(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; and all notices, orders, petitions, requests, motions, hearing records (including exhibits, transcripts, and ALJ documents), opinions, and filed correspondence.~~

FERC RECORDS SCHEDULE III

PART I - ELECTRIC UTILITIES (CONTINUED)

Item No.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
4. (Con't)	a. Record Copy.	Close files after all actions have been taken. Destroy when 25 years old.
	b. Other Copies.	Destroy 10 years after date docket is terminated or sooner if no longer needed.
5.	<u>QUALIFYING FACILITIES</u>	
	(QF Dockets)	
	Case files include notices of self qualification, applications for qualifying status, hearing transcripts, Commission Orders, and appeals to Commission Orders.	
	a. Record Copy.	Close file after all actions have been taken. Destroy when 20 years old.
	b. Other Copies.	Destroy 2 years after Commission Order becomes final.
<u>Subpart B - Rate Filings and Investigations, Collections</u>		
1.	<u>ELECTRIC RATE FILINGS</u>	
	(ER Dockets)	
	Case files include rate filing applications, official notice, orders, petitions, motions, hearings (official), records and exhibits, transcripts, ALJ documents, opinions and correspondence.	
	a. Record Copy.	Close file after all actions have been taken. Destroy when 25 years old.
	b. Other Copies.	Destroy 10 years after Order becomes final or sooner if no longer needed.

FERC RECORDS SCHEDULE III

PART I - ELECTRIC UTILITIES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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2. TARIFFS, WHOLESALE CONTRACTS AND RATE SCHEDULES

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

a. Record Copy.

Close file after all actions have been taken. Destroy when 20 years old.

b. Other Copies.

Destroy 1 year after cancellation, supersession or rejection.

3. ELECTRIC FEDERAL RATES

(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.

a. Record Copy.

Close file after all actions have been taken. Destroy when 50 years old.

FERC RECORDS SCHEDULE III

PART I - ELECTRIC UTILITIES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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3. (Con't) b. Other Copies.

when no longer needed
 Destroy ~~5 years~~
~~after date Commission~~
~~Order is issued.~~

Subpart C - Licensed Projects; Surveys and Studies

1. LICENSED HYDROPOWER PROJECTS

(All P and some EL Dockets)

Case files for the following types of filings: preliminary permits, licenses, amendments of permits and licenses, exemptions from licensing, surrenders and transfers of licenses, declaration of intention. Material filed includes applications, incoming and outgoing correspondence, internal memos and reports, cost statements and related papers. Licenses are granted for up to 50 years and may be renewed. Files include copies of formal document issued and all items filed with the Secretary.

~~a. Permanent Sample of Records (2% of total volume of licensed hydropower project files) Permanent. Offer to NARS in 5 year blocks when 20 years old.~~

~~1. Select a 1% sample composed of complete licensed hydro-power projects designated by FERC with the concurrence of NARS that meet one or more of the following criteria:~~

~~(a) established a precedent and therefore resulted in a major policy or procedural change;~~

~~(b) was involved in extensive litigation;~~

~~(c) received widespread attention from the news media;~~

FERC RECORDS SCHEDULE III

PART I - ELECTRIC UTILITIES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1. (Con't)	<p>(d) was widely recognized for its uniqueness by established authorities outside the Government;</p> <p>(e) was reviewed at length in the agency's annual report to the Congress.</p>	
	<p>2. Compile a 1% sample by selecting complete project files for project files for project numbers 5, 105, 205, 305, 405, etc.</p>	
	<p>b. Other 98% Licensed Hydropower Project Files</p>	<p>Destroy 1 year after cancellation, supersession or rejection, or after a new hydropower license has been issued or accepted.</p>
	<p>1. Correspondence files (Public and non-public).</p>	
	<p>2. Vault copy of licenses.</p>	
	<p>3. Official exhibit drawings (tracings or microfilm).</p>	
	<p>4. All other filings and issuances.</p>	
	<p>c. Other Copies.</p>	<p>Destroy 1 year after cancellation, supersession or rejection, or after a new hydropower license has been issued or accepted.</p>

d. Preliminary Permits.

1. Record Copy

2. Other Copies

Destroy 15 years from date of filing.

Destroy when no longer needed.

FERC RECORDS SCHEDULE III

PART I - ELECTRIC UTILITIES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
2.	<u>HEADWATER BENEFITS MATTERS</u> (HB Dockets) Case files include decisions, notices, orders, petitions, briefs, protests, comments, settlement orders, headwater benefits study data, and related correspondence.	
	a. Record Copy.	Close file after all actions have been taken. Destroy when 50 years old.
	b. Other Copies.	Destroy 1 year after <i>WHEN</i> cancellation, supersession or rejection. <i>NO LONGER NEEDED.</i>
3.	<u>ECONOMIC AND ENGINEERING SURVEYS AND STUDIES</u> 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.	
	a. General investigations of water power resources and their relation to interstate and foreign commerce and of the water power industry and its relation to other industries.	

FERC RECORDS SCHEDULE III

PART I - ELECTRIC UTILITIES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3. (Con't)	(1) Record Copy.	<u>Permanent</u> . Offer to NARS in 5 year blocks when 28 10 years old.
	(2) Other Copies.	Destroy 2 years from date of <i>W.H.R. in</i> document or sooner if no longer needed.
	b. Power market surveys on the utilization and marketing of electric power from existing and proposed hydro-electric development.	
	(1) Record Copy.	Close file after all actions have been taken. Destroy when 5 years old.
	(2) Other Copies.	Destroy 2 years from date of <i>W.H.R. in</i> document or sooner if no longer needed.
	c. River Basin studies made in cooperation with other agencies. <i>TO INCLUDE CIAP OR OTHER CUMULATIVE IMPACT STUDIES.</i>	
	(1) Record Copy.	Close file after all actions have been taken. Destroy when 7 ⁵⁰ years old.
	(2) Other Copies.	Destroy 2 years from date <i>W.H.R. in</i> of document or sooner if no longer needed.

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

1. COMPANY CORRESPONDENCE FILES (ELECTRIC)

Files contain material of interest to the Commission, but not pertaining to formal or informal case files; this might include general correspondence, transmittals, reports, information on

FERC RECORDS SCHEDULE III

PART I - ELECTRIC UTILITIES (CONTINUED)

Item No.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1. (Con't)	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.	Close file after all actions have been taken. Destroy when ¹ / ₂ years old.
	a. Record Copy.	Close file after all actions have been taken. Destroy when ¹ / ₂ years old.
	b. Other Copies.	Destroy one year after date of document. when no longer needed.
2.	<u>ELECTRIC UTILITIES</u>	<u>Note:</u> E Dockets were discontinued as of 1975.
	(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.	
	a. Record Copy.	Close file after all actions have been taken. Destroy when 25 years old.
	b. Other Copies.	Destroy 4 years from date Order becomes final or sooner if no longer needed.

PART I - ELECTRIC UTILITIES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	<u>OTHER ELECTRIC POWER FORMAL PROCEEDINGS.</u> (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.	Close file after all actions have been taken. Destroy when 25 years old.
	a. Record Copy.	
	b. Other Copies.	Destroy 10 years after date Order becomes final or sooner if no longer needed.

FERC RECORDS SCHEDULE III

Part II - GAS PRODUCERS & UTILITIES

Subpart A - Applications and Adjustments

1. INDEPENDENT GAS PRODUCER
CERTIFICATES

(CI Dockets)

Case files contain applications for certification of public convenience and necessity for abandonment; and all notices, orders, petitions, requests, ~~opinions~~ motions, hearing records (including exhibits, transcripts, and ALJ documents), opinions, and filed correspondence.

a. Record Copy.

~~Destroy 25 years after date of termination.~~
Destroy when 50 years old.

b. Other Copies.

~~Destroy 2 years from date of termination or sooner if no longer needed.~~ NONE EXIST

Exceptions:

a. (Prior to disposition all records in this category should be reviewed for application of the special exemption described on page III-1.)

delete

b. Applications that have been withdrawn.

~~Destroy 6 months after withdrawal.~~

c. Applications that have been rejected or dismissed.

~~Destroy 5 years after date of rejection or dismissal.~~

d. Certificated operations that have been completely terminated and vacated pursuant to regulations under the Natural Gas Act and Natural Gas Policy Act.

~~Destroy 1 year after date of non appealable order authorizing abandonment.~~

FERC RECORDS SCHEDULE III

Part II - GAS PRODUCERS & UTILITIES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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2.	<u>INDEPENDENT SMALL GAS PRODUCER CERTIFICATES</u>	
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(CS Docket)

Case files contain applications for certification of public convenience and necessity for abandonment; orders, notices, petitions and opinions related to case files; and correspondence and other related documents.

INCLUDING FORM 314 A, APPLICATION FOR SMALL BUSINESS EXEMPTION.
 a. Record Copy.

Destroy when 50 years old.
~~Destroy 25 years after date of termination.~~

b. Other Copies.

~~Destroy 2 years from date of termination or sooner if no longer needed.~~ *NONE EXIST.*

Exceptions:

delete

a. (Prior to disposition all records in this category should be reviewed for application of the special exemption described on page III-1.)

b. Applications that have been withdrawn.

~~Destroy 6 months after such withdrawal.~~

c. Applications that have been rejected or dismissed.

~~Destroy 5 years after rejection or dismissal.~~

d. Certificated operations that have been terminated and vacated pursuant to regulations under the Natural Gas Act and the Natural Gas Policy Act.

~~Destroy 1 year after date of non appealable order authorizing abandonment.~~

FERC RECORDS SCHEDULE III

Part II - GAS PRODUCERS & UTILITIES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	<p><u>GAS PIPELINE CERTIFICATES</u></p> <p>(CP Dockets)</p> <p>Case files contain application for certificate, formal documents issued, and all notices, orders, petitions, requests, motions, hearing records (including exhibits, transcripts, and ALJ documents), opinions, and filed correspondence.</p>	
	a. Record Copy.	Destroy when 20 years old.
	b. Other Copies.	Destroy 4 years from date non-appealable order becomes final or when sooner if no longer needed.
	<u>Exceptions:</u>	
	a. (Prior to disposition all records in this category should be reviewed for application of the special exemption described on page III-1.)	
	b. Applications that have been withdrawn.	Destroy 6 months after date of withdrawal.
	c. Applications that have been rejected or dismissed.	Destroy 5 years after rejection or dismissal.

delete

Subpart B - Rate Filings and Investigations; Collections

1. AREA RATE INVESTIGATIONS
- (AR Dockets)
- Area rate case files pertain to the sectioning of the continental U.S. into subdivisions to provide for uniform rate pricing procedures within each specific area. They include testimony, refund reports,

FERC RECORDS SCHEDULE III

Part II - GAS PRODUCERS & UTILITIES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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1. (Con't) information on tariffs and rate investigations, staff reports, ~~general correspondence and other rate material.~~ These cases involve a consideration of a large number of producer rate increases (RI) dockets.

a. Record Copy.

IMMEDIATELY.
Destroy ~~when 20 years~~ old.

b. Other Copies.

Destroy ~~4 years from date order becomes final~~ or sooner if no longer needed. *None AUTHORIZED.*

and all notices, orders, petitions, requests, motions, hearing records (including exhibits, transcripts, and ALJ documents), opinions, and filed correspondence.

2. INDEPENDENT PRODUCERS' GAS RATES

(RI Dockets)

Case files contain documents prepared by the staff, corporate histories, plant accounts and related depreciation reserves, rate bases, balance sheets, income statements and natural gas reserves.

a. Record Copy.

Destroy when 15 years old.

b. Other Copies.

None exist.

3. GAS PIPELINE RATES

GT + TA Dockets)
(~~RP, Dockets~~)

Case files include material relating to the establishment and revision of gas pipeline carrier rates, such as rate investigation material, balance sheets,

and all notices, orders, petitions, requests, motions, hearing records (including exhibits, transcripts, and ALJ documents), opinions, and filed correspondence.

FERC RECORDS SCHEDULE III

Part II - GAS PRODUCERS & UTILITIES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3. (Con't)	<p>a. Record Copy.</p> <p>b. Other Copies.</p> <p><u>Exception:</u></p> <p>a. (Prior to disposition all records in this category should be reviewed for application of the special exemption described on page III-1.)</p>	<p>Destroy when 20 years old.</p> <p>Destroy 5 years from date Order becomes final or sooner if no longer needed.</p>
4.	<p><u>STAFF ADJUSTMENTS (GAS)</u></p> <p>(SA Dockets)</p> <p>Case files contain reviews of staff adjustments under Section 502e of the NGPA of 1978; material may include petitions and notices requesting amendments to petitions and extension of filing deadline, petitions for waiver notification of requirements, and notices of application for an adjustment.</p>	
	<p>a. Record Copy.</p> <p>b. Other Copies.</p>	<p>Destroy when ¹⁵20 years old.</p> <p>Destroy 1 year after date of termination. <i>None exist.</i></p>
5.	<p><u>SALES AND TRANSPORTATION (GAS)</u></p> <p>(ST Dockets)</p> <p>Transportation and sale of gas; basically self-implementing transactions with no prior approval by FERC required. However, <u>rate status approval must be obtained</u></p>	

FERC RECORDS SCHEDULE III

Part II - GAS PRODUCERS & UTILITIES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5. (Con't)	<p>from the Commission. Occasionally, requests are made for rate approval in advance.</p> <p>Because these dockets have rate proceedings implications, disposition values are similar to those assigned rate cases.</p>	
	a. Record Copy.	Destroy when 20 years old.
	b. Other Copies.	Destroy 5 years from date closed or sooner if no longer needed.
6.	<p><u>GAS PIPELINE SERVICE AGREEMENTS</u></p> <p>Files include documents filed by natural gas companies and independent gas producers setting forth pipeline tariffs and rates for sales of natural gas at wholesale in interstate commerce.</p>	
	a. Record Copy.	Destroy when 20 years old.
	b. Other Copies.	Destroy 1 year after cancellation, supersession or rejection.

FERC RECORDS SCHEDULE III

Part II - GAS PRODUCERS & UTILITIES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
7.	<u>TARIFF CURTAILMENT: NATURAL GAS</u> (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.	Destroy when 20 years old.
	a. Record Copy.	Destroy 4 years from date Order becomes final or sooner if no longer needed.
	b. Other Copies.	
	<u>Exception.</u>	
	a. (Prior to disposition all records in this category should be reviewed for application of the special exemption described on page III-1.)	
8.	<u>TARIFFS, WHOLESALE CONTRACTS AND GAS RATE SCHEDULES</u> Documents are filed with the Commission by:	
	(1) Natural Gas Pipeline Companies: tariffs, and rates for sales of natural gas at wholesale in interstate commerce;	
	(2) Independent Producers: rates for sales of gas to natural gas pipeline companies or to other independent producers in interstate commerce.	

FERC RECORDS SCHEDULE III

Part II - GAS PRODUCERS & UTILITIES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8. (Con't)	<u>TARIFFS, WHOLESALE CONTRACTS AND GAS RATE SCHEDULE</u>	
a.	Record Copy	
	1. Superseded or rejected files	Destroy ^{when} 40 years old. after file is opened.
	2. Cancelled files	Destroy 10 years after cancellation.
b.	Other copies	None exist.
9.	<u>INVESTIGATIONS: NATURAL GAS</u> (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.	
a.	Record Copy.	Destroy when 10 years old.
b.	Other Copies.	Non authorized.

FERC RECORDS SCHEDULE III

Part II - GAS PRODUCERS & UTILITIES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
10.	<u>INTERIM COLLECTIONS</u>	
	Interim and retroactive collections filings.	
	a. Record Copy.	Destroy when 5 years old.
	b. Other Copies.	None required.
11.	<u>TIGHT FORMATION NOMINATIONS</u>	
	Jurisdictional agencies' written recommendations nominating a tight formation.	
	a. Record Copy.	<i>Destroy when 25 years old.</i> Retain indefinitely pending Federal policy decisions on deregulation of natural gas after that time, submit SF-115 to NARS.
	b. Other Copies.	None required.

FERC RECORDS SCHEDULE III

Part II - GAS PRODUCERS & UTILITIES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<u>Subpart C - Notices, Petitions, and Elections</u>		
1.	<u>WINDFALL PROFITS TAX ELECTIONS</u> An election filed by natural gas producers to collect the incentive price under Section 107, NGPA in lieu of the tax credit. All files returned to companies as of April 1981.	
	a. Record Copy.	Destroy when 20 years old. <i>IMMEDIATELY.</i>
	b. Other Copies.	Destroy upon termination of functional use, but no later than 1 year after date of filing. <i>NONE EXIST.</i>
2.	<u>NOTICES OF WELL DETERMINATION (NGPA)</u> (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.	
	a. Record Copy.	Destroy original paper copy after microfilming and verification. Retain microfilm and index to microfilm indefinitely pending Federal policy decisions on deregulation of natural gas at that time, submit SF-115 to NARS. <i>WHEN 7 YEARS OLD.</i>
	b. Other Copies.	Destroy 1 year after final decision date. <i>NONE EXIST.</i>

FERC RECORDS SCHEDULE III

PART II - GAS PRODUCERS & UTILITIES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	<p><u>NOTICES OF DETERMINATION INCLUDING RELATED APPLICATIONS</u></p> <p>Justifications submitted by natural gas producers to support requests for incentive price.</p> <p>a. Record Copy.</p> <p>b. Other Copies.</p>	<p>Retain indefinitely pending Federal policy decisions on deregulation of natural gas at that time submit SF-115 to NARS.</p> <p>None Required.</p>
4.	<p><u>JURISDICTIONAL AGENCIES' REQUESTS FOR ALTERNATIVE FILING OR NOTICE REQUIREMENTS</u></p> <p>Requests submitted by jurisdictional agencies for alternative filing or notice requirements under the NGPA.</p> <p>a. Record Copy.</p> <p>b. Other Copies.</p>	<p><i>Destroy when no longer needed</i></p> <p>Retain indefinitely pending Federal policy decisions on deregulation of natural gas at that time submit SF-115 to NARS.</p> <p><i>EXIST.</i></p> <p>None Required.</p>

delete

FERC RECORDS SCHEDULE III

PART II - GAS PRODUCERS & UTILITIES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<u>Subpart D - General Dockets, Discontinued Dockets; and Company Correspondence</u>		

1. GENERAL GAS DOCKET CATEGORY

(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.

a. Record Copy.

Destroy when 10 years old.
~~Retain indefinitely pending Federal policy decisions on the deregulation of natural gas at that time, submit SF-115 to NARG.~~

b. Other Copies.

Destroy when no longer needed.
~~Destroy 1 year after final action.~~

2. G (Gas) now (CI, ^{CS} and RI, CP and RP)

Case files include (a) applications for certificates of public convenience and necessity, exemption, export, or import, (b) rate investigation papers including staff working papers dealing with the property and balance sheet accounts; ~~with~~ copies of formal documents *issued,* and all notices, orders, petitions, requests, motions, hearing records (including exhibits, transcripts, and ALJ documents), opinions, and filed correspondence.

a. Record Copy.

Destroy when ⁵⁰~~25~~ years old.

b. Other Copies.

~~Destroy 2 years from date of termination or sooner if no longer needed.~~
NO MORE EXIST.

FERC RECORDS SCHEDULE III

PART II - GAS PRODUCERS & UTILITIES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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2. (Cont'd) Exceptions:

delete

- a. (Prior to disposition all records in this category should be reviewed for application of the special exemption described on page III-1.)
- b. Applications that have been withdrawn.
- c. Applications that have been rejected or dismissed.
- d. Certificated operations that have been completely terminated and vacated pursuant to regulations under the Natural Gas Act and Natural Gas Policy Act.

- ~~Destroy 6 months after withdrawal.~~
- ~~Destroy 5 years after date of rejection or dismissal.~~
- ~~Destroy 1 year after date of non appealable order authorizing abandonment.~~

3. COMPANY CORRESPONDENCE FILES (GAS AND GAS PIPELINE)

Files contain material of interest to the Commission, but not pertaining to formal or informal case files; this might include general correspondence, transmittals, reports, information on accounting systems, natural gas status, employee pension plans, operating agreements with other companies, and related matters.

- a. Record Copy.
- b. Other Copies.

- Destroy when ⁵20 years old.
- Destroy ~~1 year after date of issue~~ ^{WHEN NO LONGER NEEDED.}

FERC RECORDS SCHEDULE III

Part III - OIL PRODUCERS & PIPELINES

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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Subpart A - Applications and Adjustments

1. SPECIAL PERMISSION APPLICATIONS

(SP Dockets)

Case files include special permission applications or other permissible waivers of rules regarding tariff schedules under Section 6(3) of ICA (Interstate Commerce Act: 49 U.S.C. 6(3), Oil Pipeline Tariffs.

a. Record Copy.

~~Cut off after date of final non appealable order. Destroy when 10-5 years old.~~

b. Other Copies.

Destroy ^{when} 12 years from date order becomes final or sooner if no longer needed.

2. REQUESTS FOR ADJUSTMENTS

(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.

a. Record Copy.

Close file after all actions have been completed. Destroy when 20 years old.

b. Other Copies.

Destroy 2 years after case is closed or sooner if no longer needed.

FERC RECORDS SCHEDULE III

Part III - OIL PRODUCERS & PIPELINES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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Subpart A - Applications and Adjustments

3. REMEDIAL ORDERS

(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.

a. Record Copy.

Close file after all actions have been completed. Destroy when 20 years old.

b. Other Copies.

Destroy 2 years after case is closed or sooner if no longer needed.

Subpart B - Rate Filings and Investigations; Collections

1. OIL PIPELINE RATES

(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 others 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.)

a. Record Copy.

Cut off after date of final non appealable order. Destroy when 20 years old.

b. Other Copies.

Destroy 5 years from date Order becomes final or sooner if no longer needed.

FERC RECORDS SCHEDULE III

Part III - OIL PRODUCERS & PIPELINES (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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1. (Con't) Exception:

~~a. (Prior to disposition all records in this category should be reviewed for application of the special exemption described on page III-1.)~~

Delete

~~2. PIPELINE DEPRECIATION (OIL)~~

~~(PD Dockets)~~

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

~~a. Record Copy.~~

~~Cut off after final non appealable order. Destroy when 15 years old.~~

~~b. Other Copies.~~

~~Destroy 7 years from date Order becomes final or sooner if no longer needed.~~

~~Exception:~~

~~a. (Prior to disposition all records in this category should be reviewed for application of the special exemption described on page III-1.)~~

3. OIL PIPELINE VALUATION

(PV Dockets)

Case files pertain to the annual valuation of oil pipelines. Included is information on the corporate structure of the company, a description of the property, and value determinations for rate making purposes.

a. Record Copy.

immediately.
~~Destroy when no longer needed. Transfer to FRC not authorized.~~

Part III - Oil Producers and Pipelines (continued)

<u>Description of Records</u>	<u>Authorized Disposition</u>
5. Oil Tariff Filings (TS Dockets)	
These Oil Tariff Filings contain information pertaining to the transportation rates and/or rules and regulations of individual oil pipeline companies.	
a. Record Copy	Destroy 15 years after cancellation.
b. Other Copies	None Authorized

FERC RECORDS SCHEDULE III

Part III - OIL PRODUCERS & PIPELINES (CONTINUED)

Item	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
3. (Con't)	b. Other Copies.	<i>None exist.</i> Destroy 2 years from date Order becomes final or sooner if no longer needed.
4.	<u>FOURTH SECTION FILINGS (OIL PIPELINES)</u> (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.	
	a. Record Copy.	Cut off after final non-appealable order. Destroy when ²⁰ 10 years old
	b. Other Copies.	None required. <i>exist.</i>

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

1.	<u>ENERGY ACTIONS</u> (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.	
	a. Record Copy.	Cut off after date of final Order. Destroy when 25 years old.

FERC RECORDS SCHEDULE III

Part III - OIL PRODUCERS & PIPELINES (CONTINUED)

Item No.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1. (Con't) b.	Other Copies.	Cut off after date of final Order. Destroy when 5 years old or sooner if no longer needed. NO NII REQUIRED.

~~2. THE ALASKAN PIPELINE SYSTEM (TAPS)~~

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

~~a. Record Copy.~~

is the Commission which planned the Court to preserve the records in the event that the case is

~~Retain indefinitely pending settlement of this case, at which time submit SF-115 to NARS with recommended disposition. (NOTE: Hearings in this case are expected to continue for several years and may eventually be resolved by the U.S. Supreme Court.)~~

~~b. Other Copies.~~

~~None authorized.~~

~~3. COMPANY CORRESPONDENCE FILES (OIL PRODUCERS & PIPELINES)~~

~~Files contain material of interest to the Commission, but not pertaining to formal or informal case files; this might include general correspondence, transmittals, reports, information on accounting systems, oil field status, employee pension plans, operating agreements with other companies & related matters.~~

~~a. Record Copy.~~

~~Destroy 5 years after receipt.~~

~~b. Other Copies.~~

~~Destroy 1 year after date ^{WHEN NO} _{MONITOR} ^{ALASKA}~~

FERC RECORDS SCHEDULE III

Part IV - 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.

<u>Item</u> <u>No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED</u> <u>DISPOSITION</u>
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Subpart A - Rate Filings and Investigations; Collections

1. SUSPENSION & INVESTIGATION OF
RATES, FARES, CHARGES AND
PRACTICES OF COMPANIES

(IS Dockets)

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

- | | |
|------------------|---|
| a. Record Copy. | Close file after all actions have been taken. Destroy when ¹⁰ 20 years old. |
| b. Other Copies. | Cut off file when Order becomes final. Destroy when 5 years old or sooner if no longer needed. |

~~2. INVESTIGATIONS (FORMAL)~~

~~(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, and petitions to quash subpoenas.~~

~~See FERC Schedule III, Part II, Subpart B, Item 9.~~

- | | |
|-----------------------------|---|
| a. Record Copy. | Close file after all actions have been taken. Destroy when 10 years old. |
| b. Other Copies. | None authorized. |

FERC RECORDS SCHEDULE III

PART IV - MISCELLANEOUS FILINGS COMMON TO ALL
DOCKETS (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	<u>CONTESTED AUDITS</u> (FA Dockets) Case files in formal proceedings resulting from disagreements between utilities and the Commission's audit staff regarding the keeping and maintenance of the utilities' books of account. Files include all notices, orders, petitions, requests, motions, hearing records (including exhibits, transcripts, and ALJ documents), opinions, and filed correspondence.	
	a. Record Copy.	Destroy ^{when} 30 years old. after file is open.
	b. Other Copies.	Destroy when no longer needed.

FERC RECORDS SCHEDULE III

Part IV - MISCELLANEOUS FILINGS COMMON TO ALL DOCKETS (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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Subpart B - Licensed Projects; Surveys and Studies

1. SPECIAL STATISTICAL STUDIES

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.

a. Record Copy.

~~Transfer to Federal Records Center when 2nd years old; Destroy when 5 years old.~~

b. Other Copies.

Destroy ~~2 years after date~~ *when* of issue or sooner if no longer needed.

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

1. CLASSIFIED DOCUMENTS

Documents bearing the security classification CONFIDENTIAL or SECRET for national security reasons.

a. Record Copy.

When downgraded to UNCLASSIFIED, transfer custody to Central Files. Disposition thereafter will be made in accordance with applicable Schedule herein.

FERC RECORDS SCHEDULE III

Part IV - MISCELLANEOUS FILINGS COMMON TO ALL DOCKETS (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
2.	<p><u>RULEMAKING</u></p> <p>(RM Dockets)</p> <p>Case files may include, among other things, petitions for rulemakings, notice of inquiry, notice of proposed rulemaking, other public notices pertaining to the rulemaking, interim rule, final rule, written comments, transcripts of public hearings, rehearing petitions, rehearing orders, correspondence, and staff reports, ^{Federal Register citations,} records of court proceedings, pleadings, ^{and remittals}</p> <p>a. Record Copy.</p>	<p><u>Permanent.</u> Offer to NARS in 5 year blocks when 2010 years old.</p>
	<p>b. Other Copies.</p>	<p>Destroy 1 year after issuance of final rule WHA - NO LONGER MAINTAINED.</p>

FERC RECORDS SCHEDULE - IV

REPORTS

PART I - MONTHLY; SEMIMONTHLY

<u>Item</u> <u>No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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ELECTRIC

1. ELECTRIC UTILITY COMPANY
MONTHLY STATEMENT (FORM 5)

Files include monthly information concerning electric operating revenues, revenue deductions, and incomes for all Class A electric utilities, both privately and publicly owned.

(Order No. 265, RM83-4, Discontinuance of FERC Form No. 5; Electric Utility Company Monthly Statement, issued November 27, eliminates required monthly filing of sales, revenues and income data by electric utilities. Effective January 1, 1983, (21 FERC ¶61,106).)

a. Record Copy.

Cut off after completion of pertinent Commission reports or issuances. Destroy when 2 years old.

b. Other Copies.

Destroy 1 year from date of filing.

2. MONTHLY POWER PLANT REPORT
(ELECTRIC UTILITY AND IN-
DUSTRIAL) (FORM 4 OR EQUIVALENT)

Files include information concerning monthly generation of electric energy and consumption, and stocks of fuels from electric utilities having: one generating plant; more than one generating plant; and generation by industrial establishments.

Cut off after completion of pertinent Commission reports or issuances. Destroy when 2 years old.

a. Record Copy.

delete

delete

FERC RECORDS SCHEDULE - IV

REPORTS

PART I - MONTHLY; SEMIMONTHLY (CONTINUED)

Delete

Item	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
No.		
2. (Con't)	b. Other Copies.	Destroy 1 year from date of filing.

ELECTRIC

~~3. MONTHLY REVIEW OF COST & QUALITY OF FUEL FOR STEAM-ELECTRIC PLANT (FORM 423)~~

~~Report filed by electric power producers to furnish monthly data on the cost and quality of fuels received at steam-electric generating plants with a capacity of 25 megawatts or greater. This monthly report (a) for coal, shows the name of the mine and the county in which the coal originated, if available; (b) for oil, shows supplier and refinery or port of entry; and (c) for gas, shows pipeline (suppliers) or distributors, producer area by state of port of entry.~~

- | | |
|------------------|--|
| a. Record Copy. | Destroy when 20 years old. |
| b. Other Copies. | Destroy 2 years after date of receipt or sooner if no longer needed. |

FERC RECORDS SCHEDULE - IV

REPORTS

PART I - MONTHLY; SEMIMONTHLY (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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A. GAS

1.	<u>REPORT OF GAS STORED UNDERGROUND (FORM 8 OR EQUIVALENT)</u>	
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Semi-monthly report in winter and monthly report in spring and summer, required of all interstate pipeline companies which own, lease or operate underground storage facilities. Information includes total gas volume in storage at the beginning of each reporting period, estimating injections, withdrawals, and balance for the period covered.

a. Record Copy.

Destroy when 10 years old.

b. Other Copies.

Destroy ~~2 years after date of receipt or sooner if~~ no longer needed.

2.	<u>NATURAL GAS PIPELINE COMPANY MONTHLY STATEMENT (FORM 11 OR EQUIVALENT)</u>	
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Files include monthly statements for natural gas companies whose combined sales for resale and gas transported or stored for a fee exceeded 50 million Mcf at 14.73 psia (60 F) in a previous year.

a. Record Copy.

~~Cut off after completion of pertinent Commission reports and issuances.~~ Destroy when 2 years old.

b. Other Copies.

Destroy ~~6 months from date of receipt.~~ ^{WHEN NO LONGER} NAK(DR).

FERC RECORDS SCHEDULE - IV

REPORTS

PART II - QUARTERLY

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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A. GAS

1.	ALTERNATIVE FUEL DEMAND TO NATURAL GAS CURTAILMENT (FORM 508 OR EQUIVALENT)	
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~~Report filed annually by interstate and intrastate pipelines, municipalities and other suppliers of natural gas including supplemental gaseous fuels on the alternative fuel demands of their direct customers; report contains the following information: gaseous fuel supply by supplier and type of fuel, deliveries to end customers by type of service and by category and data on curtailments and alternative fuels.~~

~~a. Record Copy.~~

~~Destroy when 10 years old.~~

~~b. Other Copies.~~

~~Destroy ~~2~~ years from date of receipt or sooner if no longer needed.~~

FERC RECORDS SCHEDULE - IV

REPORTS

PART II - QUARTERLY (CONTINUED)

<u>Item</u> <u>No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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B. OIL

~~1. QUARTERLY REPORT OF PIPELINE COMPANIES (FORM ICC-QPS)~~

~~Used in oil pipeline tariffs.~~

~~(Discontinued on May 6, 1982.
47 Fed. Reg. 16317)~~

~~a. Record Copy.~~

~~Destroy when 10 years old.~~

~~b. Other Copies.~~

~~Destroy upon ^{when no longer} termination of functional use. (2/12/81)~~

FERC RECORDS SCHEDULE - IV

REPORTS

PART III - ANNUAL; SEMIANNUAL; BIENNIAL

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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A. ELECTRIC

1.	<u>ANNUAL FINANCIAL & STATISTICAL REPORTS (FORMS 1 or EQUIVALENT)</u>	
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Files include annual financial and statistical reports submitted by jurisdictional electric utilities, non-jurisdictional privately and municipally owned electric utilities, federally owned electric utilities and hydro projects and licensees. These annual reports give financial and statistical data as to assets, liabilities, revenues, capacity, number of consumers, and related information. ~~FERC Form No. 1, Class A and B, Electric Utilities and Licensees, with annual operating revenues of \$2,500,000 or more for Class A and \$1,000,000 or more but less than \$2,500,000 for Class B.~~

a. Record Copy.

Destroy 50 years from date of filing.

b. Other Copies.

Destroy ~~5 years from date of filing or sooner if no longer needed.~~

2.	<u>ANNUAL POWER SYSTEM STATEMENTS (FORM 12 or EQUIVALENT)</u>	
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Annual Power System Statements submitted by privately, municipally, or federally owned electric utilities which operate facilities for the generation, transmission, or distribution of electric energy. These statements give information on generating capacity and transmission facilities, loads, and load characteristics, and related matters.

FERC RECORDS SCHEDULE - IV

PART III - ANNUAL; SEMIANNUAL; BIENNIAL (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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ELECTRIC

2. (Con't)	a. Record Copy.	Destroy when 20 years old.
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	b. Other Copies.	Destroy 2 years from date of filing or sooner if no longer needed.
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3.	<u>STEAM-ELECTRIC PLANT AIR & WATER QUALITY CONTROL DATA REPORTS (FORM 67 OR EQUIVALENT)</u>	
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Annual report containing data on cost of environmental impact equipment for steam-electric plants, the design and operating practices of the plants, the design and operating practices of environmental equipment such as boilers and generators, a rolling 10-year projection of the fuel requirements for such plans and new capacity additions to the output of power. Also included: the costs of future air pollution control equipment; quantity and quality of coal, oil and gas consumed, and projected consumption, and operation characteristics of nuclear plants (i.e., water thermal pollution and other environmental impacts).

	a. Record Copy.	Destroy when 5 years old.
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	b. Other Copies.	Destroy 1 year after date of filing.
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4.	<u>COST OF SERVICE FILINGS</u>	
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A biennial filing by public and privately-owned utilities containing detailed data on the cost of electric service.

FERC RECORDS SCHEDULE - IV

PART. III - ANNUAL; SEMIANNUAL; BIENNIAL (CONTINUED)

<u>Item</u> <u>No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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ELECTRIC

4. (Con't) a.	Record Copy.	Destroy when 4 years old. (Maintain current and one previous report.)
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b.	Other Copies.	Destroy upon receipt of next succeeding report.
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5. 20 LARGEST CUSTOMER FILINGS

Annual filing by public utilities
listing names and addresses of
their 20 largest customers.

a.	Record Copy.	Destroy when 2 years old. (Maintain current and one previous year's report.)
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b.	Other Copies.	None required.
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4. LICENSED HYDROPOWER DEVELOPMENT RECREATIONAL REPORT DATA BASE
(FORM 80)

Biennial report containing data on existing recreational developments at hydropower projects. Information includes location, facilities, usage, and ownership/operator data.

~~a. Input forms: destroy when information is entered into electronic database.~~ *GRS20/2a*

b. Output reports

1. Record copy: destroy when 20 years old.

2. Other copies: destroy when no longer needed.

~~c. Systems documentation: destroy when no longer needed.~~ *GRS20/11*

d. Electronic database: update information as necessary. Purge when no longer needed.

IV-0a

FERC RECORDS SCHEDULE - IV

PART III - ANNUAL; SEMIANNUAL; BIENNIAL (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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B. GAS

~~1.~~

~~ANNUAL REPORT FOR IMPORTERS &
EXPORTERS OF NATURAL GAS
(FORM 14 OR EQUIVALENT)~~

~~Report submitted by importers and exporters of gaseous and liquefied natural gas containing the name of any foreign purchaser or seller; other transporters, if any; or exit; monthly quantities in thousands of cubic feet and Btu; U.S. dollars paid or received for the quantities reported; and annual weighted average Btu content & price.~~

~~a. Record Copy.~~

~~Destroy 20 years after date of report.~~

~~b. Other Copies.~~

~~Destroy 5 years after date of receipt or sooner if no longer needed.~~

FERC RECORDS SCHEDULE - IV

REPORTS

PART III - ANNUAL; SEMIANNUAL; BIENNIAL (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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GAS

2.	<u>ANNUAL REPORT OF GAS SUPPLY (FORM 15 OR EQUIVALENT)</u>	
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Report submitted by jurisdictional natural gas companies, includes information on gas procurement programs, reserves, purchase of gas from other companies and/or foreign supplies, and deliverability data.

a. Record Copy.

Destroy 20 years after date of filing.

b. Other Copies.

Destroy ~~5 years after date of receipt~~ or sooner if no longer needed.

3.	<u>GAS SUPPLY & REQUIREMENT REPORT (FORM 16 OR EQUIVALENT)</u>	
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Semiannual report by natural gas pipeline companies making sales of natural gas in interstate commerce for resale and on their gas supplies and requirements. It includes actual supply requirements data on a monthly basis for previous years and projected data for one year.

a. Record Copy.

Destroy 20 years after date of filing.

b. Other Copies.

Destroy ~~5 years from date of filing~~ or sooner if no longer needed.

FERC RECORDS SCHEDULE - IV

REPORTS

PART III - ANNUAL; SEMIANNUAL; BIENNIAL (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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GAS

4. SALES AND REVENUES REPORT
FORMS FOR INDEPENDENT PRODUCERS
FORM 301-A, 301-B, OR FORM 108
(PARTS 501 and 505)

These reports show detail and summary data by rate schedule including: summary sales volumes and revenue data for jurisdictional sales; any other parties whose interest is being sold under a rate schedule issued in the name of the filing party; the annual sales volume attributable to each such party; the amount of any revenues collected by any party subject to refund; and projected deliveries for the next year.

a. Record Copy.

IMMEDIATELY
 Destroy ~~20 years~~ after date
 of filing.

b. Other Copies.

~~Destroy 1 year from date~~
~~of receipt.~~ *NOT REQUIRED*

~~5. ANNUAL FINANCIAL & STATISTICAL
REPORTS (FORMS 2 OR EQUIVALENT)~~

~~Files include annual financial and
 statistical reports submitted by
 natural gas companies, and independent~~

FERC RECORDS SCHEDULE - IV

REPORTS

PART. III - ANNUAL; SEMIANNUAL; BIENNIAL (CONTINUED)

<u>Item</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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GAS

5. ~~(Con't) producers of natural gas. These annual reports give financial and statistical data as to assets, liabilities, revenues, capacity, number of consumers, gas supplies, deliverability, and similar related information. FERC Form No. 2, Class A and B, Natural Gas companies with annual operating revenues of \$2,500,000 or more for Class A and \$1,000,000 or more but less than \$2,500,000 for Class B.~~

- | | |
|------------------|--|
| a. Record Copy. | Destroy 50 years after date of filing. |
| b. Other Copies. | Destroy 5 years from date of filing or sooner if no longer needed. |

6. ANNUAL REPORT OF SYSTEMS FLOW DIAGRAMS (FORM FPC RO-284)

Annual report reflecting operating conditions on a pipeline's main transmission system during the previous 12 months. Information includes pipeline diameter and mileage, direction of flow, operating pressure, compressor horsepower and pressure, fuel requirements, storage data, and volume data.

- | | |
|------------------|--|
| a. Record Copy. | Destroy when 20 years old. |
| b. Other Copies. | Destroy 4 years from date of filing or sooner if no longer needed. |

FERC RECORDS SCHEDULE - IV

REPORTS

PART III - ANNUAL; SEMI-ANNUAL; BIENNIAL (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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GAS

7.	<u>REPORT BY PIPELINE, DISTRIBUTOR OR AFFILIATE UNDER SECTION 18 C.F.R. 270.203(d)</u>	
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~~Semiannual report submitted by gas pipeline, distributor or affiliate on purchase activity which does not qualify as a "first sale" under the NGPA.~~

- | | | |
|---------------|--------------------------|---|
| a. | Record Copy. | Destroy 10 years after date of filing. |
| b. | Other Copies. | None required. |

C. OIL

1.	<u>APPLICATION FOR ANNUAL OR BASIC VALUATION (FERC FORM 42)</u>	
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Used in oil pipeline rate regulation.

- | | | |
|----|---------------|--|
| a. | Record Copy. | Destroy ² 10 years after date of application of application <u>FILING.</u> |
| b. | Other Copies. | Destroy upon termination of functional use. W/NO NO CONTINUED USE. |

2.	<u>ANNUAL REPORT OF OIL PIPELINES (FERC FORM 6)</u>	
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~~This report is required to be filed annually by all oil pipeline carriers subject to the provisions of Section 20, Part 1 of Interstate Commerce Act.~~

- | | | |
|---------------|--------------------------|--|
| a. | Record Copy. | Destroy 10 years after date of filing. |
| b. | Other Copies. | Destroy 2 years after date of filing or sooner if no longer needed. |

FERC RECORDS SCHEDULE - IV

REPORTS

PART IV - VARIABLE AND NON-PERIODIC

<u>Item</u> <u>No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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ELECTRIC

1. IMPLEMENTATION STATUS FILINGS (IR Dockets)

Reports by states and non-regulated electric utilities setting for the implementation made in conformity with PURPA requirements (18 C.F.R. 292.401.)

a. Record Copy.

b. Other Copies.

Destroy when 20 years old.

~~One-time report. Retain pending further developments. Submit SF-115.~~

~~Destroy 1 year after date of submission, when no longer needed.~~

2. SELF-CERTIFICATION STATUS FILINGS

Delete
~~Written notice from certain owners/operators of small power production or cogeneration facilities who qualify as a "small producer" or "co-generator" under 18 C.F.R. 292.207.~~

~~a. Record Copy.~~

~~b. Other Copies.~~

~~Destroy 5 years after filing date.~~

~~None Required.~~

3. CONTINUITY OF SERVICE FILINGS

~~Notices by all jurisdictional utilities having wholesale customers setting forth anticipated shortages in energy and power capacity; and statements as to how such shortages would be handled.~~

~~(Note: Interim Rule expires April 1982.)~~

~~NOTE: Below disposition instructions are tentative pending adoption of a Final Rule.~~

FERC RECORDS SCHEDULE - IV

REPORTS

PART IV - VARIABLE AND NON-PERIODIC (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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B. GAS

1. SERVICE INTERRUPTION REPORT
(FORM FPC RO-016)

Report of serious interruption of service to any wholesale customer involving facilities operated under certificate authorization from the Commission. Details include location, time, customers affected and emergency actions taken to maintain service.

a. Record Copy.

Destroy ²⁰~~40~~ years after date of filing.

b. Other Copies.

Destroy ~~4 years from date of filing or sooner if no longer needed.~~ ^{WHEN}

~~2. REPORT OF CERTAIN SALES AND
TRANSPORTATION OF NATURAL GAS
(18 C.F.R. 157.45 - 157.52)~~

~~Report by an interstate pipeline selling or transporting emergency natural gas up and including 60 days. Report within 48 hours of commencement of deliveries, and within 30 days after the end of each calendar quarter in which an interstate pipeline engages in any transaction for emergency gas.~~

~~a. Record Copy.~~

~~Destroy 10 years after date of filing.~~

~~b. Other Copies.~~

~~Destroy when 5 years old or sooner if no longer needed.~~

FERC RECORDS SCHEDULE - IV

REPORTS

PART IV - VARIABLE AND NON-PERIODIC (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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GAS

3. APPLICATION FOR SMALL PRODUCER EXEMPTION (GAS) (FORM 314A)

Used in connection with gas producer rates and certificates.

- a. Record Copy.
- b. Other Copies.

~~Destroy 20 years after date of filing.~~

~~Destroy 1 year after date of filing. N/A, D.A.D.~~

delete

to 4.

REPORTS OF DETERMINATION PROCESS FILED BY JURISDICTIONAL AGENCIES

Reports submitted by States showing their procedures for making determinations under NGPA.

- a. Record Copy.
- b. Other Copies.

Destroy when no longer needed.

~~Retain indefinitely pending Federal policy decisions on the deregulation of natural gas; at that time, submit SF-119 to NARS.~~

~~Destroy 1 year after date of receipt. NONE EXIST~~

to 5.

REFUND REPORTS

Periodic reports by natural gas producers on refunds made to purchasers.

- a. Record Copy.
- b. Other Copies.

DESTROY 20 YEARS AFTER DATE OF FILING.

~~Retain indefinitely pending Federal policy decisions on the deregulation of natural gas; at that time, submit SF-115 to NARS.~~

~~Destroy 1 year after date of receipt. NONE EXIST.~~

FERC RECORDS SCHEDULE - IV

REPORTS

PART IV - VARIABLE AND NON-PERIODIC (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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GAS

100 a. 6.

REPORTS FOR SALES UNDER SECTIONS 105, 106(b), AND 109 OF THE NGPA

Initial report by natural gas producers, with annual update, of intrastate sales. Requirement for annual update has been suspended.

DESTROY 15 YEARS AFTER DATE OF FILING.

a. Record Copy.

~~Retain indefinitely pending Federal policy decisions on the deregulation of natural gas; at that time, submit SF-115 to NARS.~~

b. Other Copies.

None required. *EXIST.*

C. OIL

~~1. STATEMENT OF PROPERTY CHANGES OTHER THAN LAND & RIGHT-OF-WAY PIPELINE CARRIERS (FORM ACV-1)~~

~~Used in oil pipeline valuations.~~

~~(49 C.F.R. Section 1224.8)~~

~~a. Record Copy.~~

~~*REMOVED*
Destroy when no longer needed.
Transfer to FRC not authorized.~~

~~b. Other Copies.~~

~~Destroy when no longer needed.
NO LONGER AUTHORIZED~~

~~2. SUMMARY OF LAND & RIGHTS-OF-WAY PROPERTY CHANGES, PIPELINE CARRIERS (FORM ACV-2)~~

~~Used in oil pipeline valuation.~~

~~a. Record Copy.~~

~~*REMOVED*
Destroy when no longer needed.
Transfer to FRC not authorized.~~

~~b. Other Copies.~~

~~Destroy when no longer needed.
NO LONGER AUTHORIZED~~

FERC RECORDS SCHEDULE - IV

REPORTS

PART IV - VARIABLE AND NON-PERIODIC (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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OIL

~~3. SUMMARY OF CHANGES IN ORIGINAL COST & TOTAL ORIGINAL COST AT END OF PERIOD, PIPELINE CARRIERS (FORM ACV-3)~~

~~Used in oil pipeline valuation.~~

~~a. Record Copy.~~

~~b. Other Copies.~~

~~PHOTOCOPIED~~

~~Destroy when no longer needed. Transfer to FRC not authorized.~~

~~Destroy when no longer needed.~~

~~NOVA 19770112R2~~

~~4. SUMMARY OF COST REPRODUCTION NEW & REPRODUCTION OF NEW (LESS DEPRECIATION): PIPELINE CARRIERS (FORM ACV-4)~~

~~Used in oil pipeline valuation.~~

~~a. Record Copy.~~

~~b. Other Copies.~~

~~PHOTOCOPIED~~

~~Destroy when no longer needed. Transfer to FRC not authorized.~~

~~Destroy when no longer needed.~~

~~NOVA 19770112R2~~

~~5. INVENTORY OF PROPERTY OTHER THAN LAND RIGHTS-OF-WAY (FORM ACV-5)~~

~~Used in oil pipeline valuation.~~

~~a. Record Copy.~~

~~b. Other Copies.~~

~~PHOTOCOPIED~~

~~Destroy when no longer needed. Transfer to FRC not authorized.~~

~~Destroy when no longer needed.~~

~~NOVA 19770112R2~~

FERC RECORDS SCHEDULE - IV

REPORTS

PART IV - VARIABLE AND NON-PERIODIC (CONTINUED)

<u>Item No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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OIL

6.	<u>INVENTORY OF LAND & RIGHTS OF WAY (FORM ACV-6)</u> Used in oil pipeline valuation. a. Record Copy. b. Other Copies.	PERMANENT. Destroy when no longer needed. Transfer to FRC not authorized. Destroy when no longer needed. NON-AUTHORIZED.
7.	<u>SUMMARY OF ORIGINAL COST OF INVENTORY (FORM ACV-7)</u> Used in oil pipeline valuation. a. Record Copy. b. Other Copies.	PERMANENT. Destroy when no longer needed. Transfer to FRC not authorized. Destroy when no longer needed. NON-AUTHORIZED.
8.	<u>COST DATA FOR EQUIPMENT AND TANKS (FORM ACV-8)</u> Used in oil pipeline valuation. a. Record Copy. b. Other Copies.	PERMANENT. Destroy when no longer needed. Transfer to FRC not authorized. Destroy when no longer needed. NON-AUTHORIZED.
9.	<u>COST DATA FOR PIPELINE CONSTRUCTION (FORM ACV-9)</u> Used in oil pipeline valuation. a. Record Copy. b. Other Copies.	PERMANENT. Destroy when no longer needed. Transfer to FRC not authorized. Destroy when no longer needed. NON-AUTHORIZED.

FERC RECORDS SCHEDULE - IV

REPORTS

PART IV - VARIABLE AND NON-PERIODIC (CONTINUED)

<u>Item</u> <u>No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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OIL

10.	<u>SERVICE-LIFE DATA</u> <u>(FERC 73) (FORMERLY ACV-159)</u>	
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This report is usually submitted upon request of FERC. It is used to collect property records data from oil pipeline companies for service-life analysis. May be used for recording data by using actual and simulation methods to determine service-life of physical properties.

a. Record Copy.

~~Destroy 10 years after date of termination.~~

b. Other Copies.

Destroy ~~2 years after~~ *with* filing or sooner if no longer needed.

FERC RECORDS SCHEDULE - V
MACHINE-READABLE RECORDS

PART I - Administrative ADP Systems

<u>Item No.</u>	<u>File Function/ Designation</u>	<u>Description of Records</u>	<u>Restrictions</u>	<u>Authorized Disposition</u>
1.	<p><u>Financial System</u></p> <p>With the dissolution of the Commission Support Agreement between FERC and DOE, the Commission will assume complete responsibility for financial systems.</p>	<ul style="list-style-type: none"> o Accounting consists of the general ledger and journal entries to support FERC's financial responsibilities and to provide internal and external reports. o Travel consists of the status of travel funds and a record of each trip, including advances, reservations, and expense records. o Contracts/Procurement consists of contract and procurement obligations and the status of such actions independently and through interface with the accounting system. o Budget Formulation consists of the preparation and modification of the various tables used in the budget formulation process and includes automatic adjustment of summary tables. o Budget Execution consists of a funds tracking system that monitors allotments, initiations, and obligations and is interfaced with the four systems identified above. 	<p>Title 5 U.S.C. 522(b)(2) and Title 5 U.S.C. 522(b)(3).</p> <p>Required for GAO site audit.</p>	<p>Dispose of in accordance with instructions applicable to hard copy.^{1/}</p>

^{1/} Instructions for hard copy equivalents are available in the General Records Schedules 1-16.

Part II

KICTS

1. Key Indicator Case Tracking System (KICTS)

KICTS is the official case tracking system that is used to manage Commission workload. It enables Commission Management to track docketed workload as it is processed through the Commission. Casework Summary Reports are produced monthly and show, receipts, completions and pending workload. These reports contain the official agency statistics on workload and are used for budget formulation, and to respond to questions from Congress, OMB or GAO.

Description of Records

KICTS is an interactive case tracking system containing information on each docket being processed in the Commission. KICTS is composed of a core database and (private office-specific) databases.

Restrictions

Commission use only

~~a. Input forms: destroy when information is entered into electronic database.~~ GRS 20/2a

b. Output reports: destroy when no longer needed.

~~c. Systems documentation: destroy when no longer needed.~~ GRS 20/11

d. Electronic database: update information as necessary. Purge when no longer needed.

FERC RECORDS SCHEDULE - V

Item No.	File Function/ Designation	Description of Records	Restrictions	Authorized Disposition
2. Other Administrative		Staffing Plan consists of maintaining a plan of the official organization structure and staffing levels, to identify vacancies and encumbered positions, and to produce management reports.	Commission use only.	Dispose of in accordance with instructions applicable to hard copy. 1/
Part II - Management Information Systems				
2. 1st	Regulatory Evaluation and Docketed Information System (READI)	READI II ^{FLH 3} is an interactive (through CRT terminals) case tracking system containing information which identifies and describes each docket being processed by FERC. The system's capabilities include creating docket records, updating the data base, querying the data base and requesting reports.	Commission use only.	<ul style="list-style-type: none"> a. Input tapes: destroy when information is entered into electronic database. b. Output reports: destroy when no longer needed. c. Systems documentation: destroy when no longer needed. d. Electronic database: update information as necessary. Purge when no longer needed.
1. KICTS (SAA in SAA TA)	<p>READI is the Commission's case tracking system that monitors the progress of cases, applications, filings and other docketed workload processed by the Commission. It provides workload counts of cases received, completed, and pending by product category and is used to manage casework and budget formulation and presentation. A sub-system of READI forecasts the Commission agenda and is used to prioritize cases requiring Commission consideration. READI data is published monthly in the Management Information Systems Report (Red Book).</p> <p><i>was</i></p> <p><i>into</i></p> <p><i>PRATTIN AND THE FILE</i></p>	<p>READI contains three types of data: (1) milestone descriptions and target and completion dates of significant events through which each case is processed, (2) administrative data identifying and describing each case, such as docket number, applicant, product category, Commission personnel assigned to the case, related dockets, and narrative information, and (3) technical data related to specific types of cases, such as installed capacity in horsepower, height of dam, project name, and license effective and expiration dates for hydroelectric applications; rate requested, granted, and suspended for electric rate cases; and pipeline diameter and length for gas pipeline</p>	Commission use only.	<ul style="list-style-type: none"> a. Input tapes: destroy when information is entered into electronic database. b. Output reports: destroy when no longer needed. c. Systems documentation: destroy when no longer needed. d. Electronic database: update information as necessary. Purge when no longer needed.

FERC RECORD SCHEDULE - V

Item No.	File Function/ Designation	Description of Records	Restrictions	Authorized Disposition
2. (cont.)	applications. The data base is a VSAM file containing approximately 50,000 records of 4,000 characters each. Associated files contain system tables, authorities of users to update screens and records, and program documentation. Some of the ancillary files are ISAM.	TDRS contains workhours by product identifier and by organization to the section level. Associated tables, some of which are shared by READI, contain valid project identifiers and descriptions, valid organization codes and descriptions, and identifiers of all employees who must report during each reporting period. Employee data is maintained for one quarter of a fiscal year, so that corrections and missing data can be applied; it is then summarized to the organization and product identifier level. TDRS uses sequential files. The employee master file will contain approximately 1800 records of 150 characters each. The	Commission use only.	<ul style="list-style-type: none"> a. Input forms: destroy when information is entered into electronic database. b. Output reports: destroy when no longer needed. c. Systems documentation: destroy when no longer needed. d. Electronic database: update information as necessary. Purge when no longer needed.
3.	<p><u>Time Distribution Reporting System (TDRS)</u></p> <p>TDRS will record all hours worked by all Commission personnel by product identifier. The identifiers are composed of budget decision unit, product category, task and docket number (in selected areas). All workload, including administrative overhead, will be recorded on a bimonthly basis.</p>	TDRS contains workhours by product identifier and by organization to the section level. Associated tables, some of which are shared by READI, contain valid project identifiers and descriptions, valid organization codes and descriptions, and identifiers of all employees who must report during each reporting period. Employee data is maintained for one quarter of a fiscal year, so that corrections and missing data can be applied; it is then summarized to the organization and product identifier level. TDRS uses sequential files. The employee master file will contain approximately 1800 records of 150 characters each. The	Commission use only.	<ul style="list-style-type: none"> a. Input forms: destroy when information is entered into electronic database. b. Output reports: destroy when no longer needed. c. Systems documentation: destroy when no longer needed. d. Electronic database: update information as necessary. Purge when no longer needed.

FERC RECORDS SCHEDULE - V

Item No.	File Function/ Designation	Description of Records	Restrictions	Authorized Disposition
1	TDRS will be used to manage staff time, to formulate and justify budget requests, and to justify and evaluate present and proposed annual charges and fees. Workhours expended can be compared with receipts and completions since the same product category identifiers are used in READI and TDRS. The users of TDRS are Commission management. TDRS is implemented in three Commission offices, with full implementation in other offices on a phased schedule.	activity summary file will contain one record for each unique product and organization identifier; it is anticipated that records of 150 characters each will be maintained each year.		
4	Energy Data Validation System (Dutch Blue Book) This system monitors the status of the energy data validation program and the OMB Clearance and Review process. The	This system contains one record for each present or former data collection system and includes all public use forms, each type of application or filing required by the Commission and other reporting or records retention requirements. Each record contains data identifying the collection, its statutory justifi-	Commission use only.	<ul style="list-style-type: none"> a. Input forms: destroy when information is entered into electronic database. b. output reports: destroy when no longer needed. c. Systems documentation: destroy when no longer needed. d. Electronic database: update information as necessary. Purge when no longer needed.

AND REPORT.

AND GCH

STATISTICS
AND
RECORDS

FERC RECORDS SCHEDULE - V

AND/OR GSA

Item No.	File Function/ Designation	Description of Records	Restrictions	Authorized Disposition
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validation program (Con't) involves a periodic review of each information collection from industry, and includes all public use forms, applications, records retention, and other reporting requirements. It is an internal FERC program with the objective of reducing industry burden by only collecting information with proven decision producing use. The OMB clearance and review process requires that each data collection be periodically reviewed by OMB under a cycle of OMB assigned expiration dates. One product of the Energy Data Validation System is a quarterly publication referred to as the Dutch Blue Book.

fication, OMB clearance number, and expiration date, responsible FERC staff, number of respondents and annual burden hours, and milestone descriptions, target and completion dates. There are approximately 100 200 records of 1600 characters each in an ISAM data base. VSA M FILES.

AND GSA

AND/OR

ENERGY DATA VALIDATION REPORT

SPONSOR AND PRIMARY

The user of this system is the Energy Data Validation Branch of the Office of Program Management. ORGANIZATION AND MANAGEMENT ANALYSIS DIVISION OF THE OFFICE OF MANAGEMENT SYSTEMS

FERC RECORDS SCHEDULE - V

<u>Item No.</u>	<u>File Function/ Designation</u>	<u>Description of Records</u>	<u>Restrictions</u>	<u>Authorized Disposition</u>
4.	<p><i>delete</i></p> <p><u>Rulemaking Tracking System (RTS)</u></p> <p>This system monitors the status of pending or proposed rulemakings. It is used by the Office of the General Counsel to manage and prioritize its workload, to produce the quarterly regulatory calendar, and to produce reports for the Management Control System. It was developed prior to the interactive version of READI and contains many similar data elements, although it offers capabilities not presently in READI. It will be incorporated as a subsystem to READI in FY 1983. The users of this system are in the Office of the General Counsel.</p>	<p>RTS contains data identifying and describing each rulemaking, milestone descriptions, target and completion dates, and narrative status and comments. The data base is an ISAM file containing approximately 300 records of 1724 characters each.</p>	<p>Commission use only.</p>	<p>Retain until it has been determined by a competent FERC official that data are no longer needed; erase and reuse tape.</p>
5.	<p><u>Other FEBC Systems</u></p> <p>NAR's regulations mandate an annual review of machine-readable record schedule. This should include a review of any new files or formerly scheduled files that have changed significantly in content, as well as a review of special studies of reports, done in-house or by private contractors, if data bases are generated.</p>	<p><u>New files.</u></p> <ul style="list-style-type: none"> o Formerly scheduled files that have changed significantly in content. o Data bases generated as a result of special studies or reports. 	<p>Commission use only.</p>	<p>Submit supplementary SF-115, Request for Record Disposition Authority.</p>

Schedule VI

1. **Records Information Management System (RIMS).** This system consists of various FERC records that are microfilmed in a sequence that is generally chronological. The filmed records date from January 1982, and consist of some--but not all--individual series identified under approved FERC disposition schedules. Due to the filming method employed, the microfilmed documents are organized as a single, open-ended series. Documents are accessed through a separate index (item c). After filming, source documents are arranged in series as described in FERC disposition schedules.

a. RIMS source documents.

1. Records designated for permanent retention under approved disposition schedules: refer to appropriate schedule item. Send to FRC after verification of microfilm.
2. Records designated for temporary retention under approved disposition schedules: destroy after verification of microfilm. Do not send to FRC.

b. RIMS microfilm: destroy when no longer needed. Do not send to FRC.

c. RIMS automated index.

1. Electronic database: permanent. Transfer copy of most recent update to the National Archives immediately. Transfer revised copies of database to the National Archives every five years. Copies transferred should be on magentic tape written in EBCDIC at 6,250 bpi. Volume: 13 reels. Annual accumulation: approximately 2 reels.
2. Systems documentation: permanent. Transfer most recent copy to the National Archives immediately. When documentation is revised, send revisions to the National Archives immediately. Volume: 5 inches. Annual accumulation: approximately 1 inch.
3. Systems reports: destroy when no longer needed.