DEPARTMENT OF EDUCATION AND EARLY DEVELOPMENT
Division of Libraries, Archives and Museums
Archives and Records Management Services
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STATE OF ALASKA
RECORDS RETENTION SCHEDULE

Schedule Number: 181604
Agency ID #: 419

DEPARTMENT OF ENVIRONMENTAL CONSERVATION

DIVISION OF SPILL PREVENTION & RESPONSE

INDUSTRY PREPAREDNESS PROGRAM

KEY

A - After Audit		**Numerals** -	Years in addition to current year
CFY - Current Fiscal Year			
CY - Current Year		**TO** -	Term of Office
P - Permanent		**S/M** -	After Scanning/ Microfilming
C - Current or as defined			

The Agency will follow retention periods for common records as listed in the State of Alaska General Administrative Records Retention Schedule, unless those records have been listed on this schedule.

Unless otherwise noted all records are retained on **Fiscal** year basis.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible retention in the Alaska State Archives in accordance with AS 40.21.030. Accessioned records may be reappraised for permanent value every four years or at the archivist's discretion.

The department may maintain the confidentiality of a manufacturer's proprietary technical information relating to chemical and biological agents used to control or mitigate the effects of an oil discharge; and, may refuse to release the information unless the manufacturer authorizes its release or unless a court orders its release (AS 46.04.025) . This records schedule supercedes #181603.
Statutory/Regulatory Authority: AS 46.03; AS 46.04; AS 46.08: AS 46.09; 18 AAC 75.
IPP: Industry Preparedness & Pipeline Program

The mission of the Industry Preparedness & Pipeline Program is 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.

NOTE: 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 below are approved for retention and disposition as indicated.

Divison Director **Larry Dietrick**	State Archivist Glenn Hook		Date 10/5/09	Attorney General Craig Tillery	Date 8/24/09
Signature of Division Director/Designee Larry Dietrick	Date 6/13/2009	Records Analyst Clay Hall	Date 5-18-09	Commissioner of Administration Kim Thomas	Date 9/28/09

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Item No.	Records Series & Description	Retention: Office	Retention: Records Cntr Storage	Disposition: State Archives	Disposition: Destroy	Disposition: Vital Record	Remarks
1	**GENERAL ADMINISTRATIVE RECORDS:** Includes administrative records related to Budget Preparation; General Accounting; Grant Management; Procurement, Leasing & Property; General Administrative Personnel Administration; and, Information Technology. Industry Preparedness & Pipeline Program staff will follow retention periods as listed in the General Administrative Records Retention Schedule (GRS).			**See GRS**	**See GRS**		All duplicate copies of records maintained on any media may be destroyed after business need is concluded. The General Schedule may be accessed on the Records Management homepage. When transferring records to the records center, please refer to the relevant item number from the GRS.
2	**Industry Contingency Plans (CP's) & Backup:** Records series includes reference material and documentation of oil industry CP's for terminals and distributors of crude and refined oil products, marine tankers and barges that transport crude and refined oil products, and oil pipelines and onshore/offshore oil exploration and production facilities.					**X**	A CP is an "Oil Discharge Prevention & contingency Plan" (18 AAC 75.425) and embraces actions to prevent an oil spill and, in the event of a spill, describes resources to clean up a spill. Plans are renewed every five years. **Refer to Item #13 for Nontank CP's.**
	Plan review information:	**C**			**C**		C=Until contingency plan is superceded or business need is concluded. If in adjudication or litigation refer to Item #6.
	Plan and amendment approval documents (findings, letter of approval certificate), enforcement actions (appeals/adjudications), waivers:	**C+10**			**C+10**		
	Inspections, exercises, and spill reports/investigations.	**7***			**7***		*Staff may retain longer than 7 years for administrative management need.
	Expired plan binder (public copy):	**C+10**			**C+10**		Includes current plan and most recently expired plan. Some data input into the IPP database. Arranged according to the file system outline.

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3	**IPP Special Project Files:** Records series includes special projects of the IPP which is tasked with the responsibilities of control, prevention and abatement of air, water, land or subsurface land pollution regarding spills or discharges. Topics may include C-plan Issues, Program Guidance, Drill Program, Inspection Program, Natural Resource Damage Assessment	C+3		P			C=Until project is concluded.
4	**Response Action Contractor Files:** Contractors for oil spill services. Includes application for registration, technical manuals, spill response equipment, drills & inspections of response action contractors and cooperatives. Arranged numerically according to file plan.	C+5			C+5		C=Until superseded or business need is concluded. **Note: Technical manual(s) are kept by the section(s) that have a Plan associated with them.** **Refer to Item #14 for Nontank vessel cleanup contractor files.**
5	**Proof of financial Responsibility Files (All But Non-Tank):** Non-Tank Vessels: This record series documents proof of an oil industry operator's ability to respond to claims resulting from an oil discharge. Financial responsibility may be demonstrated by self-insurance, insurance, surety bond, guarantee, letter of credit or certificate of deposit approved by the Department. Includes correspondence, application & checklist, evidence of financial responsibility and approvals. Arranged numerically.	C+10 C+3			C+10 C+3		C=Until company is closed permanently and Division's business need is concluded. C=Until inactive, superceded or business need is concluded. Provisions are applicable to all regulated facilities: Oil Terminals, Pipelines, Offshore Facilities, Exploration & Production Facilities, Refineries, Tank Vessels, Oil Barges, Railroad Tank Cars & Underground Storage Tanks, Non-Tank Vessels. Matters in litigation may result in longer retention.

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6	**Enforcement Case Files:** Compliance Automated Tracking System-CATS (Electronic): This record series documents actions taken regarding legal and compliance issues. May include but are not limited to financial responsibility, C-Plans, notice of violations, appeals, and adjudications. CATS is administered in MS Access. Arranged Alphabetically or numerically.	C+10 P			C+10		C=Until case is closed. Refer to 4AAC 59.005, Retention & Preservation of Electronic Records. Provisions are applicable to all regulated facilities: Oil Terminals, Pipelines, Offshore Facilities, Exploration & Production Facilities, Refineries, Tank Vessels, Oil Barges, Railroad Tank Cars & Underground Storage Tanks, Non-Tank Vessels.
7	**Chronological Files:** Copies of outgoing correspondence which serves as agency reading file.	5			5		
8	**NTV Financial Responsibility Database:** This database stores information regarding regulated Non-tank vessels and Railroad 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. Some outputs from this system include Certificates of Financial Responsibility (COFR), letters to applicants, and web listing of current COFR holders.	P					Refer to 4 AAC 59.005, Retention & Preservation of Electronic Records. NTV: Non-Tank Vessels Administered in MS Access.

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9	**Financial Responsibility Database:** This database stores information regarding regulated Oil Terminals, Pipelines, Offshore Facilities, Exploration & Production Facilities, Refineries, Tank Vessels & 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. Some outputs from this system include Certificates of Financial Responsibility (COFR), letters to applicants, and web listing of current COFR holders.	P					Refer to 4 AAC 59.005, Retention & Preservation of Electronic Records. Administered in MS Access.
10	**UST Database:** This database stores information regarding the Underground Storage Tanks (UST) and Leaking Underground Storage Tanks (LUST) facilities. Data includes facility contact information, facility particulars, compliance information, details regarding: proof of financial responsibility, tanks & LUST. Information is provided by facility owner or operator, third party inspectors along with Department staff and other regulators.	P					Refer to 4 AAC 59.005, Retention & Preservation of Electronic Records. Administered in MS SQL Server/Access.
11	**IPP Database:** This database stores information regarding contingency 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					Refer to 4 AAC 59.005, Retention & Preservation of Electronic Records. Administered in MS SQL Server/Access.

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12	**Non-Tank Vessels Database:** The Non-Tank database stores information regarding contingency plans for non-tank vessels. Data includes vessel, plan review, plan facilitator and response contractor contact information and documentation that supports the vessel's history and inspections. A comment section may contain additional details such as spill information.	P					Refer to 4 AAC 59.005, Retention & Preservation of Electronic Records. Administered in MS Access.
13	**Non-Tank Contingency Plans (CP's) & Backup:** This record series includes Non-Tank vessel applications, diagrams, approval letters and supporting documentation.					X	C=Until contingency plan is superceded or business need is concluded. If in adjudication or litigation refer to Item #6. Refer also to 18 AAC 75. 426. For enforcement case files refer to item #6
	New Plan, Amendment or Renewal:	C			C		
	Expired Plans:	C+3			C+3		
	Terminated Plans:	C+1			C+1		
	Withdrawn applications:	C+90 days			C+90 days		
	Inspections, exercises & spill reports/investigations:	C+7			C+7		
14	**Non-Tank Vessel Contractor Files:** This record series includes files for non-tank cleanup contractors, incident management teams and response planning facilitators. Files may include registration application; approval letter and certificate; inspection and drill documentation; evaluation letters and correspondence.	C+6			C+6		C=Until registration revoked or terminated. For enforcement case files refer to item #6