

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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	Investigative/Inspection/Enforcement Case Files Disposition Authority Number DAA-0571-2015-0019-0001 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. Final Disposition Temporary Item Status Inactive 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 Inactive Status Explanation 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 Disposition Instruction Retention Period Destroy 6 years after the case is closed. NOTE: Summary pages listing violation descriptions are maintained until no longer needed for agency business. Additional Information GAO Approval Not Required
2	FITNESS MEMOS Disposition Authority Number DAA-0571-2015-0019-0002

3	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

4	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