

## Appendix A — Requirements Summary

Exhibit A-1 through A-3 summarize the functional, performance, and document and records management requirements outlined in this section.

**Exhibit A-1. FERC E-Filing Requirements Summary**

	<b>Functional Requirements</b>	<b>Description</b>
2.4.1.1	Paperless Filing Environment	Must support electronic filing of all documents submitted to the Commission as an alternative to paper filing. Certain submissions may be required in electronic format.
2.4.1.2	Workflow	Automated workflow of filed documents is key to meeting FERC's strategic goals
2.4.1.2.a	Receive Electronic Document	Must be able to receive, view, and modify all electronic document formats used
2.4.1.2.b	Validation	FERC must be able to validate documents and authenticate their origin
2.4.1.2.c	Virus Checking	FERC must be able to automatically scan for and clean infected submission
2.4.1.2.d	Acknowledgement of Receipt	FERC must be able to automatically acknowledge receipt of document and either confirm validation of filing or reject submittal with adequate explanation of rejection
2.4.1.2.e	Docketing of Electronic Filings	Must be able to automatically docket electronic filings
2.4.1.2.f	Notify Staff	Must be able to automatically notify the staff assigned to a specific case that related filings have been received
2.4.1.2.g	Access for Staff and Public	Must provide access to filed materials for the Staff and Public in a timely and reliable manner
2.4.1.2.h	Rejecting an E-filing	Must be able to automatically check filings and reject submission that cannot be properly processed
2.4.1.2.i	Accepting Waivers	Must have an evaluation process for reviewing and accepting or denying waivers for late filings and non-standard submissions
2.4.1.3	Digital Signatures	Must provide some form of digital signature on electronic submissions for authentication purposes.
2.4.1.4	Digital Maps and Large-format Graphics	Should be able to receive, process, store, and disseminate maps and other graphical material that are produced in digital form.

	<b>Functional Requirements</b>	<b>Description</b>
2.4.1.5	Secure Transmission and Storage of Proprietary Data	Must ensure that all electronic submission containing sensitive information are transmitted and stored in a secure manner
2.4.1.6	Web-enabled	E-filing solution must be capable of interfacing with the current Internet, Intranet, and other web-enabled systems
2.4.1.7	Administration of E-Filing Process	The administration of the E-filing process shall be controlled by FERC.

**Exhibit A2. FERC E-Filing Performance Requirement**

	<b>Performance Requirements</b>	<b>Description</b>
2.4.2.1	Timely and Accurate Information	Must provide timely and accurate information to the FERC staff and the Public
2.4.2.2	System Availability	Must be readily available to the FERC staff and the Public as needed

**Exhibit A3. FERC E-Filing Document and Records Management Requirements**

	<b>Document and Records Management Requirements</b>	<b>Description</b>
2.4.3.1	Ensure compliance with NARA	Must ensure compliance with NARA and other Federal Regulations for Records Management
2.4.3.2	Public Access to Electronic Documents	Documents must be available to the public in electronic format.
2.4.3.3	Document Retention	An Electronic document must be viewable for the duration of its legal retention schedule
2.4.3.4	File Format Retention	Must retain submitted documents in both the original proprietary file format as well as the converted non-proprietary file format until such time as the native formats can be replaced with standard formats
2.4.3.5	File Format Standards	Must support standard file formats that obviate single vendor software applications

	<b>Document and Records Management Requirements</b>	<b>Description</b>
2.4.3.6	File Format Virus Scanning	All documents submitted electronically must be in an approved file format so as to enable virus scanning by the FERC IT architecture.
2.4.3.7	File Format Paragraph and Page Numbering	Paragraph numbers are not required for files submitted in unalterable format i.e. PDF; paragraph numbers are recommended, but not required, for other file formats.
2.4.3.8	File Naming Conventions	Files name must be limited to a maximum of 25 characters, excluding the extension, and of an approved extension.
2.4.3.9	File Size	Submitted documents are presently limited to five megabytes. FERC will review and increase the limit if feasible.
2.4.3.10	Hyperlinks and other Embedded Code	Hyperlinks embedded within an electronic filing should refer only to information within the same document.
2.4.3.11.	Adherence to Regulations	Must adhere to applicable Government regulations, including those governing access to electronic systems by visually and/or physically impaired persons.
2.4.3.12	Auditing Electronic Documents	FERC shall follow the legal guidelines for auditing electronic documents as defined by the OMB and the Justice department.
2.4.3.13	E-Signature Standards	FECR shall comply with the Electronic Signature in Global and National Commerce Act (S.761)
2.4.3.14	Developing and Monitoring Recordkeeping Systems	FERC shall verify that the Information Technology Architecture will ensure compliance with NARA regulations
2.4.3.15	Electronic Document Designation	Electronic Documents shall be defined as either Temporary or Permanent with the designation implying proper legal ownership
2.4.3.16	Document Scanning	For paper records, all documents shall be scanned such that the image format always reproduces the document As-filed
2.4.3.17	Information Capture and Duplication of Effort	Information should be captured and saved from e-files such that there is a minimized opportunity to require duplication of effort and potentially conflicting information.
2.4.3.18	Time and Date Stamping	All electronically filed documents will be stamped electronically with a data and time stamp. The placement of this stamp shall not alter the size or layout of the original paper copy.
2.4.3.19	Web Browser	A standard web browser will be required at the filer's facility.

	<b>Document and Records Management Requirements</b>	<b>Description</b>
	Capabilities and Impositions	
2.4.3.20	Search Capabilities	Electronic filing shall conform to an industry standard so as to enable full text search and indexing as required.
2.4.3.21	Digital Pictures	Digital Pictures, such as those submitted for Dam Safety Inspection Reports, must conform to acceptable imaging standards.
2.4.3.22	Document Utility	Documents shall provide both staff and the public with information in formats with more utility than either paper or scanned images.
2.4.3.23	Accessibility	The Commission shall ensure, unless an undue burden would be placed on the agency, that the electronic and information technology allows accessibility
2.4.3.24	Privacy	Must ensure protection of privacy rights

## Appendix B — Glossary

<b>Acronym</b>	<b>Meaning</b>
ACAS	Automated Commission Agenda System (functionality now part of FAMIS)
CFR	Code of Federal Regulations
CIPS	Commission Issuance Posting System
CIPS Manager	Commission Issuance Posting System Manager
CIS	Commission Issuance System (functionality now part of FAMIS)
CPI	Comments, Protests, Interventions
CTS	Case Tracker Systems
DSI	Dam Safety Inspection
EA	Environmental Assessment
ECMA	European Computer Manufacturers Association
ECTS	Environmental Conditions Tracking System
EDGAR	Electronic Data Gathering, Analysis, and Retrieval (Securities and Exchange Commission system)
EFI	Electronic Filing Initiative
EIS	Environmental Impact Statement
FAMIS	FERC Automated Management Information System
FAO	Finance, Accounting & Operations
FAO/PPD	Finance, Accounting & Operations/Planning & Policy Development
FASTR	FERC Automated System for Tariff Retrieval
FDI	Formal Documents Issued (list)
GAO	General Accounting Office
GASIS	Gas Information System
GIMISUG	Geographic Information, Mapping and Imagery Services Users Group

<b>Acronym</b>	<b>Meaning</b>
GPEA	Government Paperwork Elimination Act
GPRA	Government Performance and Results Act (of 1993)
HLCTS	Hydropower Licensing Case Tracking System (now OEP-IT)
IDC	Internet Database Connector
ITMRA	Information Technology Management Reform Act (of 1996. Also know as the Clinger-Cohen Act.)
KICTS	Key Indicator Case Tracking System (functionality now part of FAMIS)
NARA	National Archives and Records Administration
NEPA	National Environmental Policy Act
OAL	Office of Administrative Litigation
OALJ	Office of Administrative Law Judges
OCIO	Office of the Chief Information Officer
OEA	Office of External Affairs
OEP	Office of Energy Projects (acronym also used for Office of Economic Policy in previous organization chart)
OEP-IT	Office of Energy Projects Information Tracking System (prev. HLCTS)
OEPR	Office of Electric Power Regulation (now part of the Office of Markets, Tariffs, and Rates)
OFAO	Office of Finance, Accounting and Operations
OGC	Office of General Counsel
OHL	Office of Hydropower Licensing (now part of the Office of Energy Projects)
OHL/DLC	Office of Hydropower Licensing/Division of Licensing & Compliance (now part of the Office of Energy Projects)
OMTR	Office of Markets, Tariffs and Rates
OPR	Office of Pipeline Regulation (rate functions now part of the Office of Markets, Tariffs, and Rates; certificate function now part of the Office of Energy Projects)
OSEC	Office of the Secretary

<b>Acronym</b>	<b>Meaning</b>
RATIS	Rate and Tariff Information System (Electric Tariffs)
RIMS	Records and Information Management System
RTO	Regional Transmission Organizations
SOAP	Simple Object Access Protocol

## Appendix C — Retention Schedule

National Archives and Records Administration  
General Records Schedules

NOTE: The GRS 20 Page has information about the Electronic Records Work Group, and the Records Management Page has additional information about Federal electronic records management initiatives.

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General Records Schedule 20

### Electronic Records

This schedule provides disposal authorization for certain electronic records and specified hard-copy (paper) or microform records that are integrally related to the electronic records. This schedule applies to disposable electronic records created or received by Federal agencies including those managed for agencies by contractors. It covers records created by computer operators, programmers, analysts, systems administrators, and all personnel with access to a computer. Disposition authority is provided for certain master files, including some tables that are components of data base management systems, and certain files created from master files for specific purposes. In addition, this schedule covers certain disposable electronic records produced by end users in office automation applications. These disposition authorities apply to the categories of electronic records described in GRS 20, regardless of the type of computer used to create or store these records. GRS 20 does not cover all electronic records. Electronic records not covered by GRS 20 may not be destroyed unless authorized by a Standard Form 115 that has been approved by the National Archives and Records Administration (NARA). The records covered by several items in this schedule are authorized for erasure or deletion when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. NARA cannot establish a more specific retention that would be appropriate in all applications. Each agency should, when appropriate, determine a more specific disposition instruction, such as "Delete after X update cycles" or "Delete when X years old," for inclusion in its records disposition directives or manual. NARA approval is not needed to set retention periods for records in the GRS that are authorized for destruction when no longer needed. Items 2a and 1a (in part) of this schedule apply to hard-copy or microform records used in conjunction with electronic files. Item 1 also covers printouts produced to test, use, and maintain master files. Items 10 and 11 of this schedule should be applied to special purpose programs and documentation for disposable electronic records whatever the medium in which such documentation and programs exist. This schedule has been revised to include electronically-generated records previously covered in General Records Schedule 23, Records Common to Most Offices. The original numbering of the items in GRS 20 have been preserved. The items moved from GRS 23

have been added at the end, except the item covering administrative data bases that have been incorporated into item 3.

Electronic versions of records authorized for disposal elsewhere in the GRS may be deleted under the provisions of item 3 of GRS 20. See also 36 CFR Part 1234 for NARA regulations on electronic records management.

1. Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records.
  - a. Electronic files or records created solely to test system performance, as well as hard-copy printouts and related documentation for the electronic files/records. Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.
  - b. Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records. Delete after information has been transferred to the master file and verified.
  - c. Electronic files and hard-copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use.
 

Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.
  
2. Input/Source Records.
  - a. Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in a NARA-approved agency records schedule.
 

Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.
  - b. Electronic records, except as noted in item 2c, entered into the system during an update process, and not required for audit and legal purposes.
 

Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or database, whichever is later.
  - c. Electronic records received from another agency and used as input/ source records by the receiving agency, EXCLUDING

records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency.

Delete when data have been entered into the master file or database and verified, or when no longer needed to support reconstruction of, or serve as back up to, the master file or database, whichever is later.

- d. Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database.

Delete after the necessary data have been incorporated into a master file.

- 3. Electronic Versions of Records Scheduled for Disposal. a. Electronic versions of records that are scheduled for disposal under one or more items in GRS 1-16, 18, 22, or 23; EXCLUDING those that replace or duplicate the following GRS items: GRS 1, items 21, 22, 25f; GRS 12, item 3; and GRS 18, item 5. Delete after the expiration of the retention period authorized by the GRS or when no longer needed, whichever is later.

- b. Electronic records that support administrative housekeeping functions when the records are derived from or replace hard copy records authorized by NARA for destruction in an agency-specific records schedule.

- (1) When hard copy records are retained to meet recordkeeping requirements.

Delete electronic version when the agency determines that it is no longer needed for administrative, legal, audit, or other operational purposes.

- (2) When the electronic record replaces hard copy records that support administrative housekeeping functions.

Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later.

- (3) Hard copy printouts created for short-term administrative purposes.

Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

- 4. Data Files Consisting of Summarized Information.

Records that contain summarized or aggregated information created by combining data elements or individual observations from a

single master file or data base that is disposable under a GRS item or is authorized for deletion by a disposition job approved by NARA after January 1, 1988, EXCLUDING data files that are created as disclosure-free files to allow public access to the data which may not be destroyed before securing NARA approval.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

[NOTE: Data files consisting of summarized information which were created from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed, may not be destroyed before securing NARA approval.]

5. Records Consisting of Extracted Information.

Electronic files consisting solely of records extracted from a single master file or data base that is disposable under GRS 20 or approved for deletion by a NARA-approved disposition schedule, EXCLUDING extracts that are:

- a) produced as disclosure-free files to allow public access to the data; or
- b) produced by an extraction process which changes the informational content of the source master file or data base; which may not be destroyed before securing NARA approval. For print and technical reformat files see items 6 and 7 of this schedule respectively.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

[NOTES: (1) Records consisting of extracted information that was created from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed may not be destroyed before securing NARA approval. (2) See item 12 of this schedule for other extracted data.]

6. Print File.

Electronic file extracted from a master file or data base without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

7. Technical Reformat File.

Electronic file consisting of data copied from a complete or partial master file or data base made for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

8. Backups of Files.

Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.

- a. File identical to records scheduled for transfer to the National Archives.

Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied.

- b. File identical to records authorized for disposal in a NARA-approved records schedule.

Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

9. Finding Aids (or Indexes).

Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.

Delete with related records or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.

10. Special Purpose Programs.

Application software necessary solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule, EXCLUDING special purpose software necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.

Delete when related master file or database has been deleted.

11. Documentation.

- a. Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base that has been authorized for destruction by the GRS or a NARA-approved disposition schedule.

Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base,

or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

- b. Copies of records relating to system security, including records documenting periodic audits or review and recertification of sensitive applications, disaster and continuity plans, and risk analysis, as described in OMB Circular No. A-130.

Destroy or delete when superseded or obsolete.

[NOTES: (1) Documentation that relates to permanent or unscheduled master files and data bases is not authorized for destruction by the GRS. (2) See item 1a of this schedule for documentation relating to system testing.]

12. Downloaded and Copied Data.

Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within the agency, when the original data is retained.

- a. Derived data used for ad hoc or one-time inspection, analysis or review, if the derived data is not needed to support the results of the inspection, analysis or review.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

- b. Derived data that provide user access in lieu of hard copy reports that are authorized for disposal.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

- c. Metadata or reference data, such as format, range, or domain specifications, which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations.

Delete from the receiving system or device when no longer needed for processing.

[NOTE: See item 5 of this schedule for other extracted data.]

13. Word Processing Files.

Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

Delete from the word processing system when no longer needed for updating or revision.

14. Electronic Mail Records.

Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

Delete from the e-mail system after copying to a recordkeeping system.

[NOTE: Along with the message text, the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required.]

15. Electronic Spreadsheets.

Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or feeder reports.

- a. When used to produce hard copy that is maintained in organized files.

Delete when no longer needed to update or produce hard copy.

- b. When maintained only in electronic form.

Delete after the expiration of the retention period authorized for the hard copy by the GRS or a NARA-approved SF 115. If the electronic version replaces hard copy records with differing retention periods and agency software does not readily permit selective deletion, delete after the longest retention period has expired.

National Archives and Records Administration

URL: <http://ardor.nara.gov/grs/>

[ardor@nara.gov](mailto:ardor@nara.gov)

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## Appendix D — FERC Standards Profile Summary

The following table highlights the proposed standards to be used within the FERC E-Filing Technical Architecture: Technical Reference Model and Standards Profile. These will be mapped to the services and standards discussed in the TRM.

<b>FERC E-Filing Standards Profile</b>	
<b>SYSTEM SERVICES</b>	
Operating System Services	
Workstations	
Microsoft Windows NT 4.0, Microsoft Internet Explorer 4.x, Navigator 4.x	
Microsoft Windows 95/97 ( <i>retiring</i> )	
Web Servers	
Microsoft Information Server (IIS)	
Servers	
Microsoft NT Server 4.0	
UNIX	
Directory and Naming Services	
LDAP (IEFT RFC 1777)	
ITU X.500	
DNS (IEFT RFC 1034,1035)	
System and Network Management Services	
SMSv2	
SNMPv2	
MIB-II (IEFT RFC 1213, 1155, 1157, 1757)	
Application Software Development Support Services	
FIPS PUB 183 (IDEF0), FIPS PUB 184 (IDEF1X), UML (OMG 1.1:1997)	
<b>COMMUNICATION SERVICES</b>	
LAN	
IEEE 802.1.2:1985 Ethernet, IEEE 802.3u (100BaseT)	
Gigabit Ethernet	
WAN	
ISDN	
FIPS PUB 182	
Frame Relay	
ANSI T1.606, ANSI T1.618	
ATM	
ANSI T.1.5	
SONET	

<b>FERC E-Filing Standards Profile</b>	
	ANSI T1.105, ANSI T1.403 (DS1), ANSI T1.404 (DS2)
<b>FDDI</b>	
	ISO 9314
<b>Modem</b>	
	ITU-T V Series
<b>SMDS</b>	
	TR-772-776
<b>Cable Plant</b>	
	Fiber optic cable, UTP Category 5
<b>Connectivity</b>	
	TCP (IEFT RFC 793), IP (IETF RFC 791, 919, 922, 959, 1112), UDP (IETF RFC 768)
	DHCP (IETF RFC 2131), ICMP (IETF RFC 792)
<b>Facsimile</b>	
	CCITT Group 4 (ITU T.6), CCITT Group 3 (ITU T.4), FIPS PUB 150
<b>Multimedia and Collaborative Communication Services</b>	
	ITU T.120
	FIPS PUB 178
	ITU H.320 (ISDN), ITU H.323 (LAN), ITU H.310 (ATM)
<b>Distributed Computing Services</b>	
	DCOM (Microsoft)
<b>INFORMATION SERVICES</b>	
<b>Infrastructure Application Services</b>	
<b>Electronic Mail</b>	
	GroupWise version
	SMTP (IETF RFC 821)
	SMTP to ITU X.400 gateway (IEFT RFC 1327/1495)
	MIME (IETF RFC 1521, 1522), SMTP Extensions (IEFT RFC 1870, 1869)
	S/MIME (IETF RFC 2311)
	IMAP v4 (IETF RFC 1730, 1734, 2060)
<b>Office Automation</b>	
	Microsoft Office
<b>Data Management Services</b>	
	SQL Environments (FIPS PUB 193)
	SQL: FIPS PUB 127-2, ANSI X3.135, ISO 9075:1992
	ISO 11179 ( <i>emerging</i> )
	ActiveX, OLE, ODBC
<b>File Transfer</b>	
	FTP (IETF RFC 959)
<b>Image Compression</b>	

<b>FERC E-Filing Standards Profile</b>	
	JPEG (ISO/IEC 10918)
	Video Compression
	MPEG, MPEG2 (ISO/IEC 13818, 11172)
	Document Formats
	SGML (ISO 8879:186), PDF (Adobe), HTML (IETF RFC 1866),
	TIFF, RTF, XML (W3C REC-XML-19980210) ( <i>emerging</i> ), CGM (ISO/IEC 8632), GIF
	Data Interchange Services
	X.435, FIPS PUB 161-2, X.12
	HTTP (IETF RFC 2068), CGI (ISO/IEC 9636)
	Transaction Processing Services
	(none identified at this time)
<b>HUMAN/COMPUTER INTERACTION SERVICES</b>	
	User Command Interface Services
	Use native operating system capabilities
	Character-based User Interface Services
	Telnet (IETF RFC 854, 855, 856) , TN3270 (IETF RFC 1576)
	Windowing Services
	Microsoft Windows product family
	Graphics Services
	OpenGL
	PHIGS (FIPS PUB 153-1)
	CGM (FIPS PUB 128-2)
<b>INFORMATION SECURITY SERVICES</b>	
	Identification Services
	FIPS PUB 83
	ASTM E1714
	LDAP (IETF RFC 1777)
	ITU X.500
	IPSEC ( <i>emerging</i> )
	Authorization Services
	LDAP (IETF RFC 1777)
	ITU X.500
	IPSEC ( <i>emerging</i> )
	Access Control Services
	LDAP (IETF RFC 1777)
	ITU X.500
	IPSEC ( <i>emerging</i> )
	Authentication Services
	FIPS PUB 196

<b>FERC E-Filing Standards Profile</b>
RSA Public Key Cryptography
S-HTTP
LDAP (IETF RFC 1777)
ITU X.500
Simple Public Key Mechanism (IETF RFC 2025)
S/MIME
Secure Sockets Layer Protocol
IPSEC ( <i>emerging</i> )
<b>Accountability Services</b>
HIPAA Regulation ( <i>emerging</i> )
ASTM 1769, ASTM 1869
<b>Data Integrity Services</b>
Simple Public Key Mechanism (IETF RFC 2025)
S/MIME
IPSEC ( <i>emerging</i> )
<b>Non-Repudiation Services</b>
FIPS PUB 113, Computer Data Authentication Algorithm
FIPS PUB 180-1, Secure Hash Standards Algorithm
FIPS PUB 186, Digital Signature Standard
FIPS PUB 190, Guideline for the Use of Advanced Authentication Technology Alternatives
IETF RFC 2408, Internet Security Association and Key Management Protocol
ITU X.509, Public Key Infrastructure and Certificate Authority
Secure Sockets Layer Protocol
<b>Confidentiality Services</b>
FIPS PUB 46-2, Data Encryption Standard
FIPS PUB 74, Guidelines for Implementing and using the NBS Encryption Standard
FIPS PUB 140-1, Security Requirements for Cryptographic Modules
FIPS PUB 141, Interoperability and Security Requirements for Use of the Data Encryption Standard with CCITT Group 3 Facsimile Equipment
ISAKMP X.509v3, Internet Security Association and Key Management Protocol
FIPS PUB 185, Escrowed Encryption Standard
FIPS PUB 171, Key Management Using ANSI X9.17
Simple Public Key Mechanism (IETF RFC 2025)
S-HTTP
Secure Sockets Layer Protocol
S/MIME
IPSEC ( <i>emerging</i> )

FEDERAL ENERGY REGULATORY COMMISSION  
COMPREHENSIVE RECORDS DISPOSITION SCHEDULES

Federal Energy Regulatory Commission  
Office of the Chief Information Officer

June, 2000

## FEDERAL ENERGY REGULATORY COMMISSION

## RECORDS DISPOSITION SCHEDULE

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## **FERC RECORDS SCHEDULE I - GENERAL RECORDS**

General Records Schedules (GRS) are issued by the Archivist of the United States to provide disposal authorization for temporary administrative records common to several or all agencies of the Federal Government. They include records relating to civilian personnel, fiscal accounting, procurement, communications, printing, and other common functions, and certain nontextual records. These records comprise an estimated one-third of the total volume of records created by Federal agencies.

In 1978, use of the GRS was made legally mandatory. The disposal authorizations must be used by a Federal agency to the greatest extent possible. Because these schedules are designed to cover records common to several agencies, many of the records descriptions are general. Agency records officers may either use the schedules as an appendix to an agency printed schedule or tailor the general schedules to the agency's own particular needs and incorporate them into agency schedules.

The GRS covers only records that are common among several agencies. For complete coverage of the disposition of all its records, each agency must independently develop schedules for the remaining records. Agencies should exercise particular care in applying items in GRS 1-16 and 18 to subject or correspondence files that may include a mix of administrative and program records. Usually, administrative subject files have short retention periods, less than 3 years. Program subject files may be needed by the agency for 10 years or more, and may have archival value as well. Except when the volume of administrative records is negligible, agencies should maintain administrative records separately from program records in their agency recordkeeping systems. If administrative records are mixed with program records in the recordkeeping system and cannot be economically segregated, the entire file must be kept for the period of time approved for the program records. Similarly, if documents described in the GRS are part of a subject or case file that documents activities different from those covered by the schedules, they should be treated in the same manner as the files of which they are a part.

GRS items cover only record copies. In some instances, more than one copy of a document or file would be considered a record if different offices use it to perform different functions. When it is difficult to decide whether files are record or nonrecord materials, the Records Management Officer should treat them as records. The Records Management Officer may consult with the NARA Life Cycle Management Division to determine the record or nonrecord status of particular files.

The disposition instructions in the GRS are to be implemented without further approval from NARA, with the exception that most records created before January 1, 1921, must first be offered to NARA for appraisal. If NARA rejects these records they may be destroyed immediately. GRS 3, 11, 16, and 21 have other delimiting dates. Agencies that convert records covered by the GRS to microform should apply the GRS disposition standards to the microform copies and destroy the paper copies after verification of the film unless legal considerations require longer retention of the paper (36 CFR 1230.10(b)). No further authorization from NARA is required to implement these provisions. If an agency wishes to apply a different retention period for any series of records included in the GRS, the Records Management Officer must be

## **FERC RECORDS SCHEDULE I - GENERAL RECORDS**

notified, and a Standard Form (SF) 115 must be provided to NARA providing justification for the deviation.

Some records series covered by the GRS are eligible for retirement to the Washington National Records Center or to records center storage in a NARA regional records services facility. Records should be retired from agency space to such storage only if transfer costs do not exceed the expense of retaining them in agency space. Records sent to records center storage in a NARA facility should have a remaining retention of at least 1 year. If special circumstances, such as lack of filing equipment or space, make it imperative that records be retired, exceptions can be made to this policy. These decisions are made on an individual basis by the appropriate NARA facility director. Procedures for transfer of records to records center storage in a NARA facility are found in NARA regulations (36 CFR 1228.152). Assistance for transferring records may also be obtained from the Commission's Records Maintenance Center.

The General Records Schedules are available at <http://ardor.nara.gov/grs/index.html>.

Schedule 1	Civilian Personnel Records
Schedule 2	Payrolling and Pay Administration Records
Schedule 3	Procurement, Supply, and Grant Records
Schedule 4	Property Disposal Records
Schedule 5	Budget Preparation, Presentation, and Apportionment Records
Schedule 6	Accountable Officers' Accounts Records
Schedule 7	Expenditure Accounting Records
Schedule 8	Stores, Plant, and Cost Accounting Records
Schedule 9	Travel and Transportation Records
Schedule 10	Motor Vehicle Maintenance and Operations Records
Schedule 11	Space and Maintenance Records
Schedule 12	Communications Records
Schedule 13	Printing, Binding, Duplication, and Distribution Records
Schedule 14	Information Services Records
Schedule 15	Housing Records
Schedule 16	Administrative Management Records
Schedule 17	Cartographic, Aerial Photographic, Architectural, and Engineering Records
Schedule 18	Security and Protective Services Records
Schedule 19	RESERVED
Schedule 20	Electronic Records
Schedule 21	Audiovisual Records
Schedule 22	WITHDRAWN
Schedule 23	Records Common to Most Offices Within Agencies

**FERC RECORDS SCHEDULE II - RECORDS OF THE COMMISSION**

**PART I - RECORDS OF THE CHAIRMAN AND COMMISSIONERS**

1. **CHRONOLOGICAL FILES** (N1-138-88-2)

Chronological files of correspondence originated in the Commissioner's and Chairman's office.

PERMANENT; Close file when term of office ends. Offer to NARA in 5 year blocks when 10 years old.

2. **SPEECH FILES** (N1-138-88-2)

Speech Files of the Commissioners.

PERMANENT; Close file when term of office ends. Offer to NARA in 5 year blocks when 10 years old.

3. **GENERAL FILES** (N1-138-88-2)

General Files on miscellaneous topics relating to the individual Commissioner or Chairman.

TEMPORARY; Destroy upon expiration of term of office.

4. **PERSONAL FILES** (N1-138-88-2)

Commissioner's or Chairman's Personal Files.

TEMPORARY; To be retained by Commissioner upon expiration of his/her term; otherwise, destroy immediately.

**FERC RECORDS SCHEDULE II - RECORDS OF THE COMMISSION**

**PART II - RECORDS OF THE OFFICE OF THE SECRETARY**

1. **COMMISSION, COMMITTEE AND CONFERENCE RECORDS** (N1-138-88-2)

A. Records relating to establishment, organization, membership and policy.

- 1.) Interagency, advisory or international committees.
- 2.) Internal committees.

PERMANENT; Offer to NARA in 5 year blocks when 10 years old.

B. Minutes of Commission Meetings. Record copy includes Secretary's minutes of Commission meetings together with a copy of all documents approved at such meetings. Includes Sunshine Act Records.

PERMANENT; Offer to NARA in 5 year blocks when 10 years old.

C. Secretary's Meeting Folders. Record copy includes Secretary's agenda of Commission meetings and drafts of documents discussed and considered.

TEMPORARY; Destroy when 5 years old.

D. Secretary's Administrative Agenda File. Record copy includes copies of administrative documents considered, discussed and approved by the Commission at regular or special meetings.

PERMANENT; Offer to NARA in 5 year blocks when 10 years old.

E. List of Formal Documents Issued. Record copy includes daily summary of orders, opinions, decisions and notices issued by the Commission.

PERMANENT; Offer to NARA in 5 year blocks when 10 years old.

2. **DOCKET SHEETS** (N1-138-88-2)

Brief historical outline of a proceeding, with dates and entries of actions constituting a complete chronological record of a docketed case.

Record Copy.

**PART II - RECORDS OF THE OFFICE OF THE SECRETARY - CONTINUED**

**FERC RECORDS SCHEDULE II - RECORDS OF THE COMMISSION**

PERMANENT; When Docket Sheets and Index Files are beyond agency functional use, FERC and NARA will decide how to block and transfer the two series.

3. **DOCKET SHEETS INDEX FILE (N1-138-88-2)**

A card file arranged alphabetically by applicants' names giving Docket number(s) assigned to proceedings initiated by companies/individuals.

Record copy.

PERMANENT; When Docket Sheets and Index Files are beyond agency functional use, FERC and NARA will decide how to block and transfer the two series.

4. **COMMISSION SERVICE LISTS/ISSUANCE SYSTEM (N1-138-99-8)**

A database containing participants to proceedings who, pursuant to the Commission's regulations, must be served with any document that is filed or issued in the docket.

1. FERC filing used to add information to the database.

DISPOSITION: After verification, file document with case file. Destroy in accordance with applicable instructions for that docket.

2. Electronic version of record created on or received by electronic mail or word processing applications used solely to generate a recordkeeping copy. 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.

**PART II - RECORDS OF THE OFFICE OF THE SECRETARY - CONTINUED**

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

**FERC RECORDS SCHEDULE II - RECORDS OF THE COMMISSION**

3. System Outputs.

TEMPORARY; Delete or destroy when 1 year old or when no longer needed for reference, whichever is sooner.

4. Master Database.

TEMPORARY; Update as necessary. Close when appropriate case file is closed. Delete data in accordance with applicable instructions for each docket.

5. System Documentation.

Data specifications, file specifications, codebooks, record layouts, user guides, operator's procedures, regardless of medium.

TEMPORARY; Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or database.

5. **VIDEO TAPES OF COMMISSION MEETINGS** (N1-138-91-4)

Official taped record of Commission Public Meetings.

PERMANENT; Cut off annually. Transfer to the National Archives and Records Administration when 2 years old.

**FERC RECORDS SCHEDULE II - RECORDS OF THE COMMISSION**

**PART III - OFFICE OF GENERAL COUNSEL**

1. **LEGISLATIVE HISTORY FILES** (N1-138-88-2)

A set of historical files containing records of legislation leading to passage of the Federal Power and Natural Gas Acts.

A. Construction Files.

PERMANENT; Offer to NARA in 5 year blocks when 10 years old.

B. Technical Reference Back-up Files.

TEMPORARY; Purge file annually; remove and destroy material no longer relevant.

2. **ENFORCEMENT INVESTIGATION FILES** (N1-138-88-2)

Informal investigations conducted by the Enforcement Division.

A. Record Copy.

TEMPORARY; Destroy when 5 years old.

B. Other Copies.

None authorized.

3. **FORMAL INVESTIGATIONS** (IN Dockets) (N1-138-83-1)

See FERC Schedule III, Part V, Subpart A, Item 2.

4. **SOLICITOR LITIGATION FILES** (N1-138-90-1)

Contains material related to specific cases litigated in the Courts. The documents include discovery material, pleadings, and court records.

TEMPORARY; Cut off when 1 year old. Retire to FERC's Records Maintenance Center. Transfer to the Federal Records Center 4 years after cut off. Destroy when 8 years old.

5. **REPORTS OF EMERGENCY CIRCUMSTANCES OF TRANSMISSION PROVIDERS** (EY Dockets) (N1-138-98-15)

**FERC RECORDS SCHEDULE II - RECORDS OF THE COMMISSION**  
**PART III - OFFICE OF GENERAL COUNSEL - CONTINUED**

Submitted by transmission providers engaged in transmission system operations functioning independently of those involved in wholesale merchant functions when deviation from the standards of conduct results from invoking the emergency exception identified in Section 37.4(a)(2) of FERC Order No. 889. Case files include emergency reports, update reports and other related material.

- A. Electronic version of record received by electronic mail or word processing applications.

TEMPORARY; Destroy when file copy is generated.

- B. Record Copy.

TEMPORARY; Destroy when 4 years old.

- C. Other Copies. (Non-record)

TEMPORARY; Destroy when no longer needed for current business.

**FERC RECORDS SCHEDULE II - RECORDS OF THE COMMISSION**

**PART IV - OFFICE OF EXTERNAL AFFAIRS**

See GRS 14.

### **FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

Docketed formal case files are established upon receipt and acceptance by the Commission of written applications, complaints, declarations, petitions, projects, answers, motions, briefs, exceptions, rate schedules, notices, reports, or other pleadings, amendments to pleadings, documents or papers, as required or allowed by the Code of Federal Regulations (C.F.R.), by any rule, regulation or order of the Commission, or by any applicable statute. A case file, sometimes referred to as a docket file, project file, or transaction file, is updated whenever additional material pertaining to an established case is received.

It is to be noted that, because of the legal ramifications involved in most docketed cases, the retention period allowed for material is usually in excess of most normal requirements. For this reason, retention periods authorized for much of this material, particularly for nonrecord copies, is generally beyond the NARA-recommended maximum retention period of five years for temporary records.

It is also to be noted that records establishing legal precedents or otherwise carrying special historical value are to be identified jointly by FERC staff offices and the FERC Records Management Officer. These records once identified will be subject to review and final approval by NARA.

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

**PART I - ELECTRIC UTILITIES**

**Subpart A - Applications and Adjustments**

1. **POWER SITE LAND APPLICATIONS** (N1-138-88-2) (DA Dockets)

Case files include applications with supporting material together with approval/denial action.

A. Applications.

PERMANENT; Offer to NARA in 5 year blocks when 10 years old.

B. Other Supporting Material (not docketed). Requests for Rights of Way (EPR's), Geothermal Leases (EPR-GSL's) Mineral Leases (EPR-MGL's) and Mining Claims (MAR's) on Federal lands).

PERMANENT; Offer to NARA in 5 year blocks when 10 years old.

C. Other Copies. (Non-record)

TEMPORARY; Destroy when no longer needed.

2. **INTERLOCKING DIRECTORATES** (N1-138-88-2) (ID Dockets)

Case files include applications from company officials for permission to hold office in more than one public utility, investment firm, or electrical equipment or supply company, with copies of Commission orders and related papers.

A. Record Copy.

TEMPORARY; Destroy when 25 years old.

B. Other Copies.

TEMPORARY; Destroy 10 years after cancellation or supersession or sooner if no longer needed.

3. **ELECTRIC SECURITIES** (N1-138-88-2) (ES Dockets)

Case files include applications by public utilities for approval of securities, assumption of liabilities, purchase of securities, and mergers.

**PART I - ELECTRIC UTILITIES - CONTINUED**

## **FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

A. Record Copy.

TEMPORARY; Destroy when 5 years old.

B. Other Copies. (Non-record)

TEMPORARY; Destroy when no longer needed.

### 4. **ELECTRIC CORPORATE APPLICATIONS** (N1-138-88-2) (EC Dockets)

Case files include applications seeking authority for merger, consolidation, sale, lease or disposition of electric facilities subject to the Commission's jurisdiction; applications seeking authority for the purchase, acquisition or taking by a public utility of any security of any other public utility; applications for a determination that a person or entity is not a "public utility" within the meaning of Section 201 of the Federal Power Act; applications by a public utility for a determination that a rate schedule or rate schedules do not involve a "sale of electric energy at wholesale" and therefore not subject to FERC jurisdiction; official notices, orders, petitions, motions, opinions, and any additional correspondence to and from applicant.

A. Record Copy.

TEMPORARY; Close files after all actions have been taken. Destroy when 25 years old.

B. Other Copies.

Destroy 10 years after date docket is terminated or sooner if no longer needed.

### 5. **QUALIFYING FACILITIES** (N1-138-88-2) (QF Dockets)

Case files include notices of self qualification, applications for qualifying status, hearing transcripts, Commission Orders, and appeals to Commission Orders.

A. Record Copy.

TEMPORARY; Close file after all actions have been taken. Destroy when 20 years old.

B. Other Copies.

TEMPORARY; Destroy 2 years after Commission Order becomes final.

## **PART I - ELECTRIC UTILITIES - CONTINUED**

### **Subpart B - Rate Filings and Investigations, Collections**

## **FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

### 1. **ELECTRIC RATE FILINGS** (N1-138-88-2) (ER Dockets)

Case files include rate filing applications, official notice, orders, petitions, motions, hearings (official), records and exhibits, transcripts, ALJ documents, opinions and correspondence.

#### A. Record Copy.

TEMPORARY; Close file after all actions have been taken. Destroy when 25 years old.

#### B. Other Copies.

TEMPORARY; Destroy 10 years after Order becomes final or sooner if no longer needed.

### 2. **TARIFFS, WHOLESALE CONTRACTS AND RATE SCHEDULES** (N1-138-88-2)

Documents filed with the Commission by electric utility companies giving tariffs and rate for sales of electricity in interstate commerce.

#### A. Record Copy.

TEMPORARY; Close file after all actions have been taken. Destroy when 20 years old.

#### B. Other Copies.

TEMPORARY; Destroy 1 year after cancellation, supersession or rejection.

### 3. **ELECTRIC FEDERAL RATES** (N1-138-88-2) (EF Dockets)

Case files include the documents filed with a request for final confirmation and approval of Federal rate schedules by the Commission. Included among these documents is the letter of request, rate schedules and general provisions, power or transmission system repayment study and supporting statements, rate design study, and such other documents as the Assistant Secretary of Resource Applications, DOE, may deem appropriate; notice of filing, comments, and petitions to intervene, staff conference records, hearing records, all correspondence and the FERC Order resolving the matter and all subsequent requests for rehearing and FERC Orders pertaining thereto.

## **PART I - ELECTRIC UTILITIES - CONTINUED**

#### A. Record Copy.

TEMPORARY; Destroy when 50 years old.

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

- B. Other Copies.

TEMPORARY; Destroy when no longer needed.

- 4. TRANSMISSION SERVICE UNDER SECTION 211 OF THE FEDERAL POWER ACT FILINGS (TX Dockets)(N1-138-98-6)

Filings made by entities seeking a Commission Order requiring transmission service pursuant to the Energy Policy Act of 1992. Case files include complaints; statements of position; motions to intervene; answers, comments, protest and responses; requests for summary disposition; requests for rehearing, briefs (initial, reply, pretrial, post hearing, on exceptions, opposing exceptions); requests for exemption and/or waiver of regulations and other related material.

- A. Record Copy.

TEMPORARY; Destroy when 25 years old.

- B. Other Copies.

TEMPORARY; Destroy when no longer needed for current business.

- C. Electronic version of record received by electronic mail or word processing applications.

None exist.

- 5. STRANDED COSTS FILINGS (SC Dockets)(N1-138-98-6)

Filings made by jurisdictional entities in compliance with the "stranded cost" recovery provision of the Commission's "Open Access" rulemakings, Order No. 888 and 889. Case files include requests for summary disposition; statements of position; motions to intervene; answers, comments, protests, responses; requests for rehearing; petitions for declaratory orders; testimony and exhibits (rebuttal, surrebuttal, answering, counter answering testimony); briefs (initial, reply, pre-trial, post hearing, on exceptions and

**PART I - ELECTRIC UTILITIES - CONTINUED**

opposing exceptions); requests for exemption and/or waiver of regulations and other related material.

- A. Record Copy.

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

TEMPORARY; Destroy when 25 years old.

B. Other Copies.

TEMPORARY; Destroy when no longer needed for current business.

C. Electronic version of record received by electronic mail or word processing applications.

None exist.

6. **OPEN ACCESS TRANSMISSION TARIFF FILINGS** (OA Dockets)(N1-138-98-6)

Filings made by jurisdictional entities in compliance with the Commission's "Open Access" rulemakings, Orders No. 888 and 889. Case files include standards of conduct; statements of position; motions to intervene; answers, comments, protests and responses; requests for rehearing; requests for summary disposition; testimony and exhibits (rebuttal, surrebuttal, answering, counter answering testimony); briefs (initial, reply, pre-trial, post hearing, on exception, opposing exception); requests for exemption and/or waiver of regulations and other related material.

A. Record Copy.

TEMPORARY; Destroy when 25 years old.

B. Other Copies.

TEMPORARY; Destroy when no longer needed for current business.

C. Electronic version of record received by electronic mail or word processing applications.

None exist.

**PART I - ELECTRIC UTILITIES - CONTINUED**

7. **NON-JURISDICTIONAL OPEN-ACCESS FILINGS** (NJ Dockets)(N1-138-98-6)

Applications for declaration of non-jurisdictional status under the Federal Power Act. Case files include statements of position; requests for summary disposition; motions to intervene; answers, comments, protests and responses; requests for rehearing, briefs (initial, reply, pre-trial, post hearing, on exceptions, opposing exceptions); requests for exemption and/or waiver of regulations and other related material.

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

A. Record Copy.

TEMPORARY; Destroy when 25 years old.

B. Other Copies.

TEMPORARY; Destroy when no longer needed for current business.

C. Electronic version of record received by electronic mail or word processing applications.

None Exist.

8. **EXEMPT WHOLESALE GENERATION DETERMINATIONS (EG Dockets)(N1-138-98-6)**

Applications and amended applications for Commission determination of "exempt wholesale generator" status. Case files applications; amended applications; motions to intervene; answers; comments; protests and responses; requests for rehearing; requests for exemption and/or waiver of regulations and other related material.

A. Record Copy.

TEMPORARY; Destroy when 25 years old.

B. Other Copies.

TEMPORARY; Destroy when no longer needed for current business.

C. Electronic version of record received by electronic mail or word processing applications. None exist.

**PART I - ELECTRIC UTILITIES - CONTINUED**

**Subpart C - Licensed Projects; Surveys and Studies**

1. **ECONOMIC AND ENGINEERING SURVEYS AND STUDIES (N1-138-88-2)**

Case files include initiatory documents, progress reports, periodic summaries of data collected, correspondence with interested Federal, state and local agencies as well as companies, and final reports and surveys which may include maps, charts and other illustrative matter.

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

A. General investigations of water power resources and their relation to interstate and foreign commerce and of the water power industry and its relation to other industries.

1.) Record Copy.

PERMANENT; Offer to NARA in 5 year blocks when 10 years old.

2.) Other Copies. (Non-record)

TEMPORARY; Destroy when no longer needed.

B. Power market surveys on the utilization and marketing of electric power from existing and proposed hydro-electric development.

1.) Record Copy.

TEMPORARY; Destroy when 5 years old.

2.) Other Copies. (Non-record)

TEMPORARY; Destroy when no longer needed.

C. River Basin studies made in cooperation with other agencies. To include CIAP or other cumulative impact studies.

1.) Record Copy.

TEMPORARY; Destroy when 50 years old.

2.) Other Copies. (Non-record)

**PART I - ELECTRIC UTILITIES - CONTINUED**

TEMPORARY; Destroy when no longer needed.

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

**PART I - ELECTRIC UTILITIES - CONTINUED**

**Subpart D - General Dockets; Discontinued Dockets; and Company Correspondence**

1. **COMPANY CORRESPONDENCE FILES** (N1-138-88-2) (ELECTRIC)

Files contain material of interest to the Commission including general correspondence, transmittals, reports, information on accounting systems, public utility status, allocation of operating and construction costs of federal hydro-electric projects, employee pension plans, operating agreements with other companies, and related matters.

A. Record Copy.

TEMPORARY; Destroy when 2 years old.

B. Other Copies. (Non-record)

TEMPORARY; Destroy when no longer needed.

2. **ELECTRIC UTILITIES** (N1-138-88-2) (E Dockets)

Case files include formal electric rate investigations declarations of intention to construct; applications for interconnections of facilities, transmission to a foreign country, sale, lease, merger, or consolidation of facilities; copies of formal documents issued, correspondence and related papers.

NOTE: E Dockets were discontinued as of 1975.

A. Record Copy.

TEMPORARY; Close files after all actions have been taken. Destroy when 25 years old.

B. Other Copies.

TEMPORARY; Destroy 4 years from date Order becomes final or sooner if no longer needed.

3. **OTHER ELECTRIC POWER FORMAL PROCEEDINGS** (N1-138-88-2) (EL Dockets)

Case files include memoranda to be published in the Federal Register, applications for authority to interconnect to electric power utilities, orders authorizing sale, clarifying orders, petitions for

**PART I - ELECTRIC UTILITIES - CONTINUED**

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

relief, certificates of service, verifications, affidavits, opinions and orders setting just and reasonable rates, and other memoranda as they pertain to electric power utilities.

A. Record Copy.

TEMPORARY; Close file after all actions have been taken. Destroy when 25 years old.

B. Other Copies

TEMPORARY; Destroy 10 years after date Order becomes final or sooner if no longer needed.

## **FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

### **PART II - GAS PRODUCERS AND UTILITIES**

#### **Subpart A - Applications and Adjustments**

##### 1. **GAS PIPELINE CERTIFICATES** (N1-138-88-2) (CP Dockets)

Case files contain application for certificate, formal documents issued, correspondence, and related documents (service agreements, precedent agreements, flow diagrams, etc.) submitted by pipeline companies.

###### A. Record Copy.

TEMPORARY; Destroy when 20 years old.

###### B. Other Copies. (Non-record)

TEMPORARY; Destroy when no longer needed.

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

**PART II - GAS PRODUCERS AND UTILITIES - CONTINUED**

**Subpart B - Rate Filings and Investigations; Collections**

1. **GAS PIPELINE RATES AND TARIFFS (N1-138-98-8) (RP, GT, TQ, TM, TF, PR, RS and TA Dockets)**

Case files include material relating to establishing and revising gas pipeline rates, such as cost and revenue information, notices, orders, petitions, requests, motions, hearing records (including exhibits, transcripts, and ALJ decisions), opinions, and filed correspondence.

A. Record Copy.

TEMPORARY; Destroy when 20 years old.

B. Other Copies

TEMPORARY; Destroy 5 years from date Order becomes final or sooner if no longer needed.

C. Electronic version of record received by electronic mail or word processing applications.

TEMPORARY; Destroy when file copy is generated.

Exception: Prior to disposition all records in this category should be reviewed for application of the special exemption described on page III-1.

2. **STAFF ADJUSTMENTS (GAS) (N1-138-88-2) (SA Dockets)**

Case files contain reviews of staff adjustments under Section 502e of the NGPA of 1978; material includes petitions and notices requesting amendments to petitions and extension of filing deadline, petitions for waiver notification of requirements, notices of application for an adjustment, motions to intervene, and protests.

A. Record Copy.

TEMPORARY; Destroy when 15 years old.

B. Electronic version of record received by electronic mail or word processing applications.

**PART II - GAS PRODUCERS AND UTILITIES - CONTINUED**

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

None received.

C. Other Copies.

TEMPORARY; Destroy when no longer needed for reference.

3. **GAS PIPELINE SERVICE AGREEMENTS (N1-138-98-11)**

Files include documents filed by natural gas companies and setting forth pipeline tariffs and rates for sales of natural gas at wholesale in interstate commerce.

A. Record Copy.

TEMPORARY; Destroy when 20 years old.

B. Electronic version of record received by electronic mail or word processing applications.

TEMPORARY; Delete when file copy is generated.

C. Other Copies.

TEMPORARY; Destroy 1 year after cancellation, supersession or rejection.

4. **TARIFF CURTAILMENT: NATURAL GAS (N1-138-88-2) (TC Dockets)**

Notices proposing changes in gas tariffs; petitions to intervene; protests on behalf of, or against, other gas corporations; requests for extensions to file comments relating to the reasoning of the protest petitions; presiding ALJ certification records of hearings concerning seasons and shortages; notices stating a prepared report of analysis and evaluation of the impacts of gas shortages.

A. Record Copy.

TEMPORARY; Destroy when 20 years old.

B. Other Copies

**PART II - GAS PRODUCERS AND UTILITIES - CONTINUED**

TEMPORARY; Destroy 4 years from date Order becomes final or sooner if no longer needed.

## **FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

Exception: Prior to disposition, all records in this category should be reviewed for application of the special exemption described on Page III-1.

5. **TARIFFS, WHOLESALE CONTRACTS & GAS RATE SCHEDULES** (N1-138-88-2)  
(ALSO SEE FASTR, PG. VI-1)

Documents are filed with the Commission by:

- Natural Gas Pipeline Companies: tariffs and rates for sales of natural gas at wholesale in interstate commerce;
- Independent Producers: rates for sale of gas to natural gas pipeline companies or to other independent producers in interstate commerce.

A. Record Copy.

- 1.) Superseded or rejected files.

TEMPORARY; Destroy when 40 years old.

- 2.) Canceled files.

TEMPORARY; Destroy 10 years after cancellation.

B. Other Copies.

None exist.

6. **INVESTIGATIONS: NATURAL GAS** (IN Dockets)

Case files of investigations into alleged violations of the Natural Gas Act. File includes order instituting investigation, responses to orders, motions to dismiss or terminate investigation, applications for rehearing and petitions to quash subpoenas.

A. Record Copy. (NC1-138-83)

TEMPORARY; Destroy when 10 years old.

## **PART II - GAS PRODUCERS AND UTILITIES - CONTINUED**

B. Electronic Mail and Word Processing System Copies. (N1-138-00-1)

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the record. Also includes

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revisions, or dissemination.

- 1.) 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, and 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.

- 2.) Copies used for dissemination, revisions, or updating that are maintained in addition to the recordkeeping copy.

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

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

**PART II - GAS PRODUCERS AND UTILITIES - CONTINUED**

**Subpart C - Notices, Petitions, and Elections**

1. **NOTICES OF WELL DETERMINATION (NGPA) (N1-138-88-2) (JD Dockets)**

Submitted to FERC by state jurisdictional agencies, the U.S. Geological Survey, and Bureau of Indian Affairs for review; if no action is taken within 45 days after receipt in the Commission, the decision of the jurisdictional agency becomes final by the act of law.

A. Record Copy.

TEMPORARY; Destroy when 4 years old.

B. Other Copies.

None exist.

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

**PART II - GAS PRODUCERS AND UTILITIES - CONTINUED**

**Subpart D - General Dockets, Discontinued Dockets, and Company Correspondence**

1. **GENERAL GAS DOCKET CATEGORY** (N1-138-88-2) (GP Dockets)

Answers to petitions to intervene and requests for enlargement of issues and supplements; notices of petitions for declaratory orders and protests submitted protesting interim collections of gas prices.

A. Record Copy.

TEMPORARY; Destroy when 10 years old.

B. Other Copies. (Non-record)

Destroy when no longer needed.

2. **COMPANY CORRESPONDENCE FILES (GAS PIPELINES)**

Files contain material of interest to the Commission including: general correspondence, transmittals, reports, information on accounting systems and operating agreements with other companies.

A. Record Copy. (N1-138-88-2)

TEMPORARY; Destroy when 5 years old.

B. Electronic version of record created on or received by electronic mail or word processing applications. (N1-138-98-4)

TEMPORARY; Delete when file copy is generated.

C. Other Copies. (N1-138-88-2)

TEMPORARY; Destroy when no longer needed.

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

**PART III - OIL PRODUCERS AND PIPELINES**

**Subpart A - Applications and Adjustments**

1. **REQUESTS FOR ADJUSTMENTS** (N1-138-88-2) (RA Dockets)

Case files include the Commission review of adjustment request denials, a review of average daily purchases, summary reports of daily production, affidavits to clarify and supplement records of the proceedings, requests for extension of time for placing additional filing information, motions for extension of time, responses to replies and orders, meeting dates on conferences and hearings for purposes of presenting oral arguments.

A. Record Copy.

TEMPORARY; Close file after all actions have been completed. Destroy when 20 years old.

B. Other Copies.

TEMPORARY; Destroy 2 years after case is closed or sooner if no longer needed.

2. **REMEDIAL ORDERS** (N1-138-88-2) (RO Dockets)

Case files include Notice of Intent to Appeal a proposed remedial order issued by the Economic Regulatory Administration on a case usually involving violations of the Mandatory Petroleum Price Regulations, and all supporting material.

A. Record Copy.

TEMPORARY; Close file after all actions have been completed. Destroy when 20 years old.

B. Other Copies.

TEMPORARY; Destroy 2 years after case is closed or sooner if no longer needed.

## **FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

### **PART III - OIL PRODUCERS AND PIPELINES - CONTINUED**

#### **Subpart B - Rate Filings and Investigations; Collections**

##### 1. **OIL PIPELINE RATES** (N1-138-88-2) (OR Dockets)

Case files include materials pertaining to rate filings brought about through initial briefs, submitted petitions, orders requesting extensions of time for filing briefs, orders accepting filings, suspensions subject to certain conditions, and tariff changes. Also, includes initial decision limiting individuals and issues of jurisdiction, and other granting joint motions introducing work papers into evidence. (A case formerly under jurisdiction of the Interstate Commerce Commission will also carry the former ICC docket number for convenience.)

###### A. Record Copy.

TEMPORARY; Cut off after date of final non-appealable order. Destroy when 20 years old.

###### B. Other Copies.

TEMPORARY; Destroy 5 years from date Order becomes final or sooner if no longer needed.

##### 2. **PIPELINE DEPRECIATION (OIL)** (N1-138-88-2) (DO Dockets; formerly PD Dockets)

Case files include Commission Orders authorizing depreciation rates and related matters pertaining to oil pipelines.

###### A. Record Copy.

TEMPORARY; Cut off after final non-appealable order. Destroy when 15 years old.

###### B. Electronic version of record received by electronic mail or word processing applications.

None exist.

###### C. Other Copies.

TEMPORARY; Destroy 7 years from date Order becomes final or sooner if no longer needed.

### **PART III - OIL PRODUCERS AND PIPELINES - CONTINUED**

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

Exception: Prior to disposition, all records in this category should be reviewed for application of the special exemption described on Page III-1.

3. **FOURTH SECTION FILINGS (OIL PIPELINES)** (N1-138-88-2) (FS Dockets)

These filings pertaining to oil pipelines refer to Section 4, Part 1 of the Interstate Commerce Act, which sets forth provisions for long and short haul charges and competition with other modes of transport.

A. Record Copy.

TEMPORARY; Destroy when 20 years old.

B. Other Copies.

None exist.

4. **OIL TARIFF FILINGS** (N1-138-88-2) (TS Dockets)

These Oil Tariff Filings contain information pertaining to the transportation rates and/or rules and regulations of individual pipeline companies.

A. Record Copy.

TEMPORARY; Destroy 15 years after cancellation.

B. Other Copies.

None authorized.

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

**PART III - OIL PRODUCERS AND PIPELINES - CONTINUED**

**Subpart C - General Dockets; Discontinued Dockets; and Company Correspondence**

1. **ENERGY ACTIONS** (N1-138-88-2) (EA Dockets)

Case files contain a review of major energy actions proposed by the Secretary of Energy relating to oil pricing and allocation, proposed rulemaking, hearing testimony, analysis and input, petitions for reconsideration, Congressional Subcommittee reports, DOE decisions, and recommendations.

A. Record Copy.

TEMPORARY; Cut off after date of final Order. Destroy when 25 years old.

B. Other Copies.

None required.

2. **THE ALASKAN PIPELINE SYSTEM** (N1-138-88-2) (TAPS)

File consists of discovery materials in support of or relevant to pending litigation concerning The Alaskan Pipeline System.

A. Record Copy.

Retain indefinitely pending settlement of this case. Then submit SF-115 to NARA with recommended disposition.

B. Other Copies.

None authorized.

3. **COMPANY CORRESPONDENCE FILES (OIL PRODUCERS AND PIPELINES)**

Files contain materials of interest to the Commission including: general correspondence, transmittals, reports, information on accounting systems, oil field status, employee pension plans, operating agreements with other companies and related matters.

A. Record Copy. (NC1-138-83-1)

**PART III - OIL PRODUCERS AND PIPELINES - CONTINUED**

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

TEMPORARY; Destroy when 5 years old.

- B. Electronic version of record created on or received by electronic mail or word processing applications. (N1-138-98-10)

TEMPORARY; Delete when file copy is generated.

- C. Other Copies. (NC1-138-83-1)

TEMPORARY; Destroy when no longer needed for reference.

## **FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

### **PART IV - HYDROPOWER LICENSING**

#### **Subpart A - Licensed and Exempted Projects, Surveys & Studies**

##### **1. PRELIMINARY PERMITS (N1-138-91-2) (All P and some EL Dockets)**

Case files include the application and incoming amendments; outgoing correspondence; internal memoranda, reports and related papers; the formal documents issued; all items filed with the Office of the Secretary during the life of the permit and/or its surrender.

###### **A. Record copy.**

TEMPORARY; Destroy 10 years after preliminary permit withdrawn, surrendered, dismissed, canceled, or expired, whichever is later. Maintain in-house for 4 years and then transfer to Federal Records Center.

###### **B. Other copies.**

TEMPORARY; Destroy one year after final Commission action on rehearing requests or sooner if no longer needed.

##### **2. LICENSED HYDROPOWER PROJECTS - ISSUED OR TRANSFERRED (N1-138-91-2) (All P and some EL Dockets)**

Case files for filings for licenses including transfers and new capacity amendments. Licenses are issued for up to 50 years and may be renewed (relicensed). Annual licenses are issued if new license is not issued or other Commission action is not taken prior to original license expiration. Case files contain applications, supplements and amendments thereto; incoming and outgoing correspondence; internal memoranda and reports; environmental assessments, and environmental impact statements, and related material; copies of formal documents issues; all items filed with the Office of the Secretary.

###### **A. Record copy.**

TEMPORARY; Destroy 3 years after subsequent license renewed or reissued, or after final Commission action on rehearing requests or Appeals/Supreme Court(s) decision on subsequent license, whichever is later. Maintain in-house for 15 years after issuance of license and then transfer to the Federal Records Center (FRC). Destroy 38 years from date of transfer to FRC.

###### **B. Other copies.**

### **PART IV - HYDROPOWER LICENSING - CONTINUED**

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

TEMPORARY; Destroy after final Commission action on renewal or reissuance of license or, if appealed, after appeals/Supreme Court action is final, whichever is later or when no longer needed for reference.

3. **EXEMPTED HYDROPOWER PROJECTS** (N1-138-91-2) (All P and some EL Dockets)

Case files for filings on exemption from licensing requirements of Part I of Federal Power Act. Exemptions are issued with no termination date, and can be transferred. Case files contain applications, supplements and amendments thereto; incoming and outgoing correspondence; internal memoranda and reports; environmental assessments and related material copies of formal documents issued; all items filed within the Office of the Secretary.

A. Record copy.

TEMPORARY; Destroy 10 years after exemption is surrendered, revoked or otherwise terminated. Maintain in-house for 4 years after final action and then transfer to the Federal Records Center (FRC).

B. Other copies.

TEMPORARY; Destroy 1 year after final Commission action on rehearing requests or sooner if no longer needed.

4. **LICENSED HYDROPOWER PROJECTS - SURRENDERED** (N1-138-91-2) (All P and some EL Dockets)

Case files contain the applications, supplements, and amendments; incoming and outgoing correspondence; internal memoranda and reports; environmental documents, and related materials; copies of formal documents issued; all items filed with the Office of the Secretary.

A. Record copy.

TEMPORARY; Destroy 4 years after final Commission action on surrender or other termination or rehearing request, or Appeals/Supreme Court(s) decision, whichever is later. Transfer to the Records Maintenance Center (RMC) 1 year after final Commission action and destroy 3 years after transfer.

B. Other copies.

**PART IV - HYDROPOWER LICENSING - CONTINUED**

TEMPORARY; Destroy 4 years after final Commission or Court action or sooner if no longer needed.

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

## **FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

### **PART IV - HYDROPOWER LICENSING - CONTINUED**

#### **Subpart B - Applications and Adjustments**

##### **1. POWER SITE -- SECTION 24 FPA (N1-138-91-2)**

Case file contains the project applications, national forest maps, government maps, quadrangle maps; and related correspondence needed to make determinations regarding the land status with regard to Federal jurisdiction. May contain oversize material.

###### **A. Record copy. (N1-138-88, Item 1)**

PERMANENT; Close case file after final determination. Transfer to the National Archives and Records Administration in 5 year blocks, 10 years after date of latest final determination.

###### **B. Other copies.**

TEMPORARY; Destroy project applications immediately after final determination if no longer needed for reference. Maintain copy of National Forest maps, government maps, and quad maps.

##### **2. POWER SITE -- LAND WITHDRAWALS (N1-138-91-2)**

Files include applications with supporting material, final actions, and Department of the Interior decisions. Used to make determinations regarding land status with regard to Federal jurisdiction. May contain oversize material.

###### **A. Record copy. (N1-138-88, Item 1)**

PERMANENT; Close case file 5 years after final decision. Transfer to the National Archives and Records Administration in 5 year-blocks, 10 years from date of latest final decision unless vacated.

###### **B. Other copies.**

TEMPORARY; Maintain one copy in Commission.

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

**PART IV - HYDROPOWER LICENSING - CONTINUED**

**Subpart C - Jurisdiction**

1. **SECTION 23(B)** (N1-138-91-2)

Declarations of Intent; jurisdictional orders; contractors preliminary reports; and associated data and correspondence used to make determination regarding Federal jurisdiction over hydropower sites.

A. Record copy.

TEMPORARY; Destroy when no longer needed for reference.

B. Other copies.

TEMPORARY; Destroy after issuance of order or final covert action, whichever is later.

2. **NAVIGABILITY REPORTS** (N1-138-91-2)

Reports used to determine the jurisdiction of projects on navigable rivers. Reports are done on river itself, not just the site. Used by Office historians to make determinations about other sites. Earlier reports used in preparation of new reports.

A. Record copy.

TEMPORARY; Destroy when no longer needed for reference.

B. Other copies.

None exist.

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

**PART IV - HYDROPOWER LICENSING - CONTINUED**

**Subpart D - Headwater Benefits -- Sec. 10(f) of FPA**

1. **HEADWATER BENEFITS** (HB Dockets) (N1-138-91-2)

Decisions, notices, orders, petitions, briefs, protests, comments, settlements, study data and related correspondence used to determine the future assessments for headwater benefits on a year-to-year basis.

A. Record copy.

TEMPORARY; Destroy 50 years after final assessment order issued.

B. Other copies.

TEMPORARY; Destroy 10 years after final assessment order.

## **FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

### **PART V - MISCELLANEOUS FILINGS COMMON TO ALL DOCKETS**

Miscellaneous filings common to all dockets are not limited in applicability to any single energy grouping. They become a part of the appropriate formal case file when properly filed and accepted by the Commission. A case file, sometimes referred to as a docket file, project file, or transaction file, is updated whenever additional material pertaining to an established case is received.

#### **Subpart A - Rate Filings and Investigations; Collections**

##### **1. SUSPENSION AND INVESTIGATION OF RATES, FARES, CHARGES AND PRACTICES OF COMPANIES (IS Dockets, formerly OT Dockets)**

Case files include petitions for reconsideration and vacation of suspension order, order denying petition for reconsideration and vacation of suspension order.

###### **A. Record Copy. (N1-138-88-2)**

TEMPORARY; Destroy when 10 years old.

###### **B. Electronic version of record received by electronic mail or word processing applications. (N1-138-98-13)**

TEMPORARY; Destroy when record copy is generated.

###### **C. Other Copies. (N1-138-88-2)**

TEMPORARY; Destroy when no longer needed.

##### **2. INVESTIGATIONS (FORMAL) (N1-138-88-2) (IN Dockets)**

Case files of formal investigations into alleged violations and improprieties. Files include orders instituting investigations, responses to orders, motions to dismiss or terminate investigation, applications for rehearing, petitions to quash subpoenas, and reports on fuel and energy purchase practices (Form 580 or equivalent).

###### **A. Record Copy. (NC1-138-83-1)**

TEMPORARY; Close file after all actions have been taken.

###### **B. Electronic Mail and Word Processing System Copies. (N1-138-00-2)**

### **PART V - MISCELLANEOUS FILINGS COMMON TO ALL DOCKETS - CONTINUED**

### **FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the record. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revisions, or dissemination.

- 1.) 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, and 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.

- 2.) Copies used for dissemination, revisions, or updating that are maintained in addition to the recordkeeping copy.

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

#### 3. **CONTESTED AUDITS** (N1-138-88-2) (FA Dockets)

Case files in formal proceedings resulting from disagreements between utilities and the Commission's audit staff regarding the keeping and maintenance of the utilities books of account. Files include all notices, orders, petitions, requests, motions, hearing records (including exhibits, transcripts, and ALJ documents), opinions, and filed correspondence.

- A. Record Copy.

TEMPORARY; Destroy when 30 years old.

- B. Other Copies.

TEMPORARY; Destroy when no longer needed.

**FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

**PART V - MISCELLANEOUS FILINGS COMMON TO ALL DOCKETS - CONTINUED**

**Subpart B - Licensed Projects; Surveys and Studies**

1. **SPECIAL STATISTICAL STUDIES** (N1-138-88-2)

Manuscript studies pertaining mainly to gas, electric and hydro matters, dealing with volume of sales, cost of production and transmission, storage, and similar subjects as requested by other agencies, private sources, or as initiated by the Commission.

A. Record Copy.

TEMPORARY; Destroy when 5 years old.

B. Other Copies.

TEMPORARY; Destroy when no longer needed.

## **FERC RECORDS SCHEDULE III - DOCKETED FORMAL CASE FILES**

### **PART V - MISCELLANEOUS FILINGS COMMON TO ALL DOCKETS - CONTINUED**

#### **Subpart C - General Dockets; Discontinued Dockets; and Company Correspondence**

1. **CLASSIFIED DOCUMENTS** (N1-138-88-2)

Documents bearing the security classification CONFIDENTIAL or SECRET for national security reasons.

Record Copy.

When downgraded to UNCLASSIFIED, transfer custody to Records Maintenance Center. Disposition thereafter will be made in accordance with applicable Schedule herein.

2. **RULEMAKING** (N1-138-88-2) (RM Dockets)

Case files may include, among other things, petitions for rulemakings, notice of inquiry, notice of proposed rulemaking, other public notices pertaining to the rulemaking, interim rule, final rule, written comments, transcripts of public hearings, rehearing petitions, rehearing orders, correspondence, staff reports, Federal Register citations, records of court proceedings, pleadings and remands.

A. Record Copy.

PERMANENT; Offer to NARA in 5 year blocks when 10 years old.

B. Other Copies.

TEMPORARY; Destroy when no longer needed.

## FERC RECORDS SCHEDULE IV - REPORTS

### PART I - MONTHLY, SEMIMONTHLY

#### Subpart A - Electric

1. MONTHLY REVIEW OF COST & QUALITY OF FUEL FOR STEAM-ELECTRIC PLANT (FORM 423 or Equivalent)

Report filed by electric power producers to furnish monthly data on the cost and quality of fuels received at steam-electric generating plants with a capacity of 25 megawatts or greater. This monthly report (a) for coal, shows the name of the mine and the county in which the coal originated, if available; (b) for oil, shows supplier and refinery or port of entry; and (c) for gas, shows pipeline (suppliers) or distributors, producer area by state of port of entry.

A. Record Copy. (NC1-138-83-1)

TEMPORARY; Destroy when 20 years old.

B. Recordkeeping Copy/Electronic. (N1-138-00-3)

TEMPORARY; Do not transfer to FRC. Delete when 20 years old.

C. Other Copies/Paper. (NC1-138-83-1)

TEMPORARY; Destroy 2 years after date of receipt or sooner if no longer needed.

D. Electronic Mail and Word Processing System Copies. (N1-138-00-3)

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the record. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revisions, or dissemination.

- 1.) 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.

### PART I - MONTHLY, SEMIMONTHLY - CONTINUED

**FERC RECORDS SCHEDULE IV - REPORTS**

- 2.) 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.

**FERC RECORDS SCHEDULE IV - REPORTS**

**PART I - MONTHLY, SEMIMONTHLY - CONTINUED**

**Subpart B - Gas**

1. **NATURAL GAS PIPELINE COMPANY MONTHLY STATEMENT (N1-138-88-2)**  
**(FORM 11 OR EQUIVALENT)**

Files include monthly statements for natural gas companies whose combined sales for resale and gas transported or stored for a fee exceeded 50 million Mcf at 14.73 psia (60 F) in a previous year.

- A. Record Copy.

TEMPORARY; Destroy when 2 years old.

- B. Other Copies. (Non-record)

TEMPORARY; Destroy when no longer needed.

**FERC RECORDS SCHEDULE IV - REPORTS**

**PART I - MONTHLY, SEMIMONTHLY - CONTINUED**

**Subpart C - Oil**

*Reserved*

## FERC RECORDS SCHEDULE IV - REPORTS

### PART II - ANNUAL, SEMIANNUAL, BIENNIAL

#### Subpart A - Electric

1. ANNUAL FINANCIAL & STATISTICAL REPORTS (N1-138-88-2) (FORM 1, 1F, OR EQUIVALENT)

Files include annual financial and statistical reports submitted by jurisdictional electric utilities, non-jurisdictional privately and municipally owned electric utilities, federally owned electric utilities and hydro projects and licensees. These annual reports give financial and statistical data as to assets, liabilities, revenues, capacity, number of consumers, and related information.

A. Record Copy. (N1-138-83-1)

TEMPORARY; Destroy 50 years from date of filing.

B. Electronic version of record received by electronic mail or word processing applications. (N1-138-98-14)

TEMPORARY; Destroy when record copy is generated.

C. Other Copies. (N1-138-88-2)

TEMPORARY; Destroy when no longer needed.

2. ANNUAL POWER SYSTEM STATEMENTS (FORM 714 (Formerly FORM 12 OR EQUIVALENT))

Annual Power System Statements submitted by privately, municipally, or federally owned electric utilities which operate facilities for the generation, transmission, or distribution of electric energy. These statements give information on generating capacity and transmission facilities, loads, load characteristics, and related matters.

A. Record Copy/Paper. (NC1-138-83-1)

TEMPORARY; Cut off annually. Transfer to Federal Records Center (FRC) in 5 year blocks when most recent filing is 5 years old. (For example, records dated 1990-1995 are transferred in 2000.) Destroy when 20 years old.

B. Record Copy/Electronic. (N1-138-00-4)

### PART II - ANNUAL, SEMIANNUAL, BIENNIAL - CONTINUED

## **FERC RECORDS SCHEDULE IV - REPORTS**

TEMPORARY; Do not transfer to FRC. Delete when 20 years old.

C. Other Copies/Paper. (NC1-138-83-1)

TEMPORARY; Destroy 2 years from date of filing or sooner if no longer needed.

D. Electronic Mail and Word Processing System Copies. (N1-138-00-4)

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the record. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revisions, or dissemination.

- 1.) 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.

- 2.) 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.

3. **STEAM-ELECTRIC PLANT AIR & WATER QUALITY CONTROL DATA REPORTS** (N1-138-88-2) (FORM 67 OR EQUIVALENT)

Annual report containing data on cost of environmental impact equipment for steam-electric plants, the design and operating practices of the plants, the design and operating practices of environmental equipment such as boilers and generators, a rolling 10-year projection of the fuel requirements for such plants and new capacity additions to the output of power. Also included: the costs of future air pollution control equipment; quantity and quality of coal, oil and gas consumed, and projected consumption, and operation characteristics of nuclear plants (i.e. water thermal pollution and other environmental impacts).

A. Record Copy.

**PART II - ANNUAL, SEMIANNUAL, BIENNIAL - CONTINUED**

TEMPORARY; Destroy when 5 years old.

**FERC RECORDS SCHEDULE IV - REPORTS**

B. Other Copies.

TEMPORARY; Destroy 1 year after date of filing.

4. **LICENSED HYDROPOWER DEVELOPMENT RECREATIONAL REPORT DATA BASE (N1-138-88-3) (FORM 80)**

Biennial report containing data on existing recreational developments at hydropower projects. Information includes location, facilities, usage, and ownership/operator data.

A. Input forms.

TEMPORARY; Destroy when information is entered into electronic data base.

B. Output reports.

1.) Record Copy.

TEMPORARY; Destroy when 20 years old.

2.) Other Copies.

TEMPORARY; Destroy when no longer needed.

C. Systems documentation.

TEMPORARY; Destroy when no longer needed.

D. Electronic data base.

TEMPORARY; Update information as necessary. Purge when no longer needed.

5. **COST OF SERVICE FILINGS (N1-138-88-2)**

A biennial filing by public and privately-owned utilities containing detailed data on the cost of electric service.

**PART II - ANNUAL, SEMIANNUAL, BIENNIAL - CONTINUED**

A. Record Copy.

TEMPORARY; Destroy when 4 years old. (Maintain current and one previous report.)

**FERC RECORDS SCHEDULE IV - REPORTS**

B. Other Copies.

TEMPORARY; Destroy upon receipt of next succeeding report.

6. **20 LARGEST CUSTOMER FILINGS (FORM 566) (N1-138-88-2)**

Annual filing by public utilities listing names and addresses of their 20 largest customers.

A. Record Copy.

TEMPORARY; Destroy when 2 years old. (Maintain current and one previous year's report.)

B. Other Copies.

None required.

7. **FUEL AND ENERGY PURCHASE PRACTICES (FORM 580 OR EQUIVALENT)**

A report filed biennially by electric utilities on fuel and energy purchase practices and policies used by the Commission to ensure efficient use of resources (including economical purchase and use of fuel and electric energy). Filed in IN Dockets.

TEMPORARY; Follow disposition instructions in FERC Schedule III, Docketed Formal Cases, PART IV, Miscellaneous Filings Common to All Dockets, Subpart A, Rate Filings and Investigations; Collections, Item 2, Investigations (Formal) (IN Dockets).

8. *Reserved for Annual Report of Interlocking Positions (Form 561 or equivalent)*

9. **TRANSMISSION PLANNING AND EVALUATION REPORT (FORM 715 OR EQUIVALENT) (N1-138-99-7)**

An annual report prepared by transmitting utilities who own or operate integrated transmission facilities at or above 100 kilovolts, on transmission planning, constraints, and available transmission capacity.

A. Record Copy.

TEMPORARY; Cut off annually. Transfer to the Federal Records Center when most recent filing is 5 years old. Destroy when 20 years old.

B. Electronic Mail and Word Processing System Copies

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the record. Also includes

### **FERC RECORDS SCHEDULE IV - REPORTS**

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

- 1.) 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.

- 2.) 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.

## **FERC RECORDS SCHEDULE IV - REPORTS**

### **PART II - ANNUAL, SEMIANNUAL, BIENNIAL - CONTINUED**

#### **Subpart B - Gas**

1. **ANNUAL FINANCIAL & STATISTICAL REPORTS (N1-138-88-2) (FORMS 2 OR EQUIVALENT)**

Files include annual financial and statistical reports submitted by natural gas companies, and independent producers of natural gas. These annual reports give financial and statistical data as to assets, liabilities, revenues, capacity, number of consumers, gas supplies, deliverability, and supplies related information.

A. Record Copy.

TEMPORARY; Destroy 50 years after date of filing.

B. Other Copies.

TEMPORARY; Destroy 5 years from date of filing or sooner if no longer needed.

2. **ANNUAL REPORT OF SYSTEMS FLOW DIAGRAMS (N1-138-88-2) (FORM 567, Formerly FORM FPC RO-284)**

Annual report reflecting operating conditions on a pipeline's main transmission system during the previous 12 months. Information includes pipeline diameter and mileage, direction of flow, operating pressure, compressor horsepower and pressure, fuel requirements, storage data, and volume data.

A. Record Copy.

TEMPORARY; Destroy when 20 years old.

B. Other Copies.

TEMPORARY; Destroy 4 years from date of filing or sooner if no longer needed.

**FERC RECORDS SCHEDULE IV - REPORTS**

**PART II - ANNUAL, SEMIANNUAL, BIENNIAL - CONTINUED**

**Subpart C - Oil**

1. **ANNUAL REPORT OF OIL PIPELINES** (N1-138-88-2) (FERC FORM 6)

This report is required to be filed annually by all oil pipeline carriers subject to the provisions of Section 20, Part 1 of the Interstate Commerce Act.

A. Record Copy.

TEMPORARY; Destroy 10 years after date of filing.

B. Other Copies.

TEMPORARY; Destroy when no longer needed.

## **FERC RECORDS SCHEDULE IV - REPORTS**

### **PART III - VARIABLE AND NON-PERIODIC**

#### **Subpart A - Electric**

1. **IMPLEMENTATION STATUS FILINGS** (N1-138-88-2) (IR Dockets)

Reports by states and non-regulated electric utilities setting for the implementation made in conformity with PURPA requirements (18 C.F.R. 292.401).

A. Record Copy.

TEMPORARY; Destroy when 20 years old.

B. Other Copies.

TEMPORARY; Destroy when no longer needed.

2. **CONTINUITY OF SERVICE FILING** (N1-138-88-2) (FERC Form 585)

Notices by all jurisdictional utilities having wholesale customers setting forth anticipated shortages in energy and power capacity; and statements as to how such shortages would be handled.

A. Record Copy.

TEMPORARY; Destroy when 5 years old.

B. Other Copies.

TEMPORARY; Destroy 2 years from date of filing or sooner if no longer needed.

3. **APPLICATION FOR AUTHORITY TO HOLD INTERLOCKING DIRECTORATE POSITIONS** (N1-138-88-2) (FERC Form 520)

See ID Dockets, Page III-2.

## **FERC RECORDS SCHEDULE IV - REPORTS**

### **PART III - VARIABLE AND NON-PERIODIC - CONTINUED**

#### **Subpart B - Gas**

1. **SERVICE INTERRUPTION REPORT** (N1-138-88-2) (Formerly FORM FPC R0-016)

Report of serious interruption of service to any wholesale customer involving facilities operated under certificate authorization from the Commission. Details include location, time, customers affected and emergency actions taken to maintain service.

A. Record Copy.

TEMPORARY; Destroy 20 years after date of filing.

B. Other Copies.

TEMPORARY; Destroy when no longer needed.

## **FERC RECORDS SCHEDULE IV - REPORTS**

### **PART III - VARIABLE AND NON-PERIODIC - CONTINUED**

#### **Subpart C - Oil**

1. **SERVICE-LIFE DATA (N1-138-88-2) (FERC 73, FORMERLY ACV-159)**

This report is usually submitted upon request of FERC. It is used to collect property records data from oil pipeline companies for service-life analysis. May be used for recording data by using actual and simulation methods to determine service-life of physical properties.

A. Record Copy.

TEMPORARY; Destroy when no longer needed. Transfer to FRC not authorized.

B. Other Copies.

TEMPORARY; Destroy when no longer needed.

## **FERC RECORDS SCHEDULE V - MACHINE READABLE RECORDS**

### **PART I - ADMINISTRATIVE ADP SYSTEMS**

#### **1. FINANCIAL SYSTEM (N1-138-88-2)**

With the dissolution of the Commission Support Agreement between FERC and DOE, the Commission will assume complete responsibility for financial systems.

Accounting consists of the general ledger and journal entries to support FERC's financial responsibilities and to provide internal and external reports.

Travel consists of the status of travel funds and a record of each trip, including advances, reservations and expense records.

Contracts/Procurement consists of contract and procurement obligations and the status of such actions independently and through interface with the accounting system.

Budget Formulation consists of the various tables used in the budget formulation process and includes automatic adjustment of summary tables.

Budget Execution consists of a funds tracking system that monitors allotments, initiations, and obligations and is interfaced with the four systems identified above.

#### **Restrictions:**

Title 5 U.S.C. 522(b)(2) and Title 5 U.S.C. 522(b)(3) required for GAO site audit.

TEMPORARY; Dispose of in accordance with instruction applicable to hard copy located in the General Records Schedules.

#### **2. OTHER ADMINISTRATIVE (N1-138-88-2)**

Staffing Plan consists of maintaining a plan of the official organization structure and staffing levels, to identify vacancies and encumbered positions, and to reduce management reports.

TEMPORARY; Dispose of in accordance with instructions applicable to hard copy.

## **FERC RECORDS SCHEDULE V - MACHINE READABLE RECORDS**

### **PART II - MANAGEMENT INFORMATION SYSTEMS**

#### **1. KEY INDICATOR CASE TRACKING SYSTEM (KICTS) (N1-138-88-2)**

KICTS is the official case tracking system that is used to manage Commission workload. It enables Commission Management to track docketed workload as it is processed through the Commission. Casework Summary Reports are produced monthly and show receipts, completions and pending workload. These reports contain the completions and pending workload. These reports contain the official agency statistics on workload and are used for budget formulation, and to respond to questions from Congress, OMB or GAO.

The KICTS is an interactive case tracking system containing information on each docket being processed in the Commission. KICTS is composed of a core database and private office specific databases.

##### **A. Input Forms.**

TEMPORARY; Destroy when information is entered into electronic database.

##### **B. Output Reports.**

TEMPORARY; Destroy when no longer needed.

##### **C. Systems Documentation.**

TEMPORARY; Destroy when no longer needed.

##### **D. Electronic Database.**

TEMPORARY; Update information as necessary. Purge when no longer needed.

**FERC RECORDS SCHEDULE VI - RECORDS AND INFORMATION MANAGEMENT SYSTEMS**

1. **RECORDS AND INFORMATION MANAGEMENT SYSTEM (RIMS) (N1-138-88-2)**

This system consists of various FERC records that are microfilmed in a sequence that is generally chronological. The filmed records date from January 1982, and consist of some--but not all--individual series identified under approved FERC disposition schedules. Due to the filming method employed, the microfilmed documents are organized as a single, open-ended series. Documents are accessed through a separate index (item c). After filming, source documents are arranged in series as described in FERC disposition schedules.

A. RIMS Source Documents.

- 1.) Records designated for permanent retention under approved disposition schedules; refer to appropriate schedule item. Send to FRC after verification of microfilm.
- 2.) Records designated for temporary retention under approved disposition schedules: destroy after verification of microfilm. Do not send to FRC.

B. RIMS microfilm: destroy when no longer needed. Do not send to FRC.

C. RIMS automated index.

- 1.) Electronic database: permanent. Transfer copy of most recent update to the National Archives immediately. Transfer revised copies of data base to the National Archives every 5 years. Copies transferred should be on magnetic tape written in EBCDIC at 6,250 bpi. Volume: 13 reels. Annual accumulation: approximately 2 reels.
- 2.) System documentation: permanent. Transfer most recent copy to the National Archives immediately. When documentation is revised, send revisions to the National Archives immediately. Volume: 5 inches. Annual accumulation: Approximately 1 inch.
- 3.) Systems reports: destroy when no longer needed.

2. **FEDERAL ENERGY REGULATORY COMMISSION AUTOMATED SYSTEM FOR TARIFF RETRIEVAL (FASTR) (N1-138-97-1)**

A database containing tariffs and rates of jurisdictional natural gas pipeline companies for the transportation and sale of natural gas in interstate commerce.

A. Input/Source Record.

**FERC RECORDS SCHEDULE VI - RECORDS AND INFORMATION MANAGEMENT SYSTEMS**

Electronic records received from pipeline companies and used as input/source records by the Commission.

TEMPORARY; Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or database, whichever is later.

B. Master Data Base.

Superseded, rejected or canceled electronic tariff sheets.

TEMPORARY; Annually purge superseded, canceled or rejected electronic tariff sheets which were superseded, cancelled or rejected six months prior to the date of purging. Delete 10 years after purging.

C. Paper copy.

TEMPORARY; File with case file. Follow appropriate case file disposition.

D. Downloaded and Copied Data.

Derived data and data files that are copied, extracted, merged, or calculated from other data generated within the agency, when the original data is regained. Used for ad hoc or one-time inspection, analysis or review, if the derived data is not needed to support the results of the inspections, analysis or review.

TEMPORARY; Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

E. Documentation.

Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base that has been authorized for destruction by the GRS or a NARA-approved disposition schedule.

TEMPORARY; Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

## FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS

### PART I - STRATEGY AND ORGANIZATIONAL MANAGEMENT

#### 1. FERC ORGANIZATION FILES (N1-138-99-3)

Documents created in studying, proposing, reviewing, and assisting changes in organization, functions, and relationships of services, staff offices, and regional offices. Included are organizational proposals, justification, analyses of present arrangements, management studies and related records.

##### A. Recordkeeping copy

Changes to FERC organization, including organizational proposals, justifications, analyses of present arrangements, workloads, staffing patterns, organizational charts, management studies and related records.

PERMANENT; Offer to NARA in 5 year blocks when 10 years old.

##### B. Working Papers

Documents, other than changes to FERC organizations, created in studying, proposing, and reviewing proposals to change organization, functions, and relationships of services, staff offices and regional offices.

TEMPORARY; Cutoff at the end of fiscal year in which the study was completed.  
Destroy 1 year after cutoff.

##### C. Missions/Functions Statements

Formally prepared descriptions of the responsibilities assigned to agency officials at the Division level or higher.

PERMANENT; Offer to NARA in 5 year blocks when 10 years old.

##### D. Electronic version of records created or received by electronic mail or word processing applications.

TEMPORARY. Delete when file copy is generated.

#### 2. ADMINISTRATIVE GRIEVANCE, DISCIPLINARY, AND ADVERSE ACTION FILES

### PART I - STRATEGY AND ORGANIZATIONAL MANAGEMENT - CONTINUED

## **FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS**

### A. Administrative Grievance Files (5 CFR 771)

Records relating to grievances raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

TEMPORARY; Destroy 4 years after case is closed.

### B. Adverse Action Files (5 CFR 752) and Performance-Based Actions (5 CFR 432)

Case files and records related to adverse actions and performance-based actions (removal, suspensions, reduction-in-grade, furlough) against employees. The files includes a copy of the proposed adverse action with supporting documents; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF.

TEMPORARY. Destroy 4 years after case is closed.

**FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS**

**PART II - CHIEF INFORMATION OFFICER**

1. **PUBLICATIONS AND CORRESPONDENCE TRACKING SYSTEM (PACTS)**

A system used to track requests for information or publications available from the Commission's Public Reference Room. (N1-138-98-12)

A. Input/Source Record.

Requests for information or publications.

1.) Correspondence.

Routine letters or faxed requests received by Public Reference Room staff.

TEMPORARY. Destroy when three months old.

2.) Electronic version of record received.

Electronic Mail or Internet requests received by Public Reference Room staff.

TEMPORARY. Destroy when record copy is generated.

3.) Government Printing Office Form 3430A, Order Form for U.S. Government Books.

Requests for publications submitted to Public Reference Room staff.

TEMPORARY; Cut off annually after fiscal year ends. Destroy when two years old.

B. Master Database.

Identifies control number, assignee, requester information, description of information or publication requested, status of action, method of payment (if applicable), and date of completion.

TEMPORARY; Purge annually. Maintain current and previous fiscal year's data.

C. Outputs.

**PART II - CHIEF INFORMATION OFFICER - CONTINUED**

## **FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS**

Reports identifying statistics on the number of requests received and completed by individuals, turn-around times for actions, monthly sales report to Government Printing Office.

1.) Monthly Sales Report to the Government Printing Office.

Identifies publications provided to the requesting public and methods of payment for each request.

TEMPORARY; Maintain current and previous fiscal year's reports.

2.) Status Reports.

Identifies open, canceled and/or completed actions of assignees.

TEMPORARY; Destroy when superseded or obsolete.

3.) Publications Inventory Report.

Identifies names and quantities of publications available in stock.

TEMPORARY; Delete when obsolete or superseded.

D. System Documentation.

Data system specifications, file specifications, record layouts, user guides, output specifications.

TEMPORARY; Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or database.

2. INFORMATION COLLECTIONS (IC DOCKETS) (N1-138-98-2)

Case file includes notices issued and comments received by the Commission on its information collection requirements prior to obtaining approval from the Office of Management and Budget as a result of the Paperwork Reduction Act, as expanded on October 1, 1995. The Act specifies that agencies are now required to plan for the development of new collections of information and the extension of existing collections of information far in advance of sending them for OMB

## **PART II - CHIEF INFORMATION OFFICER - CONTINUED**

**FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS**

approval and to develop greater public participation. Case file does not include notices or comments that are the subject of a proposed or final rule.

A. Recordkeeping Copy.

TEMPORARY; Destroy when three years old.

B. Other Copies.

TEMPORARY; Destroy when three years old or sooner if no longer needed.

C. Electronic version of record received by electronic mail or word processing applications.

TEMPORARY; Delete when file copy is generated.

3. **INFORMATION TECHNOLOGY SYSTEMS CASE FILES (N1-138-99-5)**

Documents related to the planning, coordinating, creation, testing, use and maintenance of computer systems. Also included may be records on system design, staffing and economic studies, enhancement project requests, impact studies, and documents relating to system security.

A. Recordkeeping Copy.

Maintained by the office responsible for the development of the system, case files may include finalized feasibility studies, approvals and justifications, functionality requirements, detailed systems documents, summary test results, impact studies, system security documents, and records relating to system maintenance.

TEMPORARY. Cut off at the end of the fiscal year in which the system was installed. Destroy 5 years after system is deleted or superseded.

B. Working Papers

Records maintained by the office requesting development of the system, including, but not limited to, documents relating to system requirements, security and maintenance, detailed test results, preliminary feasibility studies, milestone charts, action plans, and initial requests.

**PART II - CHIEF INFORMATION OFFICER - CONTINUED**

TEMPORARY; Cut off at the end of the fiscal year in which the system was installed. Destroy 2 years after cut off.

**FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS**

- C. Electronic versions of records created on or received by electronic mail or word processing applications.

TEMPORARY; Delete after recordkeeping copy has been generated.

- D. Other copies.

TEMPORARY; Delete or destroy when no longer needed for reference.

NOTE: This schedule does not include system documentation (i.e. specifications, codebooks, record layouts, user guides, etc.)

4. CUSTOMER SATISFACTION SURVEY (N1-138-98-16)

The Customer Satisfaction Survey measures the public's satisfaction of Public Reference Room and Records Maintenance Center services, information, equipment and staff. Files contain survey comments, recommendations for improvements, and various other data, all of which are collected by questionnaire, interview, mail, and/or sampling technique. A final report which captures all information contained in the survey is written and distributed to the public and staff.

- A. Survey/Questionnaire.

TEMPORARY; Destroy once final report is published and distributed.

- B. Electronic version of record received by electronic mail or word processing applications.

TEMPORARY; Delete when file copy is generated.

- C. Final Report.

TEMPORARY; Destroy when 5 years old.

5. FERC FORMS FILES (GRS 16, Item 3)

**PART II - CHIEF INFORMATION OFFICER - CONTINUED**

Record copy of each form created by FERC with related instructions and documentation showing inception, scope, and purpose of the forms.

- A. Recordkeeping copy.

**FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS**

TEMPORARY; Destroy 5 years after related form is discontinued, superseded, or canceled.

B. Background Materials.

Background materials, requisitions, specifications, processing data, and control records.

TEMPORARY; Destroy when related form is discontinued, superseded, or canceled.

C. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created 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.

1. 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.

2. 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.

**FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS**

**PART III - FINANCE, ACCOUNTING AND OPERATIONS**

1. **COMMUTER SUPPORT PROGRAM RECORDS (N1-138-99-6)**

A. Federal Employee Transportation Subsidy Records (GRS 9, Item 7)

Documents in either paper or electronic form relating to the disbursement of transportation subsidies to employees, including applications of employees no longer in the program, superseded applications, certification logs, vouchers, spreadsheets, and other forms used to document the disbursement of subsidies.

TEMPORARY; Destroy when 3 years old.

B. Transportation Subsidy Ineligible Files (GRS 9, Item 7)

Records include material on employees unable to participate in the transit subsidy program because criteria for approval is not satisfied.

TEMPORARY; Destroy when 3 years old.

C. Reporting Correspondence (GRS 9, Item 7)

Records include correspondence to Department of Treasury regarding lost/stolen subsidy checks, disbursement reporting requirements, and other miscellaneous records to allow for timely reimbursement of benefits.

TEMPORARY; Destroy when 3 years old.

D. Parking Applications and Support Files (N1-138-99-6)

Applications for use of parking facilities under the Commission's control; revisions/updates to applications, verifications, physician statements and discontinuation notices.

TEMPORARY; Destroy after subsequent open season.

E. Parking Violations Files (N1-138-99-6)

Records include files on employees not complying with guidelines as set forth in Commission Directive entitled "FERC Commuter Support Program."

**PART III - FINANCE, ACCOUNTING AND OPERATIONS - CONTINUED**

## **FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS**

TEMPORARY; Destroy when 1 year old unless violation results in a reprimand as outlined in FERC Administrative Directive "FERC Work Force Discipline Program" in which case the records shall be incorporated into the appropriate case file.

### F. Commuter Support Program Reviews/Audits (GRS-16, Item 14)

Case files include reviews and/or audits in support of managing and controlling the program.

TEMPORARY; Cut off closed files annually. Destroy after next review cycle.

### G. Automated Parking System (N1-138-99-6)

An internal database which tracks and monitors all parking permit applications for the Commission. It is used annually to rank applicants for and assign FERC parking spaces based on criteria in FERC AD 10-3B.

#### 1.) Input/source documents

Applications, revisions/updates to applications, recertifications and discontinuation notices.

TEMPORARY; Destroy after subsequent open season.

#### 2.) System Data

TEMPORARY; Delete after subsequent open season.

#### 3.) Outputs

Reports generated for reference purposes.

TEMPORARY; Delete or destroy when superseded or obsolete, not to exceed 1 year.

#### 4.) System Documentation

Data systems specifications, file specifications, codebooks, record layouts, user guides, operator's procedures, regardless of medium.

## **PART III - FINANCE, ACCOUNTING AND OPERATIONS - CONTINUED**

TEMPORARY; Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base.

## **FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS**

### H. Electronic Mail and Word Processing System Copies (N1-138-99-6)

Electronic copies of records that are created 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, revisions or dissemination.

- 1.) 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.

- 2.) 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.

## 2. DELEGATIONS OF AUTHORITY (N1-138-99-1)

### A. Delegation of Authority Records

Records administrative authorities that have been assigned to employees.

- 1.) Recordkeeping Copy (maintained by the Delegation of Authority Administrator).

TEMPORARY; Destroy or delete 3 years after revoked or revised, or position is vacated or eliminated.

- 2.) Electronic version of record received by electronic mail or word processing applications.

## PART III - FINANCE, ACCOUNTING AND OPERATIONS - CONTINUED

TEMPORARY; Delete when file copy is generated.

- 3.) Other copies.

**FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS**

TEMPORARY; Delete or destroy when no longer needed for reference.

B. Delegation of Authority System

Electronic database which provides identification of individuals delegated administrative authorities.

1.) Input/Source Document.

TEMPORARY; Destroy or delete 3 years after revoked or revised, or position is vacated or eliminated.

2.) Outputs.

Reports used to reference purposes.

TEMPORARY; Destroy when no longer needed for reference.

3.) Documentation.

Data systems specifications, file specifications, codebooks, record layouts, user guides, operator's procedures, regardless of medium.

TEMPORARY; Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base.

C. Temporary Delegations

Designations for one to act for another on a temporary basis, such as during leave or illness.

1.) Record copy. (Maintained by initiator)

TEMPORARY; Delete or destroy when superseded or obsolete.

**PART III - FINANCE, ACCOUNTING AND OPERATIONS - CONTINUED**

2.) Electronic version of record created by electronic mail or word processing applications.

TEMPORARY; Delete or destroy when superseded or obsolete.

3.) Other copies.

## FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS

TEMPORARY; Delete or destroy when no longer needed for reference.

### 3. COMMISSION DIRECTIVES (N1-138-91-3)

Documents the policies and procedures to carry out the mission and functions of the Commission for administrative operations.

PERMANENT; Cut off every two years. Transfer to the National Archives and Records Administration in 10 year blocks when oldest Directives are 20 years old. (For example, transfer Directives 1980-1990 in the year 2000).

### 4. OFFICIAL COMMISSION REPORTS (N1-138-91-5)

Contains the legal opinions, decisions, and orders of the FERC.

#### A. FPC Reports, 1931-1977, Volume 1-59.

PERMANENT; Transfer immediately to the National Archives and Records Administration.

#### B. FERC Reports

PERMANENT; Cut off annually. Transfer to the National Archives and Records Administration in 2-year blocks when records are 4 years old.

### 5. AUDIT FILES

#### A. AUDIT FILES - External (N1-138-88-2)

Audits of public utilities and licensees, natural gas companies and oil pipeline carriers. Contains cost studies work papers and licensed project accounting workpapers.

## PART III - FINANCE, ACCOUNTING AND OPERATIONS - CONTINUED

#### 1.) Report Record Copy.

TEMPORARY; Destroy when 20 years old.

#### 2.) Working Papers.

TEMPORARY; Destroy when no longer needed.

**FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS**

B. AUDIT FILES - Internal

*Reserved.*

6. REQUESTS FOR APPROVAL BY THE CHIEF ACCOUNTANT (AC Dockets) (N1-138-98-17)

Submitted by utilities subject to the jurisdiction of the Commission requesting approvals by the Chief Accountant. Files include accounting/journal entries such as permission to record extraordinary losses and related taxes; extension of time for submission of filings; records of retention or premature destructions of records in accordance with 18 CFR, parts 125 and 225, and Commission replies.

A. Record Copy.

TEMPORARY; Destroy when 20 years old.

B. Electronic version of record received by electronic mail or word processing applications.

TEMPORARY; Delete when file copy is generated.

C. Other Copies.

TEMPORARY; Destroy when no longer needed.

7. REQUESTS FOR COMMISSION APPROVAL OF CHANGES IN DEPRECIATION (DR Dockets) (N1-138-98-17)

**PART III - FINANCE, ACCOUNTING AND OPERATIONS - CONTINUED**

Petitions submitted by utilities subject to the jurisdiction of the Commission requesting changes in depreciation rates under Section 301 of the Federal Power Act, used for Accounting purposes only.

A. Record Copy.

TEMPORARY; Destroy when 20 years old.

**FERC RECORDS SCHEDULE VII - ADMINISTRATIVE PROGRAM RECORDS**

- B. Electronic version of record received by electronic mail or word processing applications.

TEMPORARY; Delete when file copy is generated.

- C. Other Copies.

TEMPORARY; Destroy when no longer needed.

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

FERC Records Schedule III - Docketed Formal Case Files

Part I - Electric Utilities

Subpart C - Licensed Projects, Surveys and Studies

Item 1	Licensed Hydropower Projects (all P and some EL Dockets)	A-5
Item 2	Headwater Benefits Matters (HB Dockets)	A-6

FERC Records Schedule III - Docketed Formal Case Files

Part II - Gas Producers and Utilities

Subpart A - Applications and Adjustments

Item 1	Independent Gas Producer Certificates (CI Dockets)	A-7
Item 2	Independent Small Gas Producer Certificates (CS Dockets)	A-7

FERC Records Schedule III - Docketed Formal Case Files

Part II - Gas Producers and Utilities

Subpart B - Rate Filings and Investigations; Collections

Item 1	Area Rate Investigations (AR Dockets)	A-8
Item 2	Area Rate Investigations (AR Dockets) Electronic Data	A-8
Item 3	Independent Producers' Gas Rates (RI Dockets)	A-9
Item 4	Sales and Transportation (Gas) (ST Dockets)	A-9
Item 5	Interim Collections	A-10
Item 6	Tight Formation Nominations	A-10

FERC Records Schedule III - Docketed Formal Case Files

Part II - Gas Producers and Utilities

Subpart C - Notices, Petitions, and Elections

Item 1	Windfall Profits Tax Elections	A-11
Item 2	Jurisdictional Agencies' Requests for Alternative Filing or Notice	Requirements

A-11

FERC Records Schedule III - Docketed Formal Case Files



**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

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Item 2	Annual Report of Gas Supply (Form 15 or Equivalent)	A-17
Item 3	Gas Supply and Requirement Report (Form 16 or Equivalent)	A-17
Item 4	Sales and Revenues Report Forms for Independent Producers (Form 301-A, 301-B, or Form 108 (Pts. 501 and 505))	A-18
Item 5	Report by Pipeline, Distributor, or Affiliate under Section 18 CFR 270.203(d)	A-18
FERC Records Schedule IV - Reports		
Part III - Annual, Semi-Annual, Biennial		
Subpart C - Oil		
Item 1	Application for Annual or Basic Valuation (FERC Form 42)	A-19
FERC Records Schedule IV - Reports		
Part IV - Variable and Non-Periodic		
Subpart B - Gas		
Item 1	Report of Certain Sales and Transportation of Natural Gas (18 CFR 157.45 - 157.52)	A-19
Item 2	Reports of Determination Process Filed by Jurisdictional Agencies	A-20
Item 3	Refund Reports	A-20
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FERC Records Schedule IV - Reports		
Part IV - Variable and Non-Periodic		
Subpart C - Oil		
Item 1	Statement of Property Changes Other-Than-Land and Right- of-Way Pipeline Carriers (Form ACV-1)	A-22
Item 2	Summary of Land and Rights-of-Way Property Changes, Pipeline Carriers (Form ACV-2)	A-22
Item 3	Summary of Changes in Original Cost and Total Original Cost at End of Period, Pipeline Carriers (Form ACV-3)	A-22
Item 4	Summary of Cost Reproduction New and Reproduction of New (Less Depreciation) Pipeline Carriers (Form ACV-4)	A-23
Item 5	Inventory of Property Other Than Land Rights-of-Way	

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

	(Form ACV-5)	A-23
Item 6	Inventory of Land and Rights-of-Way (Form ACV-6)	A-23
Item 7	Summary of Original Cost of Inventory (Form ACV-7)	A-24
Item 8	Cost Data for Equipment and Tanks (Form ACV-8)	A-24
Item 9	Cost Data for Pipeline Construction (Form ACV-9)	A-24

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

FERC Records Schedule V - Machine-Readable Records

Part II - Management Information Systems

Item 1	Regulatory Evaluation and Docketed Information System (READI)	A-25
Item 2	Time Distribution Reporting System (TDRS)	A-26
Item 3	Energy Data Validation System and Report (Dutch Blue Book)	A-27

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

FERC Records Schedule III - Docketed Formal Case Files

Part I - Electric Utilities

Subpart C - Licensed Projects, Surveys and Studies

- Item 1 Licensed Hydropower Projects (all P and some EL Dockets)
- Item 2 Headwater Benefits Matters (HB Dockets)

Item 1. LICENSED HYDROPOWER PROJECTS (N1-138-88-2) (All P and some EL Dockets)

Case files for the following types of filings: preliminary permits, licenses, amendments of permits and licenses, exemptions from licensing, surrenders and transfer of licenses, declaration of intention. Material filed includes applications, incoming and outgoing correspondence, internal memos and reports, cost statements and related papers. Licenses are granted for up to 50 years and may be renewed. Files include copies of formal documents issued and all items filed with the Secretary.

- a. Permanent Sample of Records. (2% of total volume of licensed hydropower project files)
  - (1) Select a 1% sample composed of complete licensed hydropower projects designated by FERC with the concurrence of NARA that meet one or more of the following criteria:
    - (a) established a precedent and therefore resulted in a major policy or procedural change;
    - (b) was involved in extensive litigation;
    - (c) received widespread attention from the news media;
    - (d) was widely recognized for its uniqueness by established authorities outside the Government;
    - (e) was reviewed at length in the agency's annual report to Congress.
  - (2) Compile a 1% sample by selecting complete project files for project files for project numbers 5, 105, 205, 305, 405, etc.

Permanent

- Offer to NARA in 5 year blocks when 10 years old.
- b. Other 98% Licensed Hydropower Project Files

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

- (1) Correspondence file (Public and Non-Public).
- (2) Vault copy of licenses.
- (3) Official exhibit drawings (tracings or microfilm).
- (4) All other filings and issuances.

Destroy 1 year after cancellation, supersession or rejection, or after a new hydro-power license has been issued or accepted.

c. Other Copies.

Destroy 1 year after cancellation, supersession or rejection, or after a new hydro-power license has been issued or accepted.

d. Preliminary Permits.

- (1) Record Copy.

Destroy 15 years from date of filing.

- (2) Other Copies.

Destroy when no longer needed.

Item 2. HEADWATER BENEFITS MATTERS (N1-138-88-2) (HB Dockets)

Case files include decisions, notices, orders, petitions, briefs, protests, comments, settlement orders, headwater benefits study data, and related correspondence.

a. Record Copy.

Destroy when 50 years old.

b. Other Copies.

Destroy when no longer needed.

**Reason for Removal from Schedule: Schedule rewritten.**

FERC Records Schedule III - Docketed Formal Case Files

Part II - Gas Producers and Utilities

Subpart A - Applications and Adjustments

- Item 1 Independent Gas Producer Certificates (CI Dockets)
- Item 2 Independent Small Gas Producer Certificates (CS Dockets)

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

1. INDEPENDENT GAS PRODUCER CERTIFICATES (N1-138-88-2) (CI Dockets)

Case files contain applications for certification of public convenience and necessity for abandonment; orders, notices, petitions and opinions related to case files, and correspondence and other related documents.

- a. Record Copy.

Destroy when 50 years old.

- b. Other Copies.

None exist.

**Reason for Removal from Schedule: Series discontinued as a result of the Natural Gas Policy Act of 1978 and the Natural Gas Wellhead Decontrol Act of 1989 removing all certificate and rate regulations for producers as of 1/1/93.**

2. INDEPENDENT SMALL GAS PRODUCER CERTIFICATES (N1-138-88-2) (CS Dockets)

Case files contain applications for certification of public convenience and necessity for abandonment; orders, notices, petitions and opinions related to case files, and correspondence and other related documents.

- a. Record Copy.

Destroy when 50 years old.

- b. Other Copies.

None exist.

**Reason for Removal from Schedule: Series discontinued as a result of the Natural Gas Policy Act of 1978 and the Natural Gas Wellhead Decontrol Act of 1989 removing all certificate and rate regulations for producers as of 1/1/93.**

FERC Records Schedule III - Docketed Formal Case Files  
Part II - Gas Producers and Utilities  
Subpart B - Rate Filings and Investigations; Collections

- Item 1            Area Rate Investigations (AR Dockets)

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

Item 2	Area Rate Investigations (AR Dockets) Electronic Data
Item 3	Independent Producers' Gas Rates (RI Dockets)
Item 4	Sales and Transportation (Gas) (ST Dockets)
Item 5	Interim Collections
Item 6	Tight Formation Nominations

1. AREA RATE INVESTIGATIONS (N1-138-88-2) (AR Dockets)

Area rate case files pertain to the sectioning of the continental U.S. into subdivisions to provide for uniform rate pricing procedures within each specific area. They include testimony, refund reports, information on tariffs and rate investigations, staff reports, and all notices, orders, petitions, requests, motions, hearing records (including exhibits, transcripts, and ALJ Documents), opinions, and filed correspondence. These cases involve a consideration of a large number of producer rate increases (RI) dockets.

a. Record Copy.

Destroy immediately.

b. Other Copies.

None Authorized.

**Reason for Removal from Schedule: AR Dockets no longer generated. Commission adopted national rates in 1974. NGPA established ceiling prices after 1978 and all sales have been deregulated by Wellhead Decontrol Act of 1989.**

2. AREA RATE INVESTIGATIONS (AR DOCKETS) ELECTRONIC DATA (N1-138-90-2)

Data relates to several docketed proceedings concerning natural gas uniform rate pricing procedures within defined geographic areas during the 1960's. Information pertaining to proceedings for the Southern Louisiana, Permian Basin, Texas Gulf Coast, and Hugoton-Anadarko areas is present. Data is on magnetic tape stored at the Washington National Records Center under accession 138-72A1323, boxes 1-60.

a. Electronic Data.

Temporary. Destroy Immediately.

3. INDEPENDENT PRODUCERS' GAS RATES (N1-138-88-2) (RI Dockets)

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

Case files contain documents prepared by the staff, corporate histories, plant accounts and related depreciation reserves, rate bases, balance sheets, income statements and natural gas reserved.

- a. Record Copy.

Destroy when 15 years old.

- b. Other Copies.

None exist.

**Reason for Removal from Schedule: Series discontinued as a result of the Natural Gas Policy Act of 1978 and the Natural Gas Wellhead Decontrol Act of 1989 removing all certificate and rate regulations for producers as of 1/1/93.**

4. SALES AND TRANSPORTATION (GAS) (N1-138-88-2) (ST Dockets)

Transportation and sale of gas; basically self-implementing transactions with no prior approval by FERC required. However, rate status approval must be obtained from the Commission.

Occasionally, requests are made for rate approval in advance. Because these dockets have rate proceedings implications, disposition values are similar to those assigned rate cases.

- a. Record Copy.

Destroy when 20 years old.

- b. Other Copies.

Destroy 5 years from date closed or sooner if no longer needed.

**Reason for Removal from Schedule: Series no longer generated as a result of Commission Order issued 9/25/95 in Docket No. RM95-4-000, which was effective 11/9/95.**

5. INTERIM COLLECTIONS (N1-138-88-2)

Interim and retroactive collections filings.

- a. Record Copy.

Destroy when 5 years old. Destroy immediately.

- b. Other Copies.

None required.

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

**Reason for Removal from Schedule: Natural Gas Policy Act of 1978 and Natural Gas Wellhead Decontrol Act of 1989 removed all certificate and rate regulations for producers as of 1/1/93.**

6. TIGHT FORMATION NOMINATIONS (N1-138-88-2)

Jurisdictional agencies' written recommendations nominating a tight formation.

a. Record Copy.

Destroy when 25 years old.

b. Other Copies.

None exist.

**Reason for Removal from Schedule: This series no longer generated as a result of the Wellhead Decontrol Act of 1989.**

FERC Records Schedule III - Docketed Formal Case Files  
Part II - Gas Producers and Utilities  
Subpart C - Notices, Petitions, and Elections

Item 1 Windfall Profits Tax Elections

Item 2 Jurisdictional Agencies' Requests for Alternative Filing or Notice Requirements

1. WINDFALL PROFITS TAX ELECTIONS (N1-138-88-2)

An election filed by natural gas producers to collect the incentive price under Section 107, NGPA in lieu of the tax credit. All files returned to companies as of April 1981.

a. Record Copy.  
Destroy immediately.

b. Other Copies.

None exist.

**Reason for Removal from Schedule: One-time requirement. All copies returned to companies in 1981. Resulted in change in Tax Credit Act.**

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

2. **JURISDICTIONAL AGENCIES' REQUESTS FOR ALTERNATIVE FILING OR  
NOTICE REQUIREMENTS (N1-138-88-2)**

Requests submitted by jurisdictional agencies for alternative filing or notice requirements under the NGPA.

a. Record Copy.

Destroy immediately.

b. Other Copies.

None exist.

**Reason for Removal from Schedule: Series no longer generated as a result of the Natural Gas Wellhead Decontrol Act repealing determination procedures as of 1/1/93.**

FERC Records Schedule III - Docketed Formal Case Files

Part II - Gas Producers and Utilities

Subpart D - General Dockets, Discontinued Dockets; and Company Correspondence

Item 1 CI, CS, and RI (formerly G (Gas) Dockets

1. **CI, CS and RI Dockets (Formerly G (Gas) Dockets); G (Gas) now CI, CS, RI, CP and RP  
(N1-138-88-2)**

Case files include (a) applications for certificates of public convenience and necessity, exemption, export, or import, (b) rate investigation papers including staff working papers dealing with the property and balance sheet accounts; with copies of formal documents issued, and all notices, orders, petitions, request, motions, hearing records, (including exhibits, transcripts, and ALJ documents) opinions and filed correspondence.

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

- a. Record Copy.

Destroy when 50 years old.

- b. Other Copies.

None exist.

**Reason for Removal from Schedule: Series no longer generated as a result of the Natural Gas Policy Act of 1978 and the Natural Gas Wellhead Decontrol Act of 1989. CP and RP Docket prefixes covered elsewhere in this schedule.**

FERC Records Schedule III - Docketed Formal Case Files  
Part III - Oil Producers and Pipelines  
Subpart A - Applications and Adjustments

Item 1 Special Permission Applications (SP Dockets)

1. SPECIAL PERMISSION APPLICATIONS (N1-138-88-2) (SP Dockets)

Case files include special permission applications or other permissible waivers of rules regarding tariff schedules under Section 6(3) of ICA (Interstate Commerce Act: 49 USC 6(3), Oil Pipeline Tariffs).

- a. Record Copy.

Destroy immediately. (Original disposition was to destroy when 5 years old.)

- b. Other Copies.

Destroy when no longer needed.

**Reason for Removal from Schedule: The record copy was maintained in the program office. Series no longer generated as a result of Order No. 561 effective 12/6/93. All records should be destroyed.**

FERC Records Schedule III - Docketed Formal Case Files  
Part III - Oil Producers and Pipelines  
Subpart B - Rate Filings and Investigations; Collections

Item 1 Oil Pipeline Valuation (PV Dockets)

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

Item 2           Records Accumulated by Interstate Commerce Commission in the  
Valuation of Pipelines, CA 1934-1960

1.       OIL PIPELINE VALUATION (N1-138-88-2) (PV Dockets)

Case files pertain to the annual valuation of oil pipelines. Included is information on the corporate structure of the company, a description of the property, and value determinations for rate making purposes.

a.       Record Copy.

Destroy after litigation completed.

b.       Other Copies.

None exist.

**Reason for Removal from Schedule: Series no longer generated as a result of Order 561. Effective date of order was 12/6/93.**

2.       RECORDS ACCUMULATED BY INTERSTATE COMMERCE COMMISSION IN  
THE VALUATION OF PIPELINES, CA., 1934-1960 (N1-138-91-1)

Files include pipeline inventories, property changes, maps, drawings, cost data and depreciation studies, field notes, and other working papers used in establishing pipeline valuations.

a.       Record Copy.

Destroy immediately.

FERC Records Schedule IV - Reports  
Part I - Monthly, Semi-Monthly  
Subpart B - Gas

Item 1           Report of Gas Stored Underground (Form 8 or Equivalent)

1.       REPORT OF GAS STORED UNDERGROUND (N1-138-88-2) (FORM 8 OR  
EQUIVALENT)

Semi-monthly report in winter and monthly report in spring and summer, required of all interstate pipeline companies which own, lease or operate underground storage facilities. Information includes total gas volume in storage at the beginning of each reporting period, estimating injections, withdrawals, and balance for the period covered.

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

- a. Record Copy.

Destroy when 10 years old.

- b. Other Copies.

Destroy when no longer needed.

**Reason for Removal from Schedule: Series no longer generated as of 1/1/96, resulting from Order 581.**

FERC Records Schedule IV - Reports  
Part II - Quarterly  
Subpart A - Gas

Item 1            Alternative Fuel Demand to Natural Gas Curtailment (Form 50)

- 1. ALTERNATIVE FUEL DEMAND TO NATURAL GAS CURTAILMENT (N1-138-88-2) (FORM 50 OR EQUIVALENT)

Report filed annually by interstate and intrastate pipelines, municipalities and other suppliers of natural gas including supplemental gaseous fuels on the alternative fuel demands of their direct customers; report contains the following information: gaseous fuel supply by supplier and type of fuel, deliveries to end customers by type of service and by category and data on curtailments and alternative fuels.

- a. Record Copy.

Destroy Immediately. (Original disposition was to destroy when 10 years old.)

- b. Other Copies.

Destroy when no longer needed.

**Reason for Removal from Schedule: Series discontinued on 9/30/85.**

FERC Records Schedule IV - Reports  
Part II - Quarterly  
Subpart B - Oil

Item 1            Quarterly Report of Pipeline Companies (Form ICC-QPS)

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

1. QUARTERLY REPORT OF PIPELINE COMPANIES (N1-138-88-2) (FORM ICC-QPS)

Used in oil pipeline tariffs.

- a. Record Copy.

Destroy immediately. (Original disposition was to destroy when 10 years old.)

- b. Other Copies.

Destroy when no longer needed.

**Reason for Removal from Schedule: Discontinued 5/6/82 - 47 Fed. Reg. 16317.**

FERC Records Schedule IV - Reports  
Part III - Annual, Semi-Annual, Biennial  
Subpart B - Gas

- |        |   |
|--------|---|
| Item 1 | Annual Report for Importers and Exporters of Natural Gas (Form 14 or Equivalent)                              |
| Item 2 | Annual Report of Gas Supply (Form 15 or Equivalent)   |
| Item 3 | Gas Supply and Requirement Report (Form 16 or Equivalent)   |
| Item 4 | Sales and Revenues Report Forms for Independent Producers (Form 301-A, 301-B, or Form 108 (Pts. 501 and 505)) |
| Item 5 | Report by Pipeline, Distributor, or Affiliate under Section 18 CFR 270.203(d)                                 |

1. ANNUAL REPORT FOR IMPORTERS & EXPORTERS OF NATURAL GAS (N1-138-88-2) (FORM 14 OR EQUIVALENT)

Report submitted by importers and exporters of gaseous and liquefied natural gas containing the name of any foreign purchaser or seller; other transporters, if any; or exit; monthly quantities in thousands of cubic feet and Btu; U.S. dollars paid or received for the quantities reported; and annual weighted average Btu content & price.

- a. Record Copy.

Destroy 20 years after date of report.

- b. Other Copies.

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

Destroy when no longer needed.

**Reason for Removal from Schedule: Discontinued effective 9/28/95 as a result of FERC Order 581.**

2. ANNUAL REPORT OF GAS SUPPLY (N1-138-88-2) (FORM 15 OR EQUIVALENT)

Report submitted by jurisdictional natural gas companies, includes information on gas procurement programs, reserves, purchase of gas from other companies and/or foreign supplies, and deliverability data.

a. Record Copy.

Destroy 20 years after date of filing.

b. Other Copies.

Destroy when no longer needed.

**Reason for Removal from Schedule: Discontinued as a result of FERC Order 554, issued 7/13/93.**

3. GAS SUPPLY & REQUIREMENT REPORT (N1-138-88-2) (FORM 16 OR EQUIVALENT)

Semiannual report by natural gas pipeline companies making sales of natural gas in interstate commerce for resale and on their gas supplies and requirements. It includes actual supply requirements data on a monthly basis for previous years and projected data for one year.

a. Record Copy.

Destroy 20 years after date of filing.

b. Other Copies.

Destroy when no longer needed.

**Reason for Removal from Schedule: Discontinued as a result of FERC Order 554, issued 7/13/93.**

4. SALES AND REVENUES REPORT FORMS FOR INDEPENDENT PROCEDURES (N1-138-88-2) (FORM 301-A, 301-B, OR FORM 108 (PTS. 501 AND 505))

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

These reports show detail and summary data by rate schedule including: summary sales volumes and revenue data for jurisdictional sales; any other parties whose interest is being sold under a rate schedule issued in the name of the filing party; the annual sales volume attributable to each such party; the amount of any revenues collected by any party subject to refund; and projected deliveries for the next year.

a. Record Copy.

Destroy immediately.

b. Other Copies.

None required.

**Reason for Removal from Schedule: Suspended by Order issued 5/5/80.**

5. REPORT BY PIPELINE, DISTRIBUTOR OR AFFILIATE UNDER SECTION 18 CFR 270.203(D) (N1-138-88-2)

Semiannual report submitted by gas pipeline, distributor or affiliate on purchase activity which does not qualify as a "first sale" under the NGPA.

a. Record Copy.

Destroy 10 years after date of filing.

b. Other Copies.

Destroy when no longer needed.

**Reason for Removal from Schedule: Discontinued as a result of revisions in regulations 7/28/94.**

FERC Records Schedule IV - Reports  
Part III - Annual, Semi-Annual, Biennial  
Subpart C - Oil

Item 1 Application for Annual or Basic Valuation (FERC Form 42)

1. APPLICATION FOR ANNUAL OR BASIC VALUATION (N1-138-88-2) (FERC FORM 42)

Used in oil pipeline rate regulation.

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

- a. Record Copy.

Destroy immediately. (Original disposition was to destroy 2 years after date of application.)

- b. Other Copies.

Destroy when no longer needed.

**Reason for Removal from Schedule: Discontinued as a result of Commission Decision in Williams Pipeline Case, 6/28/86.**

FERC Records Schedule IV - Reports  
Part IV - Variable and Non-Periodic  
Subpart B - Gas

- |        |  |
|--------|--|
| Item 1 | Report of Certain Sales and Transportation of Natural Gas (18 CFR 157.45 - 157.52) |
| Item 2 | Reports of Determination Process Filed by Jurisdictional Agencies                  |
| Item 3 | Refund Reports   |
| Item 4 | Reports for Sales Under Sections 105, 106(b) and 109 of the NGPA                   |

1. REPORT OF CERTAIN SALES & TRANSPORTATION OF NATURAL GAS (N1-138-88-2) (18 C.F.R. 157.45 - 157.52)

Report by an interstate pipeline selling or transporting emergency natural gas up to and including 60 days. Report due within 48 hours of commencement of deliveries, and within 30 days after the end of each calendar quarter in which an interstate pipeline engages in any transaction for emergency gas.

- a. Record Copy.

Destroy immediately. (Original disposition was to destroy 10 years after date of filing.)

- b. Other Copies.

Destroy when 5 years old or sooner if no longer needed.

**Reason for Removal from Schedule: Removed from Commission regulations (51FR9179) dated 3/18/86, effective 4/7/86.**

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

2. **REPORTS OF DETERMINATION PROCESS FILED BY JURISDICTIONAL  
AGENCIES (N1-138-88-2)**

Reports submitted by States showing their procedures for making determinations under NGPA.

a. Record Copy.

Destroy immediately. (Original disposition was to destroy when no longer needed.)

b. Other Copies.

None exist.

**Reason for Removal from Records Schedule: Series no longer generated resulting from the Natural Gas Wellhead Decontrol Act repealing determination procedures as of 1/1/93.**

3. **REFUND REPORTS (N1-138-88-2)**

Periodic reports by natural gas producers on refunds made to purchasers.

a. Record Copy.

Destroy 20 years after date of filing.

b. Other Copies.

None exist.

**Reason for Removal from Schedule: Series no longer generated as a result of the Natural Gas Wellhead Decontrol Act of 1989.**

4. **REPORTS FOR SALES UNDER SECTIONS 105, 106(B), AND 109 OF THE NGPA  
(N1-138-88-2)**

Initial report by natural gas producers, with annual update, of intrastate sales. Requirement for annual update has been suspended.

a. Record Copy.

Destroy immediately. (Original disposition was to destroy 15 years after date of filing.)

b. Other Copies.

None exist.

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

**Reason for Removal from Schedule: Discontinued in 1981.**

FERC Records Schedule IV - Reports  
Part IV - Variable and Non-Periodic  
Subpart C - Oil

- |        |  |
|--------|--|
| Item 1 | Statement of Property Changes Other-Than-Land and Rights-of-Way Pipeline Carriers (Form ACV-1)               |
| Item 2 | Summary of Land and Rights-of-Way Property Changes, Pipeline Carriers (Form ACV-2)                           |
| Item 3 | Summary of Changes in Original Cost and Total Original Cost at End of Period, Pipeline Carriers (Form ACV-3) |
| Item 4 | Summary of Cost Reproduction New and Reproduction of New (Less Depreciation) Pipeline Carriers (Form ACV-4)  |
| Item 5 | Inventory of Property Other Than Land Rights-of-Way (Form ACV-5)   |
| Item 6 | Inventory of Land and Rights-of-Way (Form ACV-6)   |
| Item 7 | Summary of Original Cost of Inventory (Form ACV-7)   |
| Item 8 | Cost Data for Equipment and Tanks (Form ACV-8)   |
| Item 9 | Cost Data for Pipeline Construction (Form ACV-9)   |

1. STATEMENT OF PROPERTY CHANGES OTHER-THAN-LAND & RIGHT-OF-WAY PIPELINE CARRIERS (N1-138-88-2) (FORM ACV-1)

Used in oil pipeline valuations (49 C.F.R. Section 1224.8)

a. Record Copy.

Destroy immediately. (Original disposition was to destroy when no longer needed.)

b. Other Copies.

None authorized.

**Reason for Removal from Records Schedule: Opinion 154-B negated the use of this form. Ref. Sect. 19(a) of ICA Regulation re: Basic Valuations.**

2. SUMMARY OF LAND & RIGHT-OF-WAY PROPERTY CHANGES, PIPELINE CARRIERS (N1-138-88-2) (FORM ACV-2)

Used in oil pipeline valuation.

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

- a. Record Copy.

Destroy immediately. (Original disposition was to destroy when no longer needed.)

- b. Other Copies.

None authorized.

**Reason for Removal from Schedule: Opinion 154-B negated the use of this form. Ref. Sect. 19(a) of ICA Regulation re: Basic Valuations.**

3. SUMMARY OF CHANGES IN ORIGINAL COST & TOTAL ORIGINAL COST AT END OF PERIOD, PIPELINE CARRIERS (N1-138-88-2) (FORM ACV-3)

Used in oil pipeline valuation.

- a. Record Copy.

Destroy immediately. (Original disposition was to destroy when no longer needed.)

**Reason for Removal from Schedule: Opinion 154-B negated the use of this form. Ref. Sect. 19(a) of ICA regulation re: Basic Valuations.**

4. SUMMARY OF COST REPRODUCTION NEW & REPRODUCTION OF NEW (LESS DEPRECIATION): PIPELINE CARRIERS (N1-138-88-2) (FORM ACV-4)

Used in oil pipeline valuation.

- a. Record Copy.

Destroy immediately. (Original disposition was to destroy when no longer needed.)

- b. Other Copies.

None authorized.

**Reason for Removal from Schedule: Opinion 154-B negated the use of this form. Ref. Sect. 19(a) of ICA regulation re: Basic Valuations.**

5. INVENTORY OF PROPERTY OTHER THAN LAND RIGHTS-OF-WAY (N1-138-88-2) (FORM ACV-5)

Used in oil pipeline valuation.

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
OR COLLECTED, and OBSOLETE AUTHORITIES**

- a. Record Copy.

Destroy immediately. (Original disposition was to destroy when no longer needed.)

- b. Other Copies.

None authorized.

**Reason for Removal from Schedule: Opinion 154-B negated the use of this form. Ref. Sect. 19(a) of ICA regulation re: Basic Valuations.**

6. INVENTORY OF LAND & RIGHTS-OF-WAY (N1-138-88-2) (FORM ACV-6)

Used in oil pipeline valuation.

- a. Record Copy.

Destroy immediately. (Original disposition was to destroy when no longer needed.)

- b. Other Copies.

None authorized.

**Reason for Removal from Schedule: Opinion 154-B negated the use of this form. Ref. Sect. 19(a) of ICA Regulations re: Basic Valuations.**

7. SUMMARY OF ORIGINAL COST OF INVENTORY (N1-138-88-2) (FORM ACV-7)

Used in oil pipeline valuation.

- a. Record Copy.

Destroy immediately. (Original disposition was to destroy when no longer needed.)

- b. Other Copies.

None authorized.

**Reason for Removal from Schedule: Opinion 154-B negated the use of this form. Ref. Sect. 19(a) of ICA Regulations re: Basic Valuations.**

8. COST DATA FOR EQUIPMENT AND TANKS (N1-138-88-2) (FORM ACV-8)

Used in oil pipeline valuation.

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED OR COLLECTED, and OBSOLETE AUTHORITIES**

a. Record Copy.

Destroy immediately. (Original disposition was to destroy when no longer needed.)

b. Other Copies.

None authorized.

**Reason for Removal from Schedule: Opinion 154-B negated the use of this form. Ref. Sect. 19(a) of ICA Regulations re: Basic Valuations.**

9. COST DATA FOR PIPELINE CONSTRUCTION (N1-138-88-2) (FORM ACV-9)

Used in oil pipeline valuation.

a. Record Copy.

Destroy immediately. (Original disposition was to destroy when no longer needed.)

b. Other Copies.

None authorized.

**Reason for Removal from Schedule: Opinion 154-B negated the use of this form. Ref. Sect. 19(a) of ICA Regulation re: Basic Valuation.**

FERC Records Schedule V - Machine-Readable Records  
Part I - Administrative ADP Systems

Item 1 Regulatory Evaluation and Docketed Information System (READI)

Item 2 Time Distribution Reporting System (TDRS)

Item 3 Energy Data Validation System and Report (Dutch Blue Book)

1. REGULATORY EVALUATION AND DOCKETED INFORMATION SYSTEM (READI) (N1-138-88-2)

READI was the Commission case tracking system. It provided workload counts of cases received, completed, and pending by product category and was used to manage casework and to prepare and present the FERC budget. A subsystem of READI forecasted the Commission agenda and was used to prioritize cases requiring Commission consideration. READI data was published monthly in the Management Information Systems Report (Red Book).

**APPENDIX - LIST OF AUTHORITIES FOR RECORDS NO LONGER GENERATED  
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READI II was an interactive (through CRT terminals) case tracking system containing information which identified and described each docket being processed by FERC. The system's capabilities included creating docket records, updating the data base, querying in data base and requesting reports.

READI contained three types of data: (1) milestones descriptions and target and completion dates of significant events through which each case was processed, (2) administrative data identifying and describing each case, such as docket number, applicant, product category, Commission personnel assigned to the case, related dockets, and narrative information, and (3) technical data related to specific types of cases, such as installed capacity in horsepower, height of dam, project name, and license effective and expiration dates for hydroelectric applications; rate requested, granted, and suspended for electric rate cases; and pipeline diameter and length for gas pipeline applications. The data base was a VSAM file containing approximately 50,000 records of 4,000 characters each. Associated files contain system tables, authorities of users to update screens and records, and program documentation.

A. Input Forms.

TEMPORARY; Destroy when information has been entered into electronic database.

B. Output Reports.

TEMPORARY; Destroy when no longer needed.

C. System Documentation

TEMPORARY; Destroy when no longer needed.

D. Electronic Database.

TEMPORARY; Update information as necessary. Purge when no longer needed.

**Reason for Removal from Schedule: System Obsolete.**

2. **TIME DISTRIBUTION REPORTING SYSTEM (TDRS) (N1-138-88-2)**

TDRS will record all hours worked by all Commission personnel by product identifier. The identifiers are composed of budget decision unit, product category, task and docket number (in selected areas). All workload, including administrative overhead, will be recorded on a bimonthly basis.

TDRS will be used to manage staff time, to formulate and justify budget requests, and to justify and evaluate present and proposed annual charges and fees. Workhours expended can be compared with receipts and completions since the same users of TDRS are Commission

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management. TDRS is implemented in three Commission offices, with full implementation in other offices on a phased schedule.

TDRS contains workhours by product identifier and by organization to the section level. Associated tables, some of which are shared by READI, contains valid project identifiers and descriptions, valid organization codes and descriptions, and identifiers of all employees who must report during each reporting period. Employee data is maintained for one quarter of a fiscal year, so that corrections and missing data can be applied; it is then summarized to the organization and product identifier level. TDRS uses sequential files. The employee record for each unique product and organization identifier; it is anticipated that records of 150 characters each will be maintained each year.

A. Input Forms.

TEMPORARY; Destroy when information has been entered into the electronic database.

B. Output Reports.

TEMPORARY; Destroy when no longer needed.

C. System Documentation.

TEMPORARY; Destroy when no longer needed.

D. Electronic Database.

TEMPORARY; Update information as necessary. Purge when no longer needed.

**Reason for Removal from Schedule: System Obsolete.**

3. **ENERGY DATA VALIDATION SYSTEM AND REPORT (DUTCH BLUE BOOK)**  
(N1-138-88-2)

This system monitors the status of the energy data validation program and the OMB and GSA Clearance and Review process. The validation program involves a periodic review of each information collection from industry, state, local, and Federal entity, and includes all public use forms, applications, records retention, and other reporting requirements. It is an internal FERC program with the objective of reducing industry burden by only collecting information with proven decision producing use. The OMB and GSA clearance and review process requires that each data collection be periodically reviewed by OMB and/or GSA under a cycle of OMB assigned expiration dates. One product of the Energy Data Validation System is a quarterly publication referred to as the Energy Data Validation Report Dutch Blue Book.

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The sponsor and primary user of this system is the Division of Information Policy and Review/Office of Information Resources Management.

This system contains one record for each present or former data collection system and includes all public use forms, each type of application or filing required by the Commission and other reporting or records retention requirements. Each justification, OMB and/or GSA clearance number, and expiration date, responsible FERC staff, number of respondents and annual burden hours, and milestones descriptions, target and completion dates.

A. Input Forms.

TEMPORARY; Destroy when information has been entered into electronic database.

B. Output Reports.

TEMPORARY; Destroy when no longer needed.

C. System Documentation.

TEMPORARY; Destroy when no longer needed.

D. Electronic Database.

TEMPORARY; Update information as necessary. Purge when no longer needed.

**Reason for Removal from Schedule: System Obsolete.**

**TRANSFER OF ELECTRONIC RECORDS**  
**(from 36 CFR 1228.270 -- formerly 36 CFR 1228.188)**

Transfer media

1. Magnetic tape

Agencies may transfer electronic records to the National Archives on magnetic tape using either open-reel magnetic tape or tape cartridges. Open-reel tape should be on one-half inch 9-track tape reels recorded at 1600 or 6250 bytes per inch and blocked no higher than 32,760 bytes per block. Tape cartridges should be 18-track 3480-class cartridges recorded at 37,871 bpi and blocked at no more than 32,760 bytes per block.

2. Compact-Disk, Read Only Memory (CD-ROM)

CD-ROMs may be used as transfer media for fielded data files or text files if they: conform to the International Standards Organization (ISO) 9660 standard and to the American Standard Code for Information Interchange (ASCII); are not compressed unless NARA has approved the transfer of the compressed form in advance; and are individually addressable. The CD-ROMs may contain software files and temporary records, but permanent records must be in files that contain only permanent records.

Formats

Records shall be in a format that is not dependent on specific hardware or software, written in ASCII or EBCDIC with all extraneous control characters removed (except record length indicators for variable length records, marks delimiting a data element, field, record or file, or Standard Generalized Markup Language tags). Records should not be compressed unless NARA has approved the transfer in the compressed form in advance.

Data files and databases shall be transferred as flat files or as rectangular tables, that is, as two-dimensional arrays, lists or tables. All records in a database or tuples in a relational database should have the same logical format. Each data element within a record should contain only one data value. A record should not contain nested repeating groups of data items.

Documentation in electronic format shall be transferred as separate files, and the transfer format standards for electronic records apply also to files that contain documentation.