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| <b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>   |  | JOB NUMBER<br><i>N1-026-09-2</i>  |  |
| To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION<br>8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001  |  | Date received<br><i>09-16-2009</i>  |  |
| 1 FROM (Agency or establishment)<br><b>Department of Homeland Security</b>   |  | NOTIFICATION TO AGENCY  |  |
| 2 MAJOR SUBDIVISION<br><b>United States Coast Guard</b>  |  | In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 |  |
| 3 MINOR SUBDIVISION<br><b>National Pollution Funds Center</b>  |  |   |  |
| 4 . NAME OF PERSON WITH WHOM TO CONFER<br><b>Amy Casillas-Becker</b>   | 4 TELEPHONE NUMBER<br><b>202-493-6771</b>  | DATE<br><i>04/26/2010</i>   | ARCHIVIST OF THE UNITED STATES<br><b>WITHDRAWN</b>         |
| 6 AGENCY CERTIFICATION<br>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 <u>3</u> page(s) are not needed now for the business for 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. |  |   |  |
| <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested   |  |   |  |
| DATE<br><i>9/15/2009</i>   | SIGNATURE OF AGENCY REPRESENTATIVE<br><i>Pamela Norman</i><br><b>Pamela Norman</b>   |   | TITLE<br><b>Records Officer, United States Coast Guard</b> |
| 7 ITEM NO  | 8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION   | 9 GRS OR SUPERSEDED JOB CITATION  | 10 ACTION TAKEN (NARA USE ONLY)                            |
|  | <p>The purpose of this request is to add items to the current U.S Coast Guard record schedules to correctly identify records created and maintained at the National Pollution Funds Center (NPFC) as the "official paper record" plus an additional electronic copy</p> <p>Documentations created and/or maintained by the NPFC are to manage federal funding of response relating to oil spills or hazardous materials releases per the National Oil and Hazardous Substances Pollution Contingency Plan (NCP), the National Response Plan and/or their successors. These documents include, but are not limited to cost documentation, documentation of cost recovery, and claims submitted under the Oil Pollution Act (OPA) of 1990, Incidents covered by funding from the Oil Spill Liability Trust Fund (OSLTF), Superfund (under the Comprehensive Environmental Response, Compensation, and Liability Act, or CERCLA) and/or the Stafford Act</p> <p>See Attached.</p> |   |  |

## **We reviewed our documents and adapted SSIC Numbering from the CG Information Life Cycle Manual**

### **1. Case & Claim Files (SSIC 16480, Item 8a)**

Documentation of OPA, CERCLA, or disaster incidents and/or OPA claims, especially cost documentation of federal response funding, including but not limited to information about the location and nature of the incident, emergency authorizations for clean up and immediate recovery, contracts, plans, pollution removal funding authorizations, authorizations to pay, procurement documents, cost estimates, correspondence, litigation documentation, and administrative records and any other documents determined to be necessary in maintaining the integrity of the case. Also includes documentation on responsible parties (when known) and cost recovery.

#### **A. Case Files.**

Documentation on spills, releases, or incidents, files include; but are not limited to, cost documentation, cost recovery documentation, litigation documentation, and claim files.

#### **B. Claim Files**

Documentations of Damage, Lost Profits, Entitlement, Natural Resource Damage, and Loss of Subsistence Use Claims against the OSLTF, these claims that are received after the associated case file is closed and sent to the FRC for storage, or not associated with a case file, will be maintained and archived separately. Files include, but are not limited to, claim documentation from responsible parties, NRD trustees, and other claimants, economic analyses, invoices and cost documentation, determinations by NPFC claims managers, correspondence, authorizations to pay, legal releases, site visit reports, photographs, and other supporting materials. The case file will not be reopened or retrieved from the FRC unless necessary for NPFC business needs.

**Disposition:** Permanent. Transfer to FRC at the end of the fiscal year, once the case and/or claim has been closed. Transfer to NARA after 10 years at FRC.

### **2. OSLTF, CERCLA, & Stafford Act Management and Accounting Records (SSIC 16480, Item 8f)**

Includes management and accounting records for the Oil Spill Liability Trust Fund, and its predecessors, such as the 311K Revolving Pollution Fund, as well as other incident funds the NPFC handles.

#### **A. Collections Records (Daily accounts receivable records)**

Payment documentation including copies of checks and statement of amounts deposited into OSLTF from responsible parties (determined to be financially

responsible for costs of clean up of oil spill.) Amounts received by NPFC (or other financial institution on behalf of NPFC) are applied against the cost of the oil spill cleanup into the NPFC financial system.

**B. Records of Deposits**

Records of payments made directly to NPFC, including fees for Certificates of Financial Responsibility (COFR), payments by responsible parties, fees for FOIA requests, and other payments. Records of receipt of payment and deposit into OSLTF or other Coast Guard funds, includes: deposit tickets, monthly statements, credit card records, remittance forms, deposit log, audit records, and monthly reconciliation spreadsheets.

**C. EPA (Environmental Protection Agency) Bills to OSLTF**

Requests from EPA for reimbursement from OSLTF for expenditures relating to an oil spill or other hazardous material release; the subsequent, reconciled authorizations to pay; and related documentation

**D. Collection Service Summary Report**

Includes status reports from collection service and documentation used to reconcile NPFC data with those reports; may list cases opened, closed, paid, records of disputes and other information.

**E. OSLTF Income and Expenditure Reports (*Records 1990 and later*)**

Reports on financial status of OSLTF, including revenue and expenses, monthly Treasury income statements, Emergency Fund (EF) expenditures, claims paid expenditures, expenditures for the Oil Spill Recovery Institute (OSRI), and status of the Emergency Fund ceiling assigned to the Coast Guard, Environmental Protection Agency and Natural Resource Damage Assessments. These include: data on fund status not captured in the current electronic database, and is not otherwise available.

**F. 311K Revolving Pollution Fund Reports (*Records from 1971-1990*)**

Monthly Treasury report on income and expenditure of 311K fund under Federal Water Pollution Control Act, predecessor fund to OSLTF.

**G. Studies/Surveys/Reports**

Periodic reports (excluding the routine or general reports listed below) on the NPFC and/or OSLTF and other documents that are not forwarded to or published by a higher authority.

**H. General Correspondence & Reports**

Includes all correspondence and reports (excluding that are not directly related to a single incident (i.e., may involve multiple incidents or none specifically) to and

from USCG field units, USCG headquarter commands, EPA offices, natural resource trustees, other government agencies, and other NPFC customers. May include status reports on active cases within districts, issues with expenditures for multiple cases, and guidance for field units.

**Disposition:** Permanent. Cut off at the end of the fiscal year, and then transfer to FRC. Transfer to NARA after 10 years at FRC.

### **3. Electronic Copies of Records**

NPFC has five non-major systems that collectively comprise NPFC's mission support system; NPFC Case Information Management System, NPFC Ceiling and Number Assignment Processing System, NPFC Certificate of Financial Responsibility, NPFC Claims Processing System, and NPFC Electronic Certification of Financial Responsibility. These systems maintain copies of working documents and store information from cases. It is an unofficial copy of case file

**Disposition:** Authorized to destroy after Official Paper copy is transferred to NARA.