

## Request for Records Disposition Authority

Records Schedule Number           DAA-0571-2015-0019

Schedule Status                       Modified Approved Version

  

Agency or Establishment           Pipeline and Hazardous Materials Safety Administration

Record Group / Scheduling Group   Records of the Pipeline and Hazardous Materials Safety Administration

Records Schedule applies to       Major Subdivision

Major Subdivision                    Pipeline and Hazardous Materials Safety Administration (PHMSA)

Minor Subdivision                    Office of Hazardous Materials Safety

Schedule Subject                     FIELD OPERATIONS PHH-40 THRU PHH-46

Internal agency concurrences will be provided   No

Background Information            The field services support division is responsible for ensuring a national regulatory compliance strategy, a uniform enforcement approach, and coordinated fitness determinations for 77,000 regulated entities. Through various on-site inspections, investigations, training and outreach campaigns, the division along with each of the regional offices ensure the safe and secure transportation of hazardous materials in the U.S. and its territories. During the course of completing these duties, the division generates a wide variety of documents, forms and case reports.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

### GAO Approval

## Outline of Records Schedule Items for DAA-0571-2015-0019

Sequence Number	
1	Investigative/Inspection/Enforcement Case Files Disposition Authority Number: DAA-0571-2015-0019-0001
2	FITNESS MEMOS Disposition Authority Number: DAA-0571-2015-0019-0002
3	Special Projects Disposition Authority Number: DAA-0571-2015-0019-0003
4	Investigator Qualifications Disposition Authority Number: DAA-0571-2015-0019-0004

## Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 1024 411"><b>Investigative/Inspection/Enforcement Case Files</b></p> <p data-bbox="345 432 1149 464">Disposition Authority Number      <b>DAA-0571-2015-0019-0001</b></p> <p data-bbox="345 485 1516 716">Investigation files containing inspection reports and exhibits and attachments such as exit briefings, chain of custody documents, videotapes, discs, photos, testing results; Referral Memos; Warning letters; subpoenas; Notices of Probable Violations, responses to Notices of Probable Violations, corrective actions, Orders, Decisions on Appeal, Notices of Withdrawal, Compromise Agreements, SISP Agreements, dismissal letters, other correspondence, and accident reports.</p> <p data-bbox="345 737 915 768">Final Disposition                      <b>Temporary</b></p> <p data-bbox="345 789 873 821">Item Status                                <b>Inactive</b></p> <p data-bbox="345 842 818 873">Is this item media neutral?           <b>Yes</b></p> <p data-bbox="345 894 818 1020">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 data-bbox="345 1041 818 1125">Do any of the records covered by this item exist as structured electronic data?                       <b>Yes</b></p> <p data-bbox="345 1146 1484 1409">Inactive Status Explanation            <b>This item is inactive because it was superseded by New Disposition Authority Number: DAA-0571-2020-0008-0001 In Part New Disposition Authority Number: DAA-0571-2020-0008-0002 In Part</b></p> <p data-bbox="345 1451 659 1482"><b>Disposition Instruction</b></p> <p data-bbox="345 1503 1451 1650">Retention Period                         <b>Destroy 6 years after the case is closed. NOTE: Summary pages listing violation descriptions are maintained until no longer needed for agency business.</b></p> <p data-bbox="345 1692 656 1724"><b>Additional Information</b></p> <p data-bbox="345 1745 948 1776">GAO Approval                              <b>Not Required</b></p>
2	<p data-bbox="345 1808 610 1839"><b>FITNESS MEMOS</b></p> <p data-bbox="345 1860 1154 1892">Disposition Authority Number      <b>DAA-0571-2015-0019-0002</b></p>

**Fitness/Compliance Memos** The Fitness Memorandum is memorandum that is prepared and maintained by Field Operations. The memorandum is used by Field Operations staff to communicate the results of a Tier Two and/or Tier Three Minimum Level of Fitness Review to the Division of Approvals and Permits.

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

Do any of the records covered by this item exist as structured electronic data? Yes

**Disposition Instruction**

Retention Period Destroy after 5 years from the date the Memo was signed (as part of 5 year renewal period)

**Additional Information**

GAO Approval Not Required

**Special Projects**

Disposition Authority Number DAA-0571-2015-0019-0003

**Intel Reports, Sample Results, Summaries, Tracking Documents, Sample Plans, PowerPoint Presentations, Outreach Materials.**

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

Do any of the records covered by this item exist as structured electronic data? Yes

**Disposition Instruction**

Retention Period Destroy 5 year(s) after conclusion of the project.

**Additional Information**

GAO Approval Not Required

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**Investigator Qualifications**

Disposition Authority Number      **DAA-0571-2015-0019-0004**

**Investigator Training Records.**

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**

Do any of the records covered  
by this item exist as structured  
electronic data?      **Yes**

**Disposition Instruction**

Retention Period      **Destroy 3 year(s) after investigator leaves agency.**

**Additional Information**

GAO Approval      **Not Required**

## 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
04/29/2015	Certify	Faustine Robinson	Records Officer	Pipeline and Hazardous Materials Safety Administration - Pipeline and Hazardous Materials Safety Administration
06/26/2017	Submit for Concurrency	Jim Cassedy	Appraiser	National Archives and Records Administration - Records Management Services
06/29/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
06/29/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/03/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist