

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)
Federal Energy Regulatory Commission

2. MAJOR SUBDIVISION
Office of External Affairs

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
Kathy Quijada-Cusack

5. TELEPHONE
202-208-1748

DO NOT WRITE IN THESE SPACES (NARA use only)

JOB NUMBER
N1-138-00-7

DATE RECEIVED
5-8-00

NOTIFICATION TO AGENCY

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE
10-26-01

ARCHIVIST OF THE UNITED STATES
John W. Paul

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 6 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 has been requested.

DATE
5/1/2000

SIGNATURE OF AGENCY REPRESENTATIVE
Katherine Quijada-Cusack

TITLE
Records Management Officer

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS OR SUPERSEDED JOB CITATION | 10. ACTION TAKEN (NARA USE ONLY) |
|-------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------|----------------------------------|
| | <p>Establish a records schedule for records maintained by the Office of External Affairs as per the attached.</p> <p><i>cc: Agency, NWMD, NWMWA, NWCS</i></p> | | |

1. Commission Publications.

Official publications formally coordinated, prepared, and printed by the Government Printing Office, private contractors, or the agency itself including special reports and studies, brochures, pamphlets, handbooks, manuals, catalogs, and other public relations and educational materials prepared to furnish information or to promote agency programs and operations to the public.

A. Recordkeeping copy.

PERMANENT; Cut off annually. Transfer to the National Archives and Records Administration in 5-year blocks when oldest record is 10 years old (i.e. records dated 1990-1995 are transferred in 2000).

~~B. Other copies.~~

~~Duplicate copies of publications maintained for convenience of reference.~~

~~NON-RECORD; Destroy when no longer needed for convenience of reference.~~

2. FERC Annual Report.

A. Copy of the FERC Annual Report to Congress. Arranged chronologically.

PERMANENT; Cut-off annually. Transfer to the National Archives and Records Administration in 5-year blocks when oldest record is 10 years old (i.e., records dated 1990-1995 are transferred in 2000).

B. Background materials.

TEMPORARY; Cut off after publication of each Annual Report. Destroy when 1 year old.

3. Employee Newsletter.

A. Recordkeeping copy of each formally issued newsletter. Arranged chronologically.

PERMANENT; Cut-off annually. Transfer to the National Archives and Records Administration in 5-year blocks when oldest record is 10 years old (i.e., records dated 1990-1995 are transferred in 2000).

B. Background materials.

TEMPORARY; Cut off after publication of each newsletter. Destroy when 1 year old.

4. Technical and General Reference Materials.

Non-record or duplicate copies of books, publications, manuals, reports, newsletters, reprints, and other similar materials maintained solely for convenience of reference.

NON-RECORD; Destroy when superseded, obsolete, or no longer needed for current business.

5. News/Press Releases.

News releases issued by the Commission.

A. Recordkeeping Copy.

PERMANENT; Cut off annually. Transfer to the National Archives and Records Administration in 5-year blocks when oldest record is 10 years old (i.e., records dated 1990-1995 are transferred in 2000).

6. Negatives and Photographic Prints.

Photographic negatives and prints reflecting the historical significance of the Agency and related finding aids and documentation necessary for their proper identification, retrieval, and use. Records include: official portraits of senior Commission officials, mission-related photographs depicting various program mission activities, photographs used for publication in the annual report.

A. Black and White Photographs.

PERMANENT; Cut off annually. Transfer to the National Archives and Records Administration in 5-year blocks when oldest photographs are 10 years old. (i.e. records dated 1990-1995 are transferred in 2000).

Transfer an original negative and a captioned print. If the original negative is nitrate or glass, include a duplicate negative on polyester, along with related finding aids and documentation necessary for their proper identification, retrieval, and use.

B. Color Photographs.

PERMANENT; Cut off annually. Transfer to the National Archives and Records Administration in 5-year blocks when oldest photographs are 10 years old. (i.e. records dated 1990-1995 are transferred in 2000).

Transfer the original color transparency, color slide, or color negative, a captioned print and/or captioning information, and an internegative, if one exists, along with related finding aids and documentation necessary for their proper identification, retrieval, and use.

~~7. Routine Photographs, negatives and slides (GRS 21, Item 1).~~

~~Photographs of routine award ceremonies, social events, and activities not related to the mission of the agency~~

~~TEMPORARY; Destroy when 1 year old.~~

8. Mission-Related Video Recordings.

Consists of video recordings related to Agency missions. Includes Commission sponsored productions intended for public distribution; recordings of FERC officials who have attended public meetings. Also includes related finding aids and documentation necessary for the proper identification, retrieval, and use of the recordings, and any related script or transcripts.

PERMANENT; Cut off annually and retire to the Records Maintenance Center. Transfer the original or earliest generation of the video recording in an industrial quality or professional video format, and one copy for reference in VHS format, to the National Archives and Records Administration in 5-year blocks when oldest record is ten years old (i.e., records dated 1990-1995 are transferred in 2000).

~~9. Speeches.~~

~~Copies of speeches made by the Chairman or Commissioners concerning the missions or activities of the Commission. The recordkeeping copy of these files are scheduled for permanent retention in the Records of the Chairman and Commissioners under N1-138-88-2, Item 2.~~

~~NON-RECORD; Destroy when no longer needed for convenience of reference.~~

10. Freedom of Information Act (FOIA) Requests Files (GRS 14, Item 11).

Files created in response to requests for information under the FOIA, consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of requested record or copy thereof.

A. Correspondence and supporting documents (EXCLUDING) the official file copy of the records requested if filed herein).

(1) Granting access to all the requested records.

TEMPORARY; Destroy 2 years after date of reply.

(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a) Request not appealed.

TEMPORARY; Destroy 2 years after date of reply.

(b) Request appealed.

TEMPORARY; Destroy as authorized in Item 10.

(3) Denying access to all or part of the records requested.

(a) Request not appealed.

TEMPORARY; Destroy 6 years after date of reply.

(b) Request appealed.

TEMPORARY; Destroy as authorized in Item 10.

B. Official file copy of requested records.

DISPOSITION: Dispose of in accordance with approved agency disposition instructions for the related records or with the related FOIA request, whichever is later.

11. FOIA Appeals Files. (GRS 14, Item 12)

Files created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

A. Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein).

TEMPORARY; Destroy 6 years after final determination by agency, 6 years after the time at which a requester could file suit, or 3 years after final adjudication by the courts, whichever is later.

B. Official file copy of records under appeal.

TEMPORARY; Dispose of in accordance with approved agency disposition instructions for the related record or with the related FOIA request, whichever is latest.

12. FOIA Control Files (GRS 14, Item 13).

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.

A. Registers or listing.

TEMPORARY; Destroy 6 years after date of last entry.

B. Other files.

TEMPORARY; Destroy 6 years after final action by the agency or after final adjudication by courts, whichever is later.

13. FOIA Reports Files (GRS 14, Item 14).

Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, EXCLUDING annual reports to the Congress at the departmental or agency level.

TEMPORARY; Destroy when 2 years old.

14. Annual Report of FOIA Activities to Congress.

Report submitted by the Commission to Congress on an annual basis identifying FOIA activities.

TEMPORARY; Destroy when 10 years old.

15. FOIA Administrative Files (GRS 14, Item 15).

Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.

TEMPORARY; Destroy when 2 years old.

16. Congressional Correspondence, State Files and Constituent Records.

Correspondence to the Commission from members of Congress and replies to Congress or Congressional constituents and supporting documents.

TEMPORARY; Cutoff at the end of each Congress (2 years). Destroy when 6 years old.

~~17. Congressional Correspondence Control Files (GRS 23, Item 8).~~

~~Logs, registers, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or a NARA-approved SF 115.~~

~~TEMPORARY; Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.~~

18. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created or received on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

A. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

TEMPORARY; Destroy/delete within 180 days after the recordkeeping copy has been produced.

B. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

TEMPORARY; Destroy/delete when dissemination, revision, or updating is completed.

Original schedule
superseded. See 7/2/01
email for agency concurrence.
TT

1. Commission Publications.

Official publications formally coordinated, prepared, and printed by the Government Printing Office, private contractors, or the agency itself including annual reports to Congress and Environmental Impact Statements, technical reports, catalogs, and other public relations and educational materials prepared to furnish information or to promote agency programs and operations to the public.

A. Recordkeeping copy.

DISPOSITION: Permanent. Cut off annually. Transfer to the National Archives and Records Administration in 5-year blocks when oldest record is 10 years old (i.e. records dated 1990-1995 are transferred in 2000).

B. Other copies.

Duplicate copies of publications maintained for convenience of reference.

DISPOSITION: Non-record. Destroy when no longer needed for convenience of reference.

2. Employee Newsletters.

A. Recordkeeping copy of each newsletter maintained by the office originating the publication. Arranged chronologically.

DISPOSITION: Permanent. Cut-off annually. Transfer to the National Archives and Records Administration in 5-year blocks when oldest record is 10 years old (i.e., records dated 1990-1995 are transferred in 2000).

B. Background materials.

DISPOSITION: Temporary. Cut off after publication of each newsletter. Destroy when 1 year old.

3. Technical and General Reference Materials.

Non-record or duplicate copies of books, publications, manuals, reports, newsletters, reprints, and other similar materials maintained solely for convenience of reference.

DISPOSITION: Non-record. Destroy when superseded, obsolete, or no longer needed for current business.

4. News/Press Releases.

News releases issued by the Commission.

Original schedule
superseded. See
7/2/01 email for
agency concurrence.
TT

DISPOSITION: Permanent. Cut off annually. Transfer to the National Archives and Records Administration in 5-year blocks when most recent record is 10 years old.

5. Negatives and Photographic Prints.

Photographic negatives and prints reflecting the historical significance of the Agency and related finding aids and documentation necessary for their proper identification, retrieval, and use. Records include: official portraits of senior Commission officials, mission-related photographs depicting various program mission activities, photographs used for publication in the annual report.

DISPOSITION: Permanent. Cut off annually. Transfer to the National Archives and Records Administration in 5-year blocks when oldest photographs are 10 years old. (i.e. records dated 1990-1995 are transferred in 2000).

A. Black and White Photographs.

Retire an original negative and a captioned print. If the original negative is nitrate or glass, include a duplicate negative, along with related finding aids and documentation necessary for their proper identification, retrieval, and use.

B. Color Photographs.

Retire the original color transparency or color negative, a captioned print, and an internegative, if one exists, along with related finding aids and documentation necessary for their proper identification, retrieval, and use.

6. Routine Photographs, negatives and slides (GRS 21, Item 1).

Photographs of routine award ceremonies, social events, and activities not related to the mission of the agency.

DISPOSITION: Temporary. Destroy when 1 year old.

7. Mission-Related Video Recordings.

Consists of video recordings related to Agency missions. Includes Commission sponsored productions intended for public distribution; recordings of FERC officials who have attended public meetings. Also includes related finding aids and documentation necessary for the proper identification, retrieval, and use of the recordings, and any related script or transcripts.

DISPOSITION: Permanent. Cut off annually. Retire the original or earliest generation of the video recording, in an industrial quality or professional video format, and one copy, to the

National Archives and Records Administration when oldest record is ten years old (i.e., records dated 1990-1995 are transferred in 2000).

8. Speeches.

Copies of speeches made by the Chairman or Commissioners concerning the missions or activities of the Commission.

DISPOSITION: Permanent.

A. Recordkeeping copy.

DISPOSITION: Permanent. Cut off annually. Transfer to the National Archives and Records Administration in 5-year blocks when oldest speeches are 10 years old (i.e. speeches dated 1990-1995 are transferred in the year 2000).

9. Freedom of Information Act (FOIA) Requests Files (GRS 14, Item 11).

Files created in response to requests for information under the FOIA, consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of requested record or copy thereof.

A. Correspondence and supporting documents (EXCLUDING) the official file copy of the records requested if filed herein).

(1) Granting access to all the requested records.

DISPOSITION: Temporary; Destroy 2 years after date of reply.

(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a) Request not appealed.

DISPOSITION: Temporary; Destroy 2 years after date of reply.

(b) Request appealed.

DISPOSITION: Destroy as authorized in Item 10.

(3) Denying access to all or part of the records requested.

(a) Request not appealed.

DISPOSITION: Temporary. Destroy 6 years after date of reply.

- (b) Request appealed.

DISPOSITION: Destroy as authorized in Item 10.

- b. Official file copy of requested records.

DISPOSITION: Destroy of in accordance with approved agency disposition instructions for the related records or with the related FOIA request, whichever is later.

10. FOIA Appeals Files. (GRS 14, Item 12)

Files created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

- A. Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein).

DISPOSITION: Temporary. Destroy 6 years after final determination by agency, 6 years after the time at which a requester could file suit, or 3 years after final adjudication by the courts, whichever is later.

- B. Official file copy of records under appeal.

DISPOSITION: Dispose of in accordance with approved agency disposition instructions for the related record or with the related FOIA request, whichever is latest.

11. FOIA Control Files (GRS 14, Item 13).

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.

- A. Registers or listing.

DISPOSITION: Temporary. Destroy 6 years after date of last entry.

- B. Other files.

DISPOSITION: Temporary. Destroy 6 years after final action by the agency or after final adjudication by courts, whichever is later.

12. FOIA Reports Files (GRS 14, Item 14).

Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, EXCLUDING annual reports to the Congress at the departmental or agency level.

DISPOSITION: Temporary. Destroy when 2 years old.

13. Annual Report of FOIA Activities to Congress.

Report submitted by the Commission to Congress on an annual basis identifying FOIA activities.

DISPOSITION: Temporary; Destroy when 10 years old.

14. FOIA Administrative Files (GRS 14, Item 15).

Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.

DISPOSITION: Temporary; Destroy when 2 years old.

15. Congressional Correspondence, State Files and Constituent Records.

Correspondence to the Commission from members of Congress and replies to Congress or Congressional constituents and supporting documents.

DISPOSITION: Temporary. Cutoff at the end of each Congress (2 years). Destroy when 6 years old.

16. Congressional Correspondence Control Files (GRS 23, Item 8).

Logs, registers, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or a NARA-approved SF 115.

DISPOSITION: Temporary. Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.

17. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created or received on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records

created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- A. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

DISPOSITION: Temporary. Destroy/delete within 180 days after the recordkeeping copy has been produced.

- B. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

DISPOSITION: Temporary. Destroy/delete when dissemination, revision, or updating is completed.