# REQUEST FOR RECORDS DISPOSITION AUTHORITY

<table>
<thead>
<tr>
<th>TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. FROM (Agency or establishment)</td>
</tr>
<tr>
<td>Research and Special Programs Administration</td>
</tr>
<tr>
<td>2. MAJOR SUBDIVISION</td>
</tr>
<tr>
<td>Associate Administrator for Management and Admin.</td>
</tr>
<tr>
<td>3. MINOR SUBDIVISION</td>
</tr>
<tr>
<td>Office of Administration</td>
</tr>
<tr>
<td>4. NAME OF PERSON WITH WHOM TO CONFER</td>
</tr>
<tr>
<td>Daniel Sears</td>
</tr>
</tbody>
</table>

## 6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached [ ] page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

- [ ] is not required;
- [ ] is attached; or
- [x] has been requested.

| DATE | 12/14/96 |
| SIGNATURE OF AGENCY REPRESENTATIVE | [signature] |
| TITLE | Director Office of Administration |

## 7. ITEM NO. 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

**SEE ATTACHED PAGES**

All changes to this proposed schedule have been approved by NARA and RPSA, see attached E-Mails.
HAZARDOUS MATERIALS SAFETY DOCKETS

1. HAZARDOUS MATERIALS RULEMAKING DOCKETS

1A. Hazardous Materials Rulemaking (HMR) Dockets, also called Public Hazmat Dockets, are actions to revise 49 CFR Subpart A and C, Parts 106-180. Arranged by HMR docket number, thereafter by activity (e.g., notices, final rules, Congressional responses). This series contains the following: Federal Register publication copies of Notice of Proposed Rulemaking (NPRMs), final rules, all comments received in response to the NPRMs, petitions for reconsideration to the final rule, regulatory evaluations/analysis of costs and benefits, and agency responses to Congressional inquiries and comments. On the left side of each folder is an index that lists the commenter, date of correspondence, and date correspondence was received. The public comments are filed on the right side of the folder. Most of the dockets consist of textual files [with supporting technical drawings, blueprints and random photographic items]. The public dockets are filed as a single series. Current volume is 20 cubic feet. Annual accumulation is five cubic feet. Other HMR dockets related series that are filed separately in the Public Docket Room include items 1B-1D.

1B. HMR Transcripts and Bound Reports. Arranged by docket or notice number. Current volume is 4 cubic feet. Annual accumulation is 2 cubic feet. This series contains verbatim transcripts from public hearings, conferences and meetings held to discuss the development or status of HMRs. Also interfiled with transcripts are oversized bound reports, exhibits, and other items submitted for the official docket. All items are dated, clearly identified by title, subject and activity.

1C. HMR Background Working Papers. This series contains official transmittal/briefing memoranda and concurrence signoffs. Current volume is 5 cubic feet. Annual accumulation is one cubic foot.

Disposition for items 1A-1C: Permanent. Cut off closed files three years after last official action. Transfer files with related finding aid (docket log) to Federal Records Center (FRC) three years after cut off. Transfer to the National Archives seven years after cut off. For Dockets scanned into DOT/OST's optical disk system, follow disposition instructions approved for this system as cited in Job Number N1-398-93-4 that states:

Destroy paper files upon verification that the record hard copy information has been fully and accurately converted to optical disk. Transfer record copy of files and related finding aid to the National Archives in an acceptable format when files are ten years old. Acceptable format may be optical images converted to paper, microform, magnetic tape, 3480 class tape cartridge or any other medium that meets the standards specified in Subchapter B of 36 CFR Chapter XII before transfer to the National Archives' legal custody with related finding aids. Prior to transfer, NARA and DOT will determine the medium in which records will be transferred.

1D. Petitions for Rulemaking. Arranged in chronological order by assigned number that is different than the HMR number. Need docket log to access by subject. Petitions are either granted or denied, or with prior notification to petitioner, closed. Current volume is 4 cubic feet. Annual accumulation is 1 cubic foot.

Disposition for item 1D: Temporary. Cut off files three years after final grant or denial action. Scan files into RSPA's optical disk system. Destroy hard copies.

Destroy paper files upon verification that the record hard copy information has been fully and accurately converted to optical disk. Transfer record copy of files and related finding aid to the National Archives in an acceptable format when files are ten years old. Acceptable format may be optical images converted to paper, microform, magnetic tape, 3480 class tape cartridge or any other medium that meets the standards specified in Subchapter B of 36 CFR Chapter XII before transfer to the National Archives' legal custody with related finding aids.
2. HAZARDOUS MATERIALS EXEMPTIONS FILES

2A. Exemption Files.
This series of exemption application case files contains original documentation on why the applicant is seeking relief from a regulation as required by 49 CFR Chapter 1 Subpart B 107.1. The exemption and any renewal terminates in two years after the date of issuance unless exemption is terminated under special circumstances. Exemptions are either granted, denied, closed with cause, or withdrawn.

2B. Exemptions Confidential Files.
This series may contain confidential (proprietary supporting documents) information submitted by the petitioner to support their exemption request. This file is maintained as a separate series-not releasable to the public.

2C. Exemptions Background Working Files.
This series includes background working papers (duplicate copies of originals) used by staff to review and evaluate an exemption request including the recommendation for action.

Disposition for Items 2A: Temporary. [Actions initiated before October 1, 1996]: Cut off files two years after date of last official action, and scan items (excluding exemptions confidential files) into RSPA's optical disk system. Transfer files (excluding exemption confidential files) with related finding aid to the FRC two years after cut off. Destroy seven years after cut off. [Actions initiated on or after October 1, 1996]: For files scanned into the DOT/OST optical disk system, OST will verify accuracy of optically-scanned information and destroy hard copy files.

Disposition for Item 2B: Temporary. Cut off closed files two years after last official action. Transfer files with related finding aid (docket log) to FRC. Destroy seven years after cut off.

Disposition for Item 2C: Temporary. Destroy files when no longer needed.

3. Hazardous Materials Preemption Files
This series of files is divided into three sub-groups: (A) Inconsistency Ruling Applications, (B) Preemption Determination Applications, and Petitions for Reconsideration thereof, and (C) Waiver of Preemption Determination Applications, and Petitions for Reconsideration thereof. Within each category, the files are arranged in chronological order. Current volume is 14 cubic feet, annual accumulation is 2 cubic feet.

3A. Inconsistency Ruling Applications [IRA’s].
This series contains approximately 7 cubic feet of chronologically arranged files, which are numbered IRA-1 through IRA-55. These files contain petitions requesting issuance of non-binding determinations [Prior to enactment of the Hazardous Materials Transportation Uniform Safety Act (HMTUSA) in 1991, RSPA had authority only to issue advisory inconsistency rulings. HMTUSA, and the regulations promulgated thereunder, allowed RSPA to issue binding preemption determinations] that the hazardous materials transportation requirements of a state or political subdivision thereof are inconsistent with the requirements of the Hazardous Materials Transportation Act (HMTA).

3B. Preemption Determination Applications [PDA’s], and Petitions for Reconsideration of Preemption Determinations [PDA(R)’s].
This series contains approximately 5 cubic feet of chronologically arranged files, which are numbered PDA-1
through PDA-15. These files contain petitions requesting issuance of a binding preemption determination. Requests for reconsideration of a preemption determination are designated PDA(R). Each PDA(R) is filed directly behind the PDA to which it corresponds.

3C. Waiver of Preemption Determinations [WPDA's], and Petitions for Reconsideration of Waiver of Preemption Determinations [WPDA(R)'S].

This series contains approximately 2 cubic foot of chronologically arranged files, which will be numbered WPDA-1 forward. These files contain petitions requesting issuance of a binding waiver of a preemption determination. Requests for reconsideration of a waiver of preemption determination are designated WPDA(R). Each WPDA(R) is filed directly behind the WPDA to which it corresponds.

Disposition for items 3A-3C: Permanent. Cut off files annually upon final administrative action. Hold files in RSPA Dockets for three years after cut off, then transfer (with related finding aid) to the National Archives.

4. Hazardous Materials Advisory Committees and Organizations

Arranged by committee, thereunder in chronological order. This series documents internal, and national and international committee and working group files from major committees that RSPA participates in such as the Hazardous Materials Advisory Council (HMAC), the United Nations Subcommittee on the Transport of Dangerous Goods, and the International Atomic Energy Agency (IAEA). Most of the committee work is directed toward the review, modification and development of national and international HMRs and policies. Records include agendas and minutes of meetings, briefing books, working group recommendations, panel and informational papers and reports.

Disposition: Permanent. Cut off files annually. Transfer files with related finding aid to the FRC three years after cut off. Transfer to the National Archives 10 years after cut off.


Arranged in chronological order. Current textual volume, four cubic feet that covers FY 1995-on. Prior records already scanned into an optical disk system. This series contains the original request seeking clarification on HMRs and RSPA's outgoing interpretative response and internal concurrences.

Disposition: Temporary. Scan items into RSPA's optical disk system and destroy paper files every three years.

Withdrawn
OFFICE OF PIPELINE SAFETY (OPS)

6. PIPELINE SAFETY RULEMAKINGS AND PETITIONS FILES

6A. Office of Pipeline Safety (OPS) Rulemaking Dockets, also called Public Dockets.

Arranged by OPS-Docket number. Current volume is 30 cubic feet. Annual accumulation is five cubic feet. This series contains copies of the published Federal Register Notices for Proposed Rulemaking, all comments received, exhibits, speeches, verbatim transcripts and the final published regulation. The verbatim transcripts from public hearings, conferences and meetings document the development or status of an OPS regulation. Interfiled with the transcripts are oversized bound reports and exhibits submitted for the official docket. Most of the docket consists of text files with supporting technical drawings, blueprints and random photographic items. These files are located in RSPA's Public Docket Room starting with OPS docket number 1, dated 1968.

Beginning February 1, 1997, all new docketed documents will be scanned into the new DOT Automated Dockets Management System. No back scanning of older docketed material is planned. Most of the dockets opened before January 1, 1994, are closed. However, some dockets that were opened before that time are still active.

6B. OPS' Staff Rulemaking Files. Arranged by OPS-Docket number.

Current volume is 25 cubic feet and annual accumulation is two cubic feet. This series contains internal concurrences and copies of final rules as published in the Federal Register. This series also contains OPS' review and analysis of the pending rule and documents OPS' role in the creation, development, modification, and history of a regulation. Included in the files are briefing memos, contact with industry, studies, reports and recommendations and some analyses of comments received from the public. This series is located in the OPS office and contains no public comments.

6C. OPS Interpretations Files. Arranged by CFR section number in chronological order.

Current volume is 20 cubic feet and annual accumulation is one cubic feet. These files contain incoming letters requesting interpretations of the pipeline safety regulations and background materials. It also contains OPS' responses to these interpretation requests, studies, reports and recommendations, and documents OPS' role in the modification and history of a regulation.

Disposition for Items 6A--6C: Permanent. Cut off files every ten years. Transfer files with related finding aid to the FRC three years after cut off. Transfer to the National Archives 10 years after cut off.

NOTE: If selected dockets are scanned into the DOT's optical disk system, then follow disposition instructions approved for the system as cited in Job Number N1-398-95-4 that states:

Destroy paper files upon verification that the record copy information has been fully and accurately converted to optical disk. Transfer record copy of files and related finding aid to the National Archives in an acceptable format when files are ten years old. Acceptable format may be optical images converted to paper, microform, magnetic tape, 3480 class tape cartridge or any other medium that meets the standards specified in Subchapter B of 36 CFR Chapter XII before transfer to the National Archives' legal custody with related finding aids. Prior to transfer, NARA and DOT will determine the medium in which records will be transferred.

7. Pipeline Safety Advisory Committee and Organizations. Arranged by committee in chronological order.
Current volume is five cubic ft. Annual accumulation is one cubic foot. This series contains documentation accumulated by OPS' Advisory Committees that review pipeline safety regulations for technical feasibility, reasonableness, and practicability. The main advisory committees are: the Technical Pipeline Safety Standards Committee, and the Technical Hazardous Liquid Pipeline Safety Standards Committee. The records contain minutes, agendas, information on individual members, briefing books, informational papers, reports and recommendations. OPS staff also represent RSPA at national organizations such as the National Association of Regulatory Utility Commissioners and, the National Association of Pipeline Safety Representatives working group and Subcommittee meetings. The records contain minutes, agendas, information on individual members, briefing books, informational papers, reports and recommendations.

Disposition: Permanent: Cut off files every five years. Transfer files with related finding aid to the FRC three years after cut off. Transfer to the National Archives 10 years after cut off.


This series contains background working papers used by staff to review and evaluate a waiver request including recommendation for action.

8A. State Waivers. Arranged alphabetically by State in chronological order.

Current volume is three cubic feet. Annual accumulation is one cubic foot. Letters from state pipeline safety representatives requesting OPS concurrence on a state waiver action, may include maps, diagrams, and background materials. This series also includes background and supporting materials generated by OPS staff.

8B. Federal Waiver.

This series contains requests from pipeline operators seeking waivers from compliance with specified OPS regulations. These waivers are granted or denied based on an analysis of documented reasons provided. This series also includes background and supporting materials generated by OPS staff.

Disposition for items 8A–8B: Permanent. Cut off files every five years. Transfer files with related finding aid to the FRC three years after cut off. Transfer to the National Archives 10 years after cut off.

Item 8A State Waivers and Background Working Papers
Item 8B Federal Waivers and Background Working Papers

Dispositions: Temporary. Cut off files every five years. Transfer files with related finding aid to the FRC three years after cut off. Destroy 15 years after cut off.
OFFICE of PIPELINE SAFETY (OPS) PROGRAM FILES

9. Pipeline Safety Program Subject files. Arranged alphabetically by date. Current volume is 5 cubic feet. Annual accumulation is 1 cubic foot.

This series contains central program files of the Office of Pipeline Safety (OPS) that documents substantial pipeline safety mandates, policies, compliance, and research activities. Included are advisory bulletins and alert notices issued by OPS to the natural gas and pipeline industry; memoranda of understanding (MOUs) between DOT and other Federal agencies regarding pipeline facilities; Congressional correspondence; correspondence with specific gas and pipeline companies and organizations; OPS’ annual reports; Alyeska files; correspondence from the Administrator, Associate and Deputy Administrator and, Chief Counsel; correspondence to OPS regions; foreign affairs correspondence; and issues papers on such subjects as inspections, new technology, off shore pipelines, and excess flow valves.

Disposition: Permanent. Cut off files annually. Transfer to the National Archives 10 years after cut off.

10. General Administration and Correspondence files.

This series contains general administrative correspondence that cover routine staff and general office functions. Files include copies of personnel actions, time and attendance sheets, budget, procurement, and general training. Exclude files that are covered specifically by the General Records Schedule authorities.

Disposition: Temporary. Cut off files annually. Transfer files with related finding aid to the FRC three years after cut off. Destroy ten years after cut off.

11. State Grant Files.

This series contains planning and training grant files arranged in alphabetical order by state seeking aid to plan and train pipeline safety operations personnel. Files contain proposed state safety plan, program summary, correspondence, names and addresses of gas companies, description of facilities and funds required to operate program.

11A. Headquarters.

11B. Regions.

Disposition for items 11A–11B: Temporary. Cut off files annually. Transfer to FRC when five years old. Destroy 10 years after transfer to FRC.

12. State Certification, Monitoring and Evaluation Files.

This series contains information on states’ application for grant assistance and required documentation as listed in 49 CFR Part 110.30. After grants are awarded a designated project manager must monitor performance of activities to assure compliance, including final performance reports and any problems that arise between reports.

Disposition: Temporary. Cut off files annually. Transfer files with related finding aid to FRC three years after cut off. Destroy 15 years after cut off.

13. Compliance Progress Files.
This series contains compliance status reports on facilities that have violated OPS regulations. These reports document the required actions RSPA deemed necessary for remedying an OPS violation.

Disposition: Temporary. Cut off closed cases ten years. Transfer cases with related finding aid to the FRC ten years after cut off. Destroy 15 years after cut off.

14. Reports.

14A. Accident/Incident Reports.

Information on the release of gas from a pipeline or liquefied natural gas as required to be reported to RSPA as cited in 49 CFR 191. Telephonic notices as well as written reports are required from operators for each incident on Federal land.

14B. Annual and Other Required Reports. Arranged by name of report. Current volume is 2 cubic ft. Annual accumulation is 2 cubic ft.

Annual reports on the status of a pipeline operational systems and other required reports include safety related condition reports and offshore pipeline condition reports that are required after inspection of certain pipelines.

Dispositions for items 14A--14B: Temporary. Cut off files when reports are closed or superseded. Transfer with related finding aid to FRC three years after cut off. Destroy 15 years after cut off.

15. Integrated Pipeline Information System (IPIS).

IPIS is the primary electronic tool for storing, retrieving and analyzing pipeline safety data that has been reported to RSPA as required by 49 CFR Part 195. IPIS provides operational and statistical information necessary to perform failure and cost-benefit analyses and various other studies supporting Rulemaking, enforcement and research.

Dispositions: Permanent. Transfer master tapes to the National Archives annually. Maintain "archive" copy of transferred tapes per RSPA's Information Systems guidance.


Current volume is 15 cubic ft. Estimated annual accumulation is less than one cubic ft.

This series contains records documenting the ANGTS project, which was designed to carry natural gas from the north slope of Alaska to North American consumption areas.

Disposition: Permanent. Cut off closed files annually. Transfer with related finding aid to the FRC three years after cut off. Transfer to the National Archives 10 years after cut off.

17. OPS Research and Technical Program Activities. Arranged alphabetically by subject. Current volume is 10 cubic ft. Estimated annual accumulation is 0.5 cubic ft.

This series contains research program activities, papers and recommendations used in the development, modification, interpretation and enforcement of the pipeline safety regulations.

Dispositions for items 17A--17B:

17A. Final Products, Reports and Recommendations: Permanent. Cut off closed files annually. Transfer to the National Archives 5 years after cut off.
14. Accident/Incident Reports
Information on the release of gas from a pipeline or liquefied natural gas as required to be reported to RSPA as cited in 49 CFR 191 and 195. Telephonic notices as well as written reports are required from operators for each incident on Federal land.

14A. Headquarters

14B. Regional Offices

Disposition: Significant Cases. Permanent. Significant accidents and incidents that warrant permanent retention because of the following criteria:

1. Cases that result in precedential actions that significantly interpret legislation or regulation. Cases that result in legal opinions that establishes policies, regulations, directives and legislation.

2. Cases that gain state, regional or national attention due to volume of product spilled; economic or environmental impact; number of injuries or loss of life; or amount of property damages or other outstanding criteria as selected by RSPA staff.

14C. Reports/Cases that do not warrant permanent retention
Disposition. Temporary. Cut off files when reports are closed or superseded. Transfer with related finding aids to FRC three years after cut off. Destroy 15 years after cut off.

14D. Annual and Other Required Reports
Disposition: Temporary. Cut off files when reports are closed or superseded. Transfer with related finding aids to FRC three years after cut off. Destroy 15 years after cut off.

*14B 1 and 2. PERMANENT. Cut off files every 10 years. Transfer files with related finding aid to the Federal Records Center three years after cut off. Transfer to the National Archives 10 years after cut-off.


18. Response Plans.

This series contains response plans by operators of onshore petroleum pipeline facilities as required under 49 CFR Part 194.3. The Response Plans Officer reviews and approves the plans or notifies the operator of deficiencies. The plans are reviewed and updated every three years unless conditions warrant changes to the plan prior to the three year review. The review cycle is subject to change.

Disposition: Temporary. Cut off files when new plan is submitted. Destroy superseded plans ten years after cut off.


To promote compliance with the pipeline safety regulations, the Department sponsors a number of information dissemination activities designed to familiarize industry personnel, particularly operators of small gas systems as well as required OPS policies and procedures. Included are OPS' regulatory and instructional manuals, pamphlets, brochures, newsletters, antidrug-related materials, and training materials provided through the Pipeline Safety Division of the Transportation System Institute (TSI). The TSI publications may include conference materials, course materials, seminar materials including training videos, and other audiovisual materials.

19A Record Copy. 
Disposition: Permanent. Break files every five years. Transfer five year accumulation with the related finding aid to the National Archives five years after the break.
19B. All other copies. Temporary. Destroy when no longer needed for reference.

20. Audio Visual Materials:

20A. Black and White and Color Photographic Prints.
20B. Black and White Negatives and Contact Sheets.
20C. Color Negatives and Contact Sheets.
20D. Color Slides.
20E. Motion Picture and Video Recordings.
20F. Magnetic Audiotape and Recordings.
20G. Graphic Arts.

Dispositions for Items 20A-20G: Temporary. Break every five years. Destroy seven years after break if no longer needed for reference.

Note: For historically valuable audio files, submit an individual SF 115 to seek unique dispositions.
19A. Training Materials:
Record Copy
One copy of each manual, pamphlet, brochure, newsletter, training packet and other training materials disseminated by the Transportation Safety Institute (TSI).

Disposition: Permanent. Break files every five years. Transfer five year accumulations with related finding aids to the National Archives five years after break.

19B. All other copies
Disposition: Temporary. Destroy when no longer needed for reference.

19C. Posters.
Poster publicizing pipeline safety dissemination by TSI.

Disposition: Permanent. Cut off at end of fiscal year. Transfer two copies of each poster to NARA immediately following cut off.

19D. Slide Sets.
Slide sets generated, sponsored or used by TSI to train industry personnel.

Disposition: Permanent. Cut off files at the end of the fiscal year. Transfer the original and a reference set with related audio recordings or script to NARA five years after cut off.

19E. Videotapes: Training tapes showing the handling and disposition of hazardous materials.

Disposition: Permanent. Transfer to the National Archives the original or earliest generation in a professional format such as D-2, 1 inch beta or 3/4 inch plus a duplicate copy in 3/4 inch or HS format along with any relevant finding aids five years after creation or acquisition or anytime prior when no longer required for administrative use.

19F. Videotapes. Routine and duplicative training tapes

Disposition: Temporary. Destroy when no longer required for administrative use.

20. OPS' Audiovisual Materials

20A. RSPA/DOT-generated, sponsored or gathered still photographs (captioned), negatives, contact sheets, transparencies for photographs of senior agency officials, facilities, press conferences, meetings with top officials, groundbreakings and dedication ceremonies, and VIP visits; photographs produced or collected for
agency publications, exhibitions, and other media productions; documentary photographs taken for fact finding purposes, research or other studies; and photographs that document DOT/RSPA's missions or programs along with related finding aids.

Disposition: Permanent. Break files every five years. Transfer five year accumulations with related finding aids to the National Archives five years after the break.

20B. RSPA/DOT-generated, sponsored, or gathered still photographs, negatives, contact sheets, color slides and graphic arts of routine subjects, including photographs of low level staff, employee awards events, retirement ceremonies, training classes, campaigns, or commemorative events (e.g. CFC campaigns, blood drives, ethnic or women's history events) common to most government agencies and not related to DOT/RSPA's mission.

Disposition: Temporary. Break files every five years. Destroy seven years after break if no longer needed for reference.

20C. Videotapes. Videotapes relating to routine administrative matters, duplicative, reference and other excess copies.

Disposition: Temporary. Destroy when no longer required for administrative use.