



Department of Education and Early Development
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STATE OF ALASKA

Records Retention and Disposition Schedule

Agency I.D: 419 Schedule No: 18-419.2

DEPARTMENT OF ENVIRONMENTAL CONSERVATION
 DIVISION OF SPILL PREVENTION AND RESPONSE
 419 - INDUSTRY PREPAREDNESS PROGRAM

The agency will follow retention periods for common records as listed in the most current State of Alaska General Administrative Records Retention and Disposition Schedule (GARRDS), unless those records have been listed on this schedule.

The department may maintain the confidentiality of a manufacturer's proprietary technical information unless the manufacturer authorizes its release or unless a court orders its release (AS 46.04.025). This schedule supersedes #18-419.1.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible permanent retention in the State Archives in accordance with AS 40.21.030.

Under 4 AAC 59.005, it is the responsibility of agencies to ensure that records created and maintained in electronic systems remain accessible and durable for their prescribed retention period. This requires addressing the issues of periodic media refreshment, digital migration strategies and security plans. Backups produced for system recovery purposes do not serve a recordkeeping function or substitute for archived business essential duplicates.

Pursuant to the provisions of AS 40.21 and 4 AAC 59, the records listed on this schedule are approved for retention and disposition as indicated.

Division Director	Signature of Division Director		Date
Larry Dietrick			2/1/2013
Attorney General/Designee	Date	Commissioner of Administration/Designee	Date
	5/23/13	FOR	4/1/2013
State Archivist	Date	Records Analyst	Date
	4/8/13		4/8/2013

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p>001.1 - Industry and Nontank Vessel Equivalent Contingency Plans (Plans) & Backup Records series includes plan review information, plan/amendment approval documents, reference material and documentation of oil industry plans for terminals and distributors of crude and refined oil products, marine tank vessels and barges that transport crude and refined oil products, and oil pipelines and onshore/offshore oil exploration and production facilities. This series includes nontank vessel equivalent plans, department determinations and correspondence.</p> <p>At least one plan cycle of expired versions of the plan will be kept with the record. A plan cycle is the five-year approval period.</p> <p>Records filed according to the Industry Preparedness Program file plan.</p>	H & E	C+10	Y	<p>C = Until plan is superseded or business need is concluded.</p> <p>An "oil discharge prevention & contingency plan" (plan) is a plan as required under 18 AAC 75.425 or 18 AAC 75.427.</p> <p>A plan must be submitted for renewal every five years (AS 46.04.030(d)).</p> <p>Refer to item #005.1 if compliance action or #005.2 if enforcement action.</p>
<p>001.2 - Industry Contingency Plans (Plans) & Backup (Inspections, Exercises, and Discharge Reports/Investigations) Inspections and Exercises: Record series includes reference material and documentation with respect to plan holder and primary response action contractor (PRAC) inspections and exercises to verify plan holder compliance with a plan. Record includes PRAC technical manuals and cooperative memorandums of understanding/agreements. Inspections are conducted in accordance with 18 AAC 75.480 and exercises are conducted in accordance with 18 AAC 75.485.</p> <p>Discharge Reports/Investigations: Record series includes reference material and documentation with respect to any discharge from a facility, operation, or vessel in violations of AS 46.03.740 or 46.03.750.</p> <p>Records filed according to the Industry Preparedness Program file plan.</p>	H & E	C+10*	Y	<p>* = Staff may retain longer for administrative need.</p> <p>Discharge reports are recorded in response to a notification by a person that a discharge has occurred. SPAR's Prevention and Emergency Response Program (PERP) maintains a database of discharges. Discharges may or may not be from a regulated facility.</p> <p>Investigations of discharges from regulated facilities may involve IPP.</p> <p>Refer to item #005.1 if compliance action or #005.2 if enforcement action.</p>

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

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<p>A = Until Audit PO = Permanent (Retain in agency office) C = Cut-off event/date S = Until Scanned CY = Current Year T = Transfer CFY = Current Fiscal Year TO = Term of Office PA = Permanent (Transfer to State Archives)</p>	<p>H = Hardcopy E = Electronic D = Database M = Microform</p>	<p>1. Are necessary for emergency response 2. Are necessary to resume or continue operations</p>

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<p>002 - IPP Special Projects Record series includes special projects of the IPP which is tasked with the responsibility to protect public safety, public health and the environment by ensuring that producers, transporters and distributors of crude oil and refined oil products prevent oil spills, and are fully prepared materially and financially to clean up spills.</p>	H & E	PA	Y	
<p>003 - Primary Response Action Contractor (PRAC) Registration Record series includes PRAC applications for registration, application attachments (as required under 18 AAC 75.530), approval and correspondence documents and minimum registration standards year-end report submittals. Arranged alphabetically by PRAC company name.</p>	H & E	C+5	Y	<p>C = Until registration is revoked, terminated, or expires. Refer to item #012 for nontank vessel registered contractor files.</p>
<p>004.1 - Proof of Financial Responsibility (Excluding nontank vessels) Record series documents proof of a responsible party's ability to respond to claims resulting from an oil discharge. Financial responsibility will be demonstrated in accordance with AS 46.04.040; AS 46.04.047; and AS 46.04.055 (excluding nontank vessels). Includes correspondence, application and checklist, evidence of financial responsibility and approvals. Records filed according to the Industry Preparedness Program file plan.</p>	H & E	C+10	Y	<p>C = Until financial responsibility file is closed permanently and business need is concluded. Refer to item #005.1 if compliance action or #005.2 if enforcement action. Nontank vessels are included in item number #004.2.</p>
<p>004.2 - Proof of Financial Responsibility (Nontank Vessels) Record series documents proof of responsible party's ability to respond to claims resulting from an oil discharge. Financial responsibility will be demonstrated in accordance with AS 46.04.055. Includes correspondence, application & checklist, evidence of financial responsibility and approvals. Records filed according to the Industry Preparedness Program file plan.</p>	H & E	C+3	Y	<p>C = Until expired, superseded or business need is concluded. Refer to item #005.1 if compliance action or #005.2 if enforcement action.</p>

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<p>005.1 - Compliance Assistance Actions Record series includes reference material and documentation regarding compliance assistance and enforcement issues.</p> <p>Records filed according to the Industry Preparedness Program file plan.</p>	H & E	C	Y	<p>C = Until associated record series file is destroyed.</p> <p>Refer to item #005.2 if enforcement action.</p>
<p>005.2 - Enforcement Actions Record series is a database. All Department of Environmental Conservation (DEC) enforcement actions (administrative, civil, or criminal) will be logged and tracked in the Compliance Automated Tracking System (CATS) database.</p> <p>Actions entered into CATS will be assigned an enforcement tracking number.</p>	D	PO	Y	<p>Each division is responsible for logging and tracking their administrative and civil enforcement actions in the CATS database.</p> <p>In order to use CATS you must request access from the Environmental Crimes Unit (ECU).</p> <p>DEC's Enforcement Manual is the enforcement guide for all DEC staff.</p>
<p>006 - Nontank Vessel Financial Responsibility Database Records series is a database containing information regarding regulated nontank vessels and railroad tank cars. Data includes applicant contact information, vessel particulars, and proof of financial responsibility details. Information is provided by applicant or agent working on their behalf.</p> <p>Some outputs from this system include financial responsibility certificates, letters to applicants, quarterly reports, and web listing of current certificate holders.</p>	D	PO	Y	

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<p>007 - Financial Responsibility Database Records series is a database containing information regarding regulated oil terminals, pipelines, offshore facilities, exploration and production facilities, refineries, tank vessels, and oil barges. Data includes applicant contact information, vessel particulars, and proof of financial responsibility details. Information is provided by applicant or agent working on their behalf.</p> <p>Some outputs from this system include financial responsibility certificates, letters to applicants, and web listing of current certificate holders.</p>	D	PO	Y	
<p>008 - UST Database Records series is a database containing information regarding the Underground Storage Tanks (UST's) and Leaking Underground Storage Tank (LUST) facilities. Data includes facility contact information, facility particulars, compliance information, details regarding: responsibility, and details regarding proof of financial responsibility, UST's and LUST facilities. Information is provided by facility owner or operator, third party inspectors along with department staff and other regulators.</p>	D	PO	Y	
<p>009 - IPP Database Records series is a database containing information regarding plans for regulated oil facilities such as refineries, terminals, pipelines, exploration and production facilities, tankers, and barges. Data includes contact information, plan review, approval, and expiration data, facility details, tank inspection history, inspection and drill histories, spill histories, compliance action summaries, and response action contractor information. Information is provided by applicants, third-party inspectors, and department staff.</p>	D	PO	Y	
<p>010 - Nontank Vessel Database Record series is a database. Database contains nontank vessel streamlined plan application data. Data includes plan holder, vessel, contractor and plan status information.</p>	D	PO	Y	Database will include other department determinations regarding nontank vessels regulatory status and exemptions.

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<p>011.1 - Nontank Vessel Streamlined Plans & Backup Record series includes reference material and documents for nontank vessel streamlined plans. Information may include: streamlined plan applications, vessel diagrams, plan approval, vessel inspection & exercises, discharge reports/investigations, and compliance/enforcement documentation.</p> <p>A plan must be submitted for renewal every five years (AS 46.04.030(d)).</p>	H & E	C+1	Y	C = Until nontank vessel streamlined plan is superseded, terminated or expired. Refer to item #005.1 if compliance action or #005.2 if enforcement action. A nontank vessel streamlined "oil discharge prevention & contingency plan" (plan) is a plan as required under 18 AAC 75.426.
<p>011.2 - Nontank Vessel Streamlined Plans & Backup (Withdrawn Applications) Record series contains nontank vessel streamlined plan applications submitted and withdrawn.</p>	H & E	C+90 Days	Y	C = Until nontank vessel streamlined plan is withdrawn.
<p>012 - Nontank Vessel Registered Contractors Record series includes reference material and documentation for nontank vessel contractor registration. Information includes registration application, approval letter, registration certificate, minimum registration standards compliance documents, inspection and exercises documents, and correspondence.</p>	H & E	C+5	Y	C = Until registration is revoked or terminated. Nontank vessel registered contractors include: response planning facilitators, incident management teams, and clean up contractors. Refer to item #005.1 if compliance action or #005.2 if enforcement.

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