

## Request for Records Disposition Authority

Records Schedule Number           DAA-0026-2016-0001  
Schedule Status                    Modified Approved Version

Agency or Establishment           U.S. Coast Guard  
Record Group / Scheduling Group   Records of the U.S. Coast Guard  
Records Schedule applies to       Major Subdivision  
Major Subdivision                 United States Coast Guard  
Minor Subdivision                 National Pollution Funds Center (NPFC)  
Schedule Subject                  NPFC Case Files  
Internal agency concurrences will be provided   No

Background Information            The National Pollution Funds Center manages federal funding of responses related to oil spills or hazardous materials releases per the National Oil and Hazardous Substances Pollution Contingency Plan, the National Response Plan, and/or successors. The records are maintained in the Management and Operations Support Information System (MOSIS).

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	1	3	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0026-2016-0001

Sequence Number	
1	<b>Financial Files</b> Disposition Authority Number: DAA-0026-2016-0001-0001
2	<b>Vessel Certification Files (Water Pollution Certificate)</b> Disposition Authority Number: DAA-0026-2016-0001-0002
3	<b>National Pollution Funds Center (NPFC) Case Files</b>
3.1	<b>Routine Case Files</b> Disposition Authority Number: DAA-0026-2016-0001-0003
3.2	<b>Significant Case Files</b> Disposition Authority Number: DAA-0026-2016-0001-0004

## Records Schedule Items

Sequence Number	
1	<p><b>Financial Files</b></p> <p>Disposition Authority Number      <b>DAA-0026-2016-0001-0001</b></p> <p>Files include records maintained by Federal On-Scene Coordinators (FOSCs) used in the clean-up and recovery efforts to carry out functions under the Oil Pollution Act of 1990, copies of Certificates of Financial Responsibility (COFR), payment documentation including copies of checks and statement of amounts deposited into OSLTF from responsible parties, payments received by NPFC (or other financial institution on behalf of NPFC), requests from EPA from reimbursement from OSLTF for expenditures relating to an oil spill or other hazardous material release, status reports from collection service and documentation used to reconcile NPFC data, letters authorizing payments, bills/invoices, time sheets of U.S. Coast Guard man-hours expended and copies of other federal agency proposals.</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?          <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                      <b>Yes</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      <b>Cutoff at the end of the fiscal year, once the case/claim has been closed.</b></p> <p>Retention Period                      <b>Destroy 25 years after cutoff.</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                          <b>Not Required</b></p>
2	<p><b>Vessel Certification Files (Water Pollution Certificate)</b></p> <p>Disposition Authority Number      <b>DAA-0026-2016-0001-0002</b></p> <p>Files include documentation consisting of receipt of insurance and application forms from vessel owner and operator. Included are also correspondence and other related documents required to issue a Coast Guard Certificate.</p> <p>Final Disposition                      <b>Temporary</b></p>

	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NC1-026-84-008 / 538/A
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff at the end of the fiscal year.
	Retention Period	Destroy 15 years after cutoff.
	<b>Additional Information</b>	
	GAO Approval	Not Required
3	<b>National Pollution Funds Center (NPFC) Case Files</b> Files will be organized in an administrative folder to include documentation on spills, releases, or incidents, cost documentation, investigations, cost recovery documentation, litigation documentation and claim files.	
3.1	<b>Routine Case Files</b>	
	Disposition Authority Number	DAA-0026-2016-0001-0003
	These files include documentation from Oil Pollution Act removal costs, damages, and Responsible Party (Defense to Liability and Limits on Liability) claims against the Oil Spill Liability Trust Fund (OSLTF). Files include, but are not limited to, claim documentation from responsible parties, NRD trustees, and other claimants, including economic analyses, invoices and cost documentation, determinations by claim manager, correspondence, authorizations to pay, legal releases, site visit reports, photographs, and other supporting materials for routine spills that are not designated as Spills of National Significance (SONS), Incidents of National Significance (IONS), or Stafford Act Disasters or Emergencies.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes

3.2	Do any of the records covered by this item exist as structured electronic data?	Yes
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff at the end of the fiscal year, once the case/claim has been closed.
	Retention Period	Destroy 25 years after cutoff.
	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Significant Case Files</b>	
	Disposition Authority Number	DAA-0026-2016-0001-0004
	Files of events officially declared as Spills of National Significance (SONS), Incidents of National Significance (IONS), and Stafford Act Disasters or Emergencies. These files include historic site specific records relating to emergencies/disasters, time critical and non-critical activity conducted by NPFC or other non-NPFC lead (e.g., states, other federal agencies) entities in response to an oil spill. Includes records of major spills and disasters such as Deepwater Horizon and Hurricane Katrina. The files include correspondence, memoranda, work plans, financial and technical progress reports, pollution reports (POLREPs), statements of work, and other site-specific contract documentation.	
	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	<b>Disposition Instruction</b>	
Cutoff Instruction	Cutoff inactive records at the end of statute of limitations for initiation of cost recovery or when recovery settlement cost is reached, whichever is later.	
Transfer to the National Archives for Accessioning	Transfer to the National Archives 25 year(s) after cutoff	
<b>Additional Information</b>		

First year of records accumulation	<b>1991</b>
What will be the date span of the initial transfer of records to the National Archives?	<b>From 1991 To 1995</b>
How frequently will your agency transfer these records to the National Archives?	<b>Every 5 Years</b>

## 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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
04/21/2016	Certify	Christopher Siebenschuh	Records Manager	CG 61 - CG 611
10/07/2016	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
10/13/2016	Submit For Certification	Ashanti Thompson	Records Manager	USCG - National Pollution Funds Center
10/17/2016	Certify	Christopher Siebenschuh	Records Manager	CG 61 - CG 611
01/26/2017	Return for Revision	Ashby Crowder	Archives Specialist	National Archives and Records Administration - ACRA
02/14/2017	Submit For Certification	Ashanti Thompson	Records Manager	USCG - National Pollution Funds Center
02/15/2017	Certify	Christopher Siebenschuh	Records Manager	CG 61 - CG 611
02/24/2017	Return for Revision	Ashby Crowder	Archives Specialist	National Archives and Records Administration - ACRA
03/02/2017	Submit For Certification	Christopher Siebenschuh	Records Manager	CG 61 - CG 611
03/03/2017	Return to Submitter	Christopher Siebenschuh	Records Manager	CG 61 - CG 611
03/29/2017	Submit For Certification	Ashanti Thompson	Records Manager	USCG - National Pollution Funds Center
04/03/2017	Certify	Christopher Siebenschuh	Records Manager	CG 61 - CG 611
05/23/2017	Return for Revision	Ashby Crowder	Archives Specialist	National Archives and Records Administration - ACRA

06/20/2017	Submit For Certification	Ashanti Thompson	Records Manager	USCG - National Pollution Funds Center
06/20/2017	Certify	Ashanti Thompson	Records Manager	USCG - National Pollution Funds Center
08/23/2017	Submit for Concurrence	Ashby Crowder	Archives Specialist	National Archives and Records Administration - ACRA
08/23/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/23/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/24/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist