



U.S. Department  
of Transportation  
**Pipeline and Hazardous  
Materials Safety  
Administration**

1200 New Jersey Avenue SE  
Washington DC 20590

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# Pipeline Safety

## 20xx Gas Base Grant Progress Report

for

{state agency name}

**Please follow the directions listed below:**

1. Review the entire document for completeness.
2. Review and have an authorized signatory sign and date page 2.
3. Scan the signed document to your computer and email it to [Carrie.Winslow@dot.gov](mailto:Carrie.Winslow@dot.gov).



**FedSTAR Information**

Electronic Submission Date:



Pipeline and Hazardous Materials Safety Administration  
1200 New Jersey Avenue, SE  
Washington DC 20590

OFFICE OF PIPELINE SAFETY

20xx Gas Base Grant Progress Report

Office: {state agency name}

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date



## PROGRESS REPORT ATTACHMENTS (GAS )

PHMSA Form No. PHMSA F 999-92

### INSTRUCTIONS:

These attachments request information either for the entire calendar year (CY 20xx: January 1 through December 31, 20xx) or as of (or on) December 31, 20xx. Please report actual as opposed to estimated numbers on the attachments. Be careful to provide complete and accurate information since the PHMSA State Programs will be validating the attachments during the state's next annual evaluation.

**Attachment 1: State Jurisdiction and Agent Status Over Facilities.** Requires the state to indicate those pipeline operator types over which the state agency has jurisdiction under existing law. If the state does not have jurisdiction over an operator type, indicate why not in the column designated No, using the one alpha code (A or B) which best describes the reason. If the state agency has jurisdiction over an operator type, place an X in the column designated Yes and provide information on the number of operators, the number and percent of operators inspected, the number of inspection units, and the number and percent of inspection units inspected. If the jurisdiction over a type of operator is under a Section 60106 Agreement, indicate X/60106 in the column designated Yes. If an operator has multiple types of system (i.e. gas distribution and intrastate transmission), each type should be counted in corresponding category. Total operator count listed in Attachment 3 may not match Attachment 1 totals due to multiple types of systems per operator. If the same operator/inspection unit is visited more than once during the year, count only once under number of operators inspected/number of inspection units inspected on Attachment 1. The multiple visits would, however, be reflected under total inspection person-days in Attachment 2.

• **Attachment 2: Total State Field Inspection Activity.** Requires the state to indicate by operator type the number of inspection person-days spent during CY 20xx on inspections; standard comprehensive; design, testing, and construction; on-site operator training; integrity management; operator qualification; investigating incidents or accidents; damage prevention activities; and compliance follow-up. Attachment 2 should include drug and alcohol inspections. Counting "In Office" Inspection Time - An inspector may choose to review pipeline company procedure manuals or records away from the company facility in order to effectively use on-site inspection time. The amount of time spent reviewing procedures and records may be counted as part of the inspection process. It is important that an inspector only record time for activities that normally would be completed as part of an on-site inspection. For example, an inspector may attribute the three hours he or she spent reviewing a pipeline operator's procedure manual and records prior to an on-site inspection towards the total inspection time. Each supervisor must carefully review the reported time to ensure the time attributed is consistent with the activity completed and is carefully delineated from normal office duties.

• **Attachment 3: Facility Subject to State Safety Jurisdiction.** States should only list the facilities that are jurisdictional under Parts 192 and 193 (Gas) and Part 195 (Hazardous Liquid) of which the state has safety authority over. This attachment requires the business name and address of each person subject to the pipeline safety jurisdiction of the state agency as of December 31, 20xx. Also indicate the operator type (e.g., intrastate transmission) consistent with the listing in Attachment 1 and include the number of inspection units in each operator's system. The operator identification number (OPID) assigned by PHMSA must also be included on this attachment. If an operator has multiple types of system (i.e. gas distribution and intrastate transmission), each type should be counted in corresponding category. Total operator count listed in Attachment 3 may not match Attachment 1 totals due to multiple types of systems per operator.

• **Attachment 4: Pipeline Incidents.** Requires a list of incidents investigated by or reported to the state agency that involved personal injury requiring hospitalization, a fatality, property damage exceeding \$50,000, and others deemed significant by the operator. Clearly identify the operator's reported cause AND the state's determination of the cause of the incident using the one most appropriate alpha code footnoted in the attachment. We summarize this information for Congress by classifying the cause into one of eight top-level categories: (A) corrosion failure; (B) natural force damage; (C) excavation damage; (D) other outside force damage; (E) material failure of pipe or weld; (F) equipment failure; (G) incorrect operation; (H) other accident cause. Within each top-level cause you will find multiple sub-causes, select the appropriate cause code. You can also choose (IP) Investigation Pending for those incidents remaining under investigation as of December 31. Then provide a summary of incident investigations.

- **Attachment 5: State Compliance Actions.** This requires a summary of state pipeline inspection and compliance actions. [In the Number of Compliance Actions Taken column, keep in mind one compliance action can cover multiple probable violations.]
- **Attachment 6: State Record Maintenance and Reporting.** Requires a list of records and reports maintained and required by the state agency.
- **Attachment 7: State Employees Directly Involved in the Pipeline Safety Program.** This attachment requires a list by name and title of each employee directly involved in the pipeline safety program. Be sure to include the percentage of time each employee has been involved in the pipeline safety program during 20xx. If an employee has not been in the pipeline safety program the full year of 20xx, please note the number of months working on the program. Indicate a Qualification Category for each of the state's inspectors (see Attachment 7a). The categories are shown in descending order of education and experience. Please enter the number of the highest description applicable to each inspector. For each inspector and supervisor, indicate the month and year he/she successfully completed the training courses at the Pipeline Safety Office of Training and Qualifications in Oklahoma City, OK. Finally, provide in summary form the number of all staff (supervisors, inspectors/investigator, damage prevention/technical and clerical/administrative) working on the pipeline safety program and the person-years devoted to pipeline safety. Person-years should be reported in hundreds (e.g., 3.25).
- **Attachment 8: State Compliance with Federal Requirements.** This requires the state to indicate whether it is in compliance with applicable federal requirements. If a particular requirement is not applicable to the state (e.g. offshore inspections), indicate NA in the column designated Y/N/NA and indicate in the notes section why the regulation is not applicable. If a regulation has been adopted, indicate the date adopted (e.g., 05/01/04) in the appropriate column. If the regulation is applicable but has not been adopted indicate N in the Y/N/NA column and explain why not in the appropriate column (e.g., requires legislative action). If the state has not adopted the maximum penalty amounts for a related series of violations please indicate civil penalty levels in effect in the state as of December 31. For State Adoption of Part 198 State One Call Damage Prevention Program if a state has any penalty amount for its damage prevention law please mark item 7.h as “Adopted but Different Dollar Amounts” and list the penalty amount in the Note section. Note at the end of Attachment 8 we are requesting each state to indicate the frequency its legislature meets in general session. This information will be taken into account when determining if applicable federal regulations have been adopted within 24 months of the effective date or two general sessions of the state legislature.
- **Attachment 10: Performance and Damage Prevention Questions.** This attachment requires a narrative of each states goals and accomplishments. In addition it requires a narrative on each states progress toward meeting the nine elements of an effective damage prevention program as described in the PIPES Act of 2006.



## DEFINITIONS

- **Inspection Unit.** An inspection unit is all or part of an operator's pipeline facilities that are under the control of an administrative unit that provides sufficient communication and controls to ensure uniform design, construction, operation, and maintenance procedures for the facilities. (See Glossary of Terms in Guidelines for States Participating in the Pipeline Safety Program for application of the inspection unit concept to transmission and hazardous liquid pipeline systems, distribution systems, liquefied gas systems, municipality, master meter system, regulated gathering pipeline systems, and propane-air systems/petroleum gas systems.)
- **Inspection Person-Day.** An inspection person-day is all or part of a day spent by a state agency representative including travel in an on-site examination or evaluation of an operator or his system to determine if the operator is in compliance with federal or state pipeline safety regulations, in an on-site investigation of a pipeline incident, or in job-site training of an operator. Time expended on such activities should be reported as one inspection person-day for each day devoted to safety issues, regardless of the number of operators visited during that day.
- **Probable Violation.** A probable violation is a non-compliance with any section or, where a section is divided into subsections (a), (b), (c), etc., any subsection of federal or state pipeline regulations. Each numbered section should be counted separately. Multiple non-compliances of a numbered section discovered on the same inspection should be counted as one probable violation with multiple pieces of evidence.
- **Compliance Action.** A compliance action is an action or series of sequential actions taken to enforce federal or state pipeline regulations. One compliance action can cover multiple probable violations. A compliance action may take the form of a letter warning of future penalties for continued violation, an administratively imposed monetary sanction or order directing compliance with the regulations, an order directing corrective action under hazardous conditions, a show-cause order, a criminal sanction, a court injunction, or a similar formal action.



## Attachment 1 - Stats on Operators

### STATE JURISDICTION AND AGENT STATUS OVER GAS FACILITIES AS OF DECEMBER 31, 20xx

Operator Type	State Agency Jurisdiction/ Agent Status		No. of Operators	Operators Inspected		No. of Inspection Units	Units Inspected	
	No <sup>1</sup>	Yes		#	%		#	%
<b>Distribution</b>								
Private								
Municipal								
Master Meter								
LPG								
Other								
<b>Transmission</b>								
Intrastate								
Interstate								
<b>LNG</b>								
Intrastate								
Interstate								
<b>Other</b>								
Gathering Lines								
Offshore Facilities								
<b>Total</b>								

<sup>1</sup>Codes: A - None in state and does not have jurisdiction;

B - State does not have jurisdictional authority (Provide current status or action being taken to obtain authority in notes section below)

F - No, State is currently not an interstate agent.

X/60105P = Yes, I have Section 60105 (Certification) over some of the operator type (meaning: I have 60105 authority over some, but not all of this operator type and do not have a 60106 agreement with PHMSA to inspect them). These operators are identified in the notes below.

X/IA - Yes, I have Interstate Agent jurisdiction over this type of operator

Distribution "Other" - ie Co-ops, Public Utility Districts, etc.

States should explain any special circumstances

**General Instructions** - All above facilities should only include facilities as defined by federal pipeline regulations and should not include extended jurisdiction by state regulation.

**Attachment 1 Notes:**



## Attachment 2 - State Inspection Activity

### TOTAL STATE FIELD INSPECTION ACTIVITY AS OF DECEMBER 31, 20xx

Operator Type	Standard Comprehensive	Design, Testing and Construction	On-Site Operator Training	Integrity Management	Operator Qualification	Investigating Incidents or Accidents	Damage Prevention Activities	Compliance Follow-up	Total
<b>Distribution</b>									
Private									
Municipal									
Master Meter									
LPG									
Other									
<b>Transmission</b>									
Intrastate									
Interstate									
<b>LNG</b>									
Intrastate									
Interstate									
<b>Other</b>									
Gathering Lines									
Offshore Facilities									
<b>Total</b>									

**Drug and Alcohol**

Total Count of Drug and Alcohol Inspections	
---------------------------------------------	--

**Attachment 2 Notes**







	Distribution (Operator type & Inspection Units)					Transmission (Operator type & Inspection Units)		LNG(Operator type & Inspection Units)		Other (Operator type & Inspection Units)	
	Private	Municipal	Master Meter	LPG	Other	Intrastate	Interstate	Intrastate	Interstate	Gathering Lines (Jurisdictional)	Offshore Facilities (State Waters)
<b>Inspection Unit totals by type</b>											

## **Total Operators**

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### Attachment 3 Notes:



## Attachment 4 - Incidents/Accidents

### SIGNIFICANT<sup>4</sup> GAS INCIDENTS/ACCIDENTS JANUARY 1, THROUGH DECEMBER 31, 20xx

Date of Incident	Location - City/County/etc.	System Type	Injuries #	Fatalities #	Property Damage <sup>3</sup> \$	Cause Code <sup>1</sup>	State Cause Code <sup>1</sup>
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Name of Operator:

Operator ID:

Report No:

Summary<sup>2</sup>

<sup>1</sup>High-level Cause Codes: A - Corrosion failure; B - Natural Force Damage; C - Excavation Damage; D - Other Outside Force Damage; E - Pipe, Weld or Joint Failure; F - Equipment Failure; G - Incorrect Operation; H - Other Incident Cause; IP - Investigation Pending;

<sup>2</sup>Please provide a brief summary of the incident.

<sup>3</sup>Interstate agents should use the 191.3 Incident definition for listing incidents investigated on interstate facilities.

<sup>4</sup>Significant: Investigated by or reported to the state agency, involving personal injury requiring hospitalization, fatality, property damage exceeding \$50,000 and other incidents otherwise considered significant which involved jurisdictional facilities.

Attachment 4 Notes

# Attachment 5 - Stats on Compliance Actions

## STATE COMPLIANCE ACTIONS -- CALENDAR YEAR (CY) 20xx

Probable Violation Categories	Intrastate	Interstate
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Number carried over from all previous CY's

Number Found During CY

Number submitted for DOT action [60106 Agreement agent only]

Number corrected during CY (including carry over from previous year(s))

Number to be corrected at end of CY (including carry over)

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**Number of Compliance Actions Taken <sup>1</sup>**  
(see definition)

### Civil Penalties

Number assessed during CY

Dollars assessed during CY

Number collected during CY

Dollars collected during CY

<sup>1</sup>**Do not double count for a related series of actions.**

### Attachment 5 Notes



## **Attachment 6 - List of Records Kept**

### **GAS STATE RECORD MAINTENANCE AND REPORTING DURING CY 20xx**

**Records Maintained by the State Agency**

**Reports Required from Operators**

**Attachment 6 Notes**



**Attachment 7 - Staffing and TQ Training**

**STATE EMPLOYEES DIRECTLY INVOLVED IN THE GAS PIPELINE SAFETY PROGRAM DURING CY 20xx**

Name/Title	% Time	# Months	Qual. Cat.
<b>Supervisor</b>			
<b>Inspector/Investigator</b>			
<b>Damage Prevention/Technical</b>			
<b>Clerical/Administrative</b>			



**Summary**

<u>Employee Type</u>	<u>No. of Staff</u>	<u>Person-Years</u>
Supervisor		
Inspectors/Investigators		
Damage Prevention/Technical		
Clerical/Administrative		
<b>Total</b>		

<b>Last Name</b>	<b>First Name</b>	<b>Course</b>	<b>Completion Date</b>

**Attachment 7 Notes**



## Attachment 8 - Compliance with Federal Regulations

### STATE COMPLIANCE WITH FEDERAL REQUIREMENTS AS OF DECEMBER 31, 20xx

No.	Effective Date	Impact	Adoption Date	AdoptionStatus
1		Maximum Penalties Substantially same as DOT (\$213,268/@2,132,268). State must adopt minimum penalties of at least (\$100,000/\$1,000,000). Indicate actual	08/2008	
		Note <sup>1</sup>		
2	191.23 and 191.25 Safety-Related Conditions(through current amendment 191-14)			
		Note <sup>1</sup>		
3	Part 192 Amendments			
01-90	Pre 2002	[All applicable amendments prior to and including 2002]		
		Note <sup>1</sup>		
91	4/23/2004	Definition of high consequence areas for gas transmission lines		
		Note <sup>1</sup>		
92	9/4/2003	Procedures for Producer-operated outer continental shelf natural pipelines that cross directly into state waters		
		Note <sup>1</sup>		
93	10/15/2003	various changes to gas pipeline safety standards from NAPSRS recommendations		
		Note <sup>1</sup>		

94 Note <sup>1</sup>	5/6/2005	Modification to the definition of a Transmission Line
95 Note <sup>1</sup>	5/26/2004	Pipeline integrity management for transmission lines in HCAs
96 Note <sup>1</sup>	9/14/2004	Pressure limiting and regulating stations
97 Note <sup>1</sup>	7/28/2004	Passage of internal inspection devices on new and retrofitted transmission pipelines
98 Note <sup>1</sup>	9/9/2004	Performance of periodic underwater inspections
99 Note <sup>1</sup>	6/20/2005	API RP 1162 Public awareness campaign
100 Note <sup>1</sup>	7/15/2005	PSIA Statuory changes to Operator Qualification Program
101 Note <sup>1</sup>	11/25/2005	Adoption of NACE Standard as a direct assesment standard
102 Note <sup>1</sup>	4/14/2006	Definition of a Gathering Line
103 Note <sup>1</sup>	7/10/2006	Incorporate by Reference various Standards
103a Note <sup>1</sup>	2/1/2007	Update Incorporated by Reference and Correction
72 FR 20055 Note <sup>1</sup>	4/23/2007	Design and Construction Standards to Reduce Internal Corrosion in Gas Transmission Pipelines





104 Note <sup>1</sup>	5/23/2007	Integrity Management Program Modifications and Clarifications
105 Note <sup>1</sup>	12/13/2007	Applicability of Public Awareness Regulations to Certain Gas Distribution Operators
106-73 FR 16562 Note <sup>1</sup>	3/28/2008	Administrative Procedures, Updates and Technical Amendments (73 FR 16562)
107-73 FR 62147 Note <sup>1</sup>	10/17/2008	Standards for Increasing the Maximum Allowable Operating Pressure for Gas Transmission Pipelines (73 FR 62147)
108-73 FR 79002 Note <sup>1</sup>	12/24/2008	PA-11 Design Pressures (73 FR 79005)
109-74 FR 2889 Note <sup>1</sup>	1/16/2009	Administrative Procedures, Address Updates , and Technical Amendments
110-74 FR 17099 Note <sup>1</sup>	4/14/2009	Incorporation by Reference Update: American Petroleum Institute (API) Standards 5L and 1104
111-74 FR 62503 Note <sup>1</sup>	11/30/2009	Editorial Amendments to Pipeline Safety Regulations
112-74 FR 63310 Note <sup>1</sup>	12/3/2009	Control Room Management/Human Factors
113-74 FR 63906 Note <sup>1</sup>	12/4/2009	Integrity Management Program for Gas Distribution Pipelines
114 - 75 FR 48593 Note <sup>1</sup>	8/11/2010	Periodic Updates of Regulatory References to Technical Standards and Miscellaneous Edits



115 - 75 FR 72878	11/26/2010	Updates to Pipeline and Liquefied Gas Reporting Requirements
Note <sup>1</sup>		
116 - 76 FR 5494	4/4/2011	Mechanical Fitting Failure Reporting Requirements
Note <sup>1</sup>	.	
117-76 FR 35130	8/15/2011	Control Room Management/Human Factors
Note <sup>1</sup>		
118 - 78 FR 58897	9/28/2013	Administrative Procedures, Updates, and Technical Corrections (Not applicable to States)
Note <sup>1</sup>		
119 - 80 FR 168	3/6/2015	Periodic Updates of Regulatory References to Technical Standards and Miscellaneous Edits
Note <sup>1</sup>		
120 - 80 FR 12779	10/1/2015	Miscellaneous Changes to Pipeline Safety Regulations (Part 192.305 DELAYED)
Note <sup>1</sup>		
121 - 81 FR 70989	4/14/2017	Expanding the Use of Excess Flow Valves in Gas Distribution Systems to Applications Other Than Single-Family Residences
Note <sup>1</sup>		
122 - 82 FR 7972	3/24/2017	Operator Qualification, Cost Recovery, Accident and Incident Notification, and Other Pipeline Safety Changes
Note <sup>1</sup>		
<b>4</b>		<b>Part 193 Amendments (applicable only where state has jurisdiction over LNG)</b>
01-17	Pre 2002	[All applicable amendments prior to and including 2002]
Note <sup>1</sup>		
18	4/9/2004	Updated LNG standards by section
Note <sup>1</sup>	.	
19	7/10/2006	Incorporate by Reference various Standards
Note <sup>1</sup>		

20-73 FR 16562	3/28/2008	Administrative Procedures, Updates and Technical Amendments (73 FR 16562)
Note <sup>1</sup>		
21-74 FR 2889	1/16/2009	Administrative Procedures , Address Updates and Technical Amendments
Note <sup>1</sup>		
22 - 75 FR 48593	8/11/2010	Periodic Updates of Regulatory References to Technical Standards and Miscellaneous Edits
Note <sup>1</sup>		
23 - 75 FR 72878	11/26/2010	Updates to Pipeline and Liquefied Gas Reporting Requirements
Note <sup>1</sup>		
24 - 78 FR 58897	9/28/2013	Administrative Procedures, Updates, and Technical Corrections
Note <sup>1</sup>		
25 - 80 FR 168	3/6/2015	Periodic Updates of Regulatory References to Technical Standards and Miscellaneous Edits
Note <sup>1</sup>		

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**5 Part 199 - Drug Testing**

Note<sup>1</sup>

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**6 Part 199 Amendments**

01-19 Pre 2002 [All applicable amendments prior to and including 2002]

Note<sup>1</sup>

20 3/12/2003 Definition of Administrator

Note<sup>1</sup>

21 12/31/2003 Instructions for Single Use Form for MIS

Note<sup>1</sup>

22 7/14/2004 New address for reporting

Note<sup>1</sup>



23	3/8/2005	Administration name change
Note <sup>1</sup>		
24-73 FR 16562	3/28/2008	Administrative Procedures, Updates and Technical Amendments (73 FR 16562)
Note <sup>1</sup>		
25 - 78 FR58897	9/28/2013	Administrative Procedures, Updates, and Technical Corrections
Note <sup>1</sup>		
26 - 80 FR 168	3/6/2015	Periodic Updates of Regulatory References to Technical Standards and Miscellaneous Edits
Note <sup>1</sup>		
27 - 82 FR 7972	3/24/2017	Operator Qualification, Cost Recovery, Accident and Incident Notification, and Other Pipeline Safety Changes
Note <sup>1</sup>		

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**7 State Adoption of Part 198 State One-Call Damage Prevention Program**

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a.	Mandatory coverage of areas having pipeline facilities
Note <sup>1</sup>	
b.	Qualification for operation of one-call system
Note <sup>1</sup>	
c.	Mandatory excavator notification of one-call center
Note <sup>1</sup>	
d.	State determination whether calls to center are toll free
Note <sup>1</sup>	
e.	Mandatory intrastate pipeline operator participation
Note <sup>1</sup>	
f.	Mandatory operator response to notification
Note <sup>1</sup>	



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g. Mandatory notification of excavators/public

Note<sup>1</sup>

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h. Civil penalties/injunctive relief substantially same as DOT

Note<sup>1</sup>

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**If Adoption Status is No, Please provide an explanation**

State Attendance at 2018 NAPS Regional Meeting:

Frequency of General Legislative Session: Annually

**Attachment 8 Notes**



# Attachment 10 - Performance and Damage Prevention Questions

CALENDAR YEAR (CY) 20xx

**Planned Performance:** What are your Planned Annual and Long-term goals for your Pipeline Safety Program?

**Past Performance:** What did the Pipeline Safety Program accomplish during the subject year (to this document) to contribute toward the program's annual and long-term goals?

1. Has the state or agency reviewed the Damage Prevention Assistance Program (DPAP) document in the last twelve months?
2. Has the state or agency developed or is in the process of developing a plan to address the nine elements contained in the PIPES Act of 2006 for an effective State Damage Prevention Program?

If yes to question 2, where does the state or agency stand on implementation of the nine elements contained in the PIPES Act of 2006? Please provide a description of how the state or agency has or will meet each element. If not, please provide a brief passage explaining the reasons why the state or agency has not.

## Attachment 10 Notes

