

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>N1-467-06-2</i>	
1. FROM (Agency or establishment) RSPA		DATE RECEIVED <i>5-24-2000</i>	
2. MAJOR SUBDIVISION Associate Administrator for Administration and Management		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION Office of Administration		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4. NAME OF PERSON WITH WHOM TO CONFER <i>Bevelyn R. Whitfield</i> Bevelyn Whitfield	5. TELEPHONE (202) 366-8928	DATE <i>7-6-01</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</i>
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 <u> 2 </u> 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, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>5/11/00</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Gene S. Alb</i>	TITLE Director, Office of Administration	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1.	See attached sheet for description of records		

Copy to: agency, NR, NWMD, NWM 7/11/01 clb

**RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION,
OFFICE OF HAZARDOUS MATERIALS SAFETY
OFFICE OF HAZARDOUS MATERIALS ENFORCEMENT,
CIVIL PENALTIES CASE FILES**

1. Civil Penalties Case Files

This series of civil penalty files contains original documentation monitoring the packaging, offering and transportation of Hazardous Materials (HAZMAT) by the Office of Hazardous Materials Enforcement. This office is also responsible for the planning and implementation of a routine inspection program and documenting the appropriate action(s), if any, that were taken. The accumulation of files currently dates back to 1977. These records are filed by case numbers. Case numbers are assigned annually. Once the records are closed, they are maintained alphabetically by company. All files of the OHME (Headquarters and Regional) are maintained by the Office of Special Investigations, Washington, DC.

- A. Open case files.** Includes investigations of possible violations, warning letters, tickets (citations), notices of probable violation, replies from concerned parties, admission of violations, informal responses, requests for hearings, hearing material (including transcripts), other documentary or tangible evidence, inspection reports, Administrative Law Judges decision, and any Appellate decisions.

Disposition: **Temporary.** Retain as a paper record until file is closed, then scan into RSPA's optical disk system.

- B. Closed case files.** Case files of completed and closed Office of Hazardous Materials Enforcement inspections and investigations, containing documents noted in A, above.

Disposition: **Temporary.** Scan items into RSPA's optical disk system. Verify accuracy of optically scanned information and destroy paper files.

- C. RSPA Optical Disk System Copy of Civil Penalty Case Files.** Optical Disk Copy of OHME Case files. Will include copies of all records listed under item A.

Disposition: **Temporary.** Delete/Erase six years, or later, after Civil Penalty Case File is closed, at the discretion of the Director, Office of Hazardous Materials Enforcement.

2. **General Correspondence.**

Complaints from third parties, requests for information, and other general correspondence records that are not made a part of the Office of Hazardous Materials Enforcement case files. These records are not scanned into RSPA's optical disk system.

Disposition: **Temporary.** Cut-off files at the end of calendar year. Destroy after one year, or later, at the discretion of the Director, Office of Hazardous Materials Enforcement.

3. **Office of Hazardous Materials Enforcement Operations Manual.**

The OHME Operations Manual provides information concerning the Office's program functions. This information includes the Mission and Organization of OHME, Inspection Procedures and Planning, Enforcement Procedures, and other evidence of the operation of the Office. The current volume is approximately ½ cubic foot. Current annual accumulation is less than one cubic foot. The OHME Operations Manual is scanned into RSPAs' Optical Disc System by title.

A. Optical Disk System Copy

Disposition: **Temporary.** Scan items into RSPAs' optical disk system. Verify Accuracy of scanned optically scanned information. Delete/erase after superseded, rescinded, or obsolete, or later, at the discretion of the Director, OHME.

B. Paper copy of OHME Operations Manual

Disposition: **Permanent.** Immediately transfer paper copy of current manual directly to NARA. Thereafter, print out superceded, rescinded, or obsolete Operations Manual titles from Disc system. Place in separate file. Cut off file after two years. Transfer directly to NARA.

4. **Word Processing and Electronic Records.**

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a record keeping 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 record keeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record keeping copy.

Disposition: Temporary. Destroy/delete within 180 days after the record keeping copy has been produced.

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

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

NOTE: Some Civil Penalty Case Files may be worthy of permanent retention if they significantly interpret Office of Hazardous Materials Enforcement regulations, reflect significant developments, or attract extensive public attention. These should be brought to the attention of NARA via a SF-115, Request for Disposition Authority, so that they can be appraised and appropriate disposition authorized.