

## Request for Records Disposition Authority

Records Schedule Number      **DAA-0571-2016-0004**

Schedule Status      **Approved**

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      **Agency-wide**

Schedule Subject      **PHMSA Records Schedule covers records from Office of Pipeline Safety and Office of Hazardous Materials Safety**

Internal agency concurrences will be provided      **No**

Background Information      **Records of the former Research and Special Programs Administration, predecessor agency to Pipeline & Hazardous Material Safety Administration (PHMSA). Schedule includes records from Office of Pipeline Safety and Office of Hazardous Material Safety.**

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>10</b>	<b>5</b>	<b>5</b>	<b>0</b>

GAO Approval

## Outline of Records Schedule Items for DAA-0571-2016-0004

Sequence Number	
1	PIPELINE SAFETY RULEMAKINGS AND PETITIONS FILES Office of Pipeline Safety (OPS) Rulemaking Dockets, also called Public Dockets. (PHP 30) Disposition Authority Number: DAA-0571-2016-0004-0001
2	Office of Pipeline Safety Staff Rulemaking Files. (PHP 30) Disposition Authority Number: DAA-0571-2016-0004-0002
3	Office of Pipeline Safety Interpretations Files. (PHP 30) Disposition Authority Number: DAA-0571-2016-0004-0003
4	Pipeline Safety Advisory Committee and Organizations. (PHP 30) Disposition Authority Number: DAA-0571-2016-0004-0004
5	Accident/Incident Reports Information (PHP 6) Disposition Authority Number: DAA-0571-2016-0004-0005
6	State Waivers, Special Permits and Accident/Incident Reports/Cases that do not warrant permanent retention Disposition Authority Number: DAA-0571-2016-0004-0006
7	Regulated Industry Annual and Other Required Reports Disposition Authority Number: DAA-0571-2016-0004-0007
8	Exemption Files. Disposition Authority Number: DAA-0571-2016-0004-0008
9	Exemptions Confidential Files. Disposition Authority Number: DAA-0571-2016-0004-0009
10	Exemptions Background Working Files Disposition Authority Number: DAA-0571-2016-0004-0010

## Records Schedule Items

Sequence Number																							
1	<p data-bbox="345 380 1528 453"><b>PIPELINE SAFETY RULEMAKINGS AND PETITIONS FILES</b> Office of Pipeline Safety (OPS) Rulemaking Dockets, also called Public Dockets. (PHP 30)</p> <p data-bbox="345 474 1528 506">Disposition Authority Number      DAA-0571-2016-0004-0001</p> <p data-bbox="345 527 1528 831">Arranged by OPS-Docket number. This series contains copies of the published Federal Register' Notices for Proposed Rulemaking, all comments received, exhibits, speeches, verbatim transcripts and the final published regulation. The verbatim transcripts from public hearings, conferences and meetings document the development or status of an OPS regulation. Interfiled with the transcripts are oversized bound reports and exhibits submitted for the official docket. This series became electronic in 2005. Include web site case file lists as finding aids with transfer.</p> <table data-bbox="345 842 1528 1335"> <tr> <td data-bbox="345 842 732 873">Final Disposition</td><td data-bbox="756 842 1528 873">Permanent</td></tr> <tr> <td data-bbox="345 894 732 926">Item Status</td><td data-bbox="756 894 1528 926">Active</td></tr> <tr> <td data-bbox="345 947 732 978">Is this item media neutral?</td><td data-bbox="756 947 1528 978">Yes</td></tr> <tr> <td data-bbox="345 999 732 1136">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td><td data-bbox="756 999 1528 1031">Yes</td></tr> <tr> <td data-bbox="345 1146 732 1241">Do any of the records covered by this item exist as structured electronic data?</td><td data-bbox="756 1146 1528 1178">No</td></tr> <tr> <td data-bbox="345 1251 732 1325">GRS or Superseded Authority Citation</td><td data-bbox="756 1251 1528 1283">N1-467-97-1/6A</td></tr> </table> <p data-bbox="345 1356 1528 1388"><b>Disposition Instruction</b></p> <table data-bbox="345 1409 1528 1587"> <tr> <td data-bbox="345 1409 732 1440">Cutoff Instruction</td><td data-bbox="756 1409 1528 1493">Cut off closed docket files every ten years at end of calendar year.</td></tr> <tr> <td data-bbox="345 1503 732 1577">Transfer to the National Archives for Accessioning</td><td data-bbox="756 1503 1528 1587">Transfer to the National Archives in 10 year blocks 15 year(s) after cutoff</td></tr> </table> <p data-bbox="345 1619 1528 1650"><b>Additional Information</b></p> <table data-bbox="345 1671 1528 1934"> <tr> <td data-bbox="345 1671 732 1703">First year of records accumulation</td><td data-bbox="756 1671 1528 1703">1968</td></tr> <tr> <td data-bbox="345 1724 732 1818">What will be the date span of the initial transfer of records to the National Archives?</td><td data-bbox="756 1724 1528 1766">From 2002 To 2012</td></tr> <tr> <td data-bbox="345 1839 732 1934">How frequently will your agency transfer these records to the National Archives?</td><td data-bbox="756 1839 1528 1881">Every 10 Years</td></tr> </table>	Final Disposition	Permanent	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?	No	GRS or Superseded Authority Citation	N1-467-97-1/6A	Cutoff Instruction	Cut off closed docket files every ten years at end of calendar year.	Transfer to the National Archives for Accessioning	Transfer to the National Archives in 10 year blocks 15 year(s) after cutoff	First year of records accumulation	1968	What will be the date span of the initial transfer of records to the National Archives?	From 2002 To 2012	How frequently will your agency transfer these records to the National Archives?	Every 10 Years
Final Disposition	Permanent																						
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?	No																						
GRS or Superseded Authority Citation	N1-467-97-1/6A																						
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First year of records accumulation	1968																						
What will be the date span of the initial transfer of records to the National Archives?	From 2002 To 2012																						
How frequently will your agency transfer these records to the National Archives?	Every 10 Years																						

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	5 GB	250 MB
Paper	23 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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## Office of Pipeline Safety Staff Rulemaking Files. (PHP 30)

Disposition Authority Number DAA-0571-2016-0004-0002

Arranged by OPS-Docket number. This series contains internal concurrences and copies of final rules as published in the Federal Register. This series also contains OPS' review and analysis of the pending rule and documents OPS' role in the creation, development, modification, and history of a regulation. Included in the files are briefing memos, contact with industry, studies, reports and recommendations and some analyses of comments received from the public. This series contains no public comments. This series became electronic in 2005. Include web site case lists as finding aids with transfer.

Final Disposition Permanent

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? No

GRS or Superseded Authority Citation N1-467-97-1/6B

## Disposition Instruction

Cutoff Instruction Cut off files every ten years at end of calendar year

Transfer to the National Archives for Accessioning Transfer to the National Archives in 10 year blocks 15 years after cut off. (Transfer 2002-2012 in 2028.)

## Additional Information

First year of records accumulation 1968

What will be the date span of the initial transfer of records to the National Archives? From 2002 To 2012

How frequently will your agency transfer these records to the National Archives? Every 10 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1.25 GB	100 MB
Paper	26 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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### Office of Pipeline Safety Interpretations Files. (PHP 30)

Disposition Authority Number DAA-0571-2016-0004-0003

Arranged by CFR section number in chronological order. These files contain incoming letters requesting interpretations of the pipeline safety regulations and background materials. It also contains OPS' responses to these interpretation requests, studies, reports and recommendations, and documents OPS' role in the modification and history of a regulation. Series became electronic in 2005. Include web site case file lists as finding aids with transfer.

Final Disposition Permanent

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? No

GRS or Superseded Authority Citation N1-467-97-1/6C

Disposition Instruction

Cutoff Instruction                      Cut off files every ten years at end of calendar year.

Transfer to the National Archives      Transfer to the National Archives in 10 year blocks 15  
for Accessioning                      year(s) after cutoff

Additional Information

First year of records accumulation      1968

What will be the date span of the      From 2002 To 2012  
initial transfer of records to the  
National Archives?

How frequently will your agency      Every 10 Years  
transfer these records to the  
National Archives?

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1.0 GB	100 MB
Paper	5 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

Pipeline Safety Advisory Committee and Organizations. (PHP 30)

Disposition Authority Number      DAA-0571-2016-0004-0004

Arranged by committee in chronological order. This series contains documentation accumulated by OPS' Advisory Committees that review pipeline safety regulations for technical feasibility, reasonableness, and practicability. The main advisory committees are: the Technical Pipeline Safety Standards Committee, and the Technical Hazardous Liquid Pipeline Safety Standards Committee, and do not fall under the Federal Advisory Committees Act. The records contain minutes, agendas, information on individual members, briefing books, informational papers, reports and recommendations. OPS staff also represent PHMSA at national organizations 'such as the National Association of Regulatory Utility Commissioners and, the National Association of Pipeline Safety Representatives working group and Subcommittee meetings. The records contain minutes, agendas, information on individual members, briefing books, informational papers, reports and recommendations. Series became electronic in 2005. Include web site case file lists as finding aids with transfer.

Final Disposition                      Permanent

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? No

GRS or Superseded Authority Citation N1-467-97-1/7

### Disposition Instruction

Cutoff Instruction Cut off files every five years at end of calendar year.

Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks 15 year(s) after cutoff

### Additional Information

First year of records accumulation 1968

What will be the date span of the initial transfer of records to the National Archives? From 2005 To 2010

How frequently will your agency transfer these records to the National Archives? Every 5 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1.0 GB	50 MB
Paper	1 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

### Accident/Incident Reports Information (PHP 6)

Disposition Authority Number DAA-0571-2016-0004-0005

Information on the release of gas from a pipeline or liquefied natural gas as required to be reported to RSPA or PHMSA as cited in 49 CFR 191 and 195.

Telephonic notices as well as written reports are required from operators for each

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incident on Federal land. 14A. Headquarters 14B. Regional Offices Significant Cases. Significant accidents and incidents that warrant permanent retention because of the following criteria: 1. Cases that result in precedential actions that significantly interpret legislation or regulation. Cases that result in legal opinions that establishes policies, regulations, directives and legislation. 2. Cases that gain state, regional or national attention due to volume of product spilled; economic or environmental impact; number of injuries or loss of life; or amount of property damages or other outstanding criteria as selected by former RSPA or PHMSA staff. Series became electronic in 2005. Include web site case file lists as finding aids with transfer.

Final Disposition Permanent

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? No

GRS or Superseded Authority Citation N1-467-97-1/14A  
N1-467-97-1/14B1  
N1-467-97-1/14B2

#### Disposition Instruction

Cutoff Instruction Cut off closed files every 10 years at end of calendar year

Transfer to the National Archives for Accessioning Transfer to the National Archives in 10 year blocks 15 year(s) after cutoff

#### Additional Information

First year of records accumulation 1968

What will be the date span of the initial transfer of records to the National Archives? From 1978 To 2005

How frequently will your agency transfer these records to the National Archives? Every 10 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1.0 GB	100 MB
Paper	26 Cubic feet	



6	Microform		
	Hardcopy or Analog Special Media		
7	<b>State Waivers, Special Permits and Accident/Incident Reports/Cases that do not warrant permanent retention</b>		
	Disposition Authority Number	DAA-0571-2016-0004-0006	
	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?	No	
	GRS or Superseded Authority Citation	N1-467-97-1/14C N1-467-97-1/8A N1-467-97-1/8B	
	<b>Disposition Instruction</b>		
	Cutoff Instruction	Cut off files when reports are closed or superseded.	
	Transfer to Inactive Storage	Transfer with related finding aids to off site storage three years after cut off.	
	Retention Period	Destroy 15 year(s) after cutoff	
	<b>Additional Information</b>		
	GAO Approval	Not Required	
	<b>Regulated Industry Annual and Other Required Reports</b>		
Disposition Authority Number	DAA-0571-2016-0004-0007		
Annual and other required reports received from regulated companies or entities.			
Final Disposition	Temporary		
Item Status	Active		
Is this item media neutral?	Yes		

8	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?	No
	GRS or Superseded Authority Citation	N1-467-97-1/14D
	Disposition Instruction	
	Cutoff Instruction	Cut off files when reports are closed or superseded.
	Transfer to Inactive Storage	Transfer with related finding aids to off site storage three years after cut off.
	Retention Period	Destroy 15 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Exemption Files.	
	Disposition Authority Number	DAA-0571-2016-0004-0008
	This series of exemption application case files contains original documentation on why the applicant is seeking relief from a regulation as required by 49 CFR Chapter 1 Subpart B 101.1. The exemption and any renewal terminates in two years after the date of issuance unless exemption is terminated under special circumstances. Exemptions are either granted, denied, closed with cause, or withdrawn.	
	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?	No	
GRS or Superseded Authority Citation	N1-467-00-1/1 N1-467-02-1/1	
Disposition Instruction		

9	Cutoff Instruction	Cut off files two years after date of last official action, and scan items (excluding exemptions confidential files) into optical disk system.
	Transfer to Inactive Storage	Transfer files (excluding exemption confidential files) with related finding aid to off site storage two years after cut off.
	Retention Period	Destroy 7 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Exemptions Confidential Files.	
	Disposition Authority Number	DAA-0571-2016-0004-0009
	This series may contain confidential (proprietary supporting documents) information submitted by the petitioner to support their exemption request. This file is maintained as a separate series-not releasable to the public.	
	Final Disposition	Temporary
	Item Status	Active
10	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?	No
	GRS or Superseded Authority Citation	N1-467-97-1/2B
	Disposition Instruction	
	Cutoff Instruction	Cut off closed files two years after last official action.
	Transfer to Inactive Storage	Transfer files with related finding aid (docket log) to off site storage.
	Retention Period	Destroy 7 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Exemptions Background Working Files	
	Disposition Authority Number	DAA-0571-2016-0004-0010

This series includes background working papers (duplicate copies of originals) used by staff to review and evaluate an exemption request including the recommendation for action.

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? No

GRS or Superseded Authority Citation N1-467-97-1/2C

#### Disposition Instruction

Retention Period Destroy when no longer needed

#### 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
10/04/2016	Certify	Faustine Robinson	Records Officer	Pipeline and Hazardous Materials Safety Administration - Pipeline and Hazardous Materials Safety Administration
11/16/2020	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
11/23/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/01/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
12/01/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist