

Request for Records Disposition Authority

Records Schedule Number DAA-0412-2013-0011
Schedule Status Approved

Agency or Establishment Environmental Protection Agency
Record Group / Scheduling Group Records of the Environmental Protection Agency
Records Schedule applies to Agency-wide
Schedule Subject Administrative Management
Internal agency concurrences will be provided No

Background Information This schedule covers records related to the day-to-day management and maintenance of the internal infrastructure. Includes records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists such as general correspondence, controlled correspondence and calendars for employees other than senior officials; committee and internal staff meeting records; EPA form development records; final deliverables and reports for administrative activities; routine mission and operational program management records, such as activity and progress reports, statistical and workload reports, records management documentation, workload and timekeeping records maintained by timekeepers and other employees; reading files; mailing lists; reminders to take action; and similar records.

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 4 | 0 | 4 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0412-2013-0011

| Sequence Number | |
|-----------------|--|
| 1 | Administrative Management |
| 1.1 | Controlled and major correspondence for employees other than senior officials Disposition Authority Number: DAA-0412-2013-0011-0001 |
| 1.2 | Other administrative management records Disposition Authority Number: DAA-0412-2013-0011-0002 |
| 1.3 | Reading files Disposition Authority Number: DAA-0412-2013-0011-0003 |
| 1.4 | Short-term administrative management records Disposition Authority Number: DAA-0412-2013-0011-0004 |

Records Schedule Items

| Sequence Number | | | | | |
|-----------------|--|-----------------|--------------|-----------------|--|
| 1 | Administrative Management | | | | |
| 1.1 | Controlled and major correspondence for employees other than senior officials Disposition Authority Number DAA-0412-2013-0011-0001 Senior officials include Presidential appointees, Deputies (e.g., Principal, Assistant, etc.) and Special Counsels or Trusted Advisors of Presidential appointees, and Senior Executive Service (SES) employees as identified in the EPA Senior Leaders Directory Final Disposition Temporary Item Status Active Is this item media neutral? Yes Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes Do any of the records covered by this item exist as structured electronic data? Yes | | | | |
| | <table border="1"><thead><tr><th>Manual Citation</th><th>Manual Title</th></tr></thead><tbody><tr><td>EPA 1006 item a</td><td></td></tr></tbody></table> | Manual Citation | Manual Title | EPA 1006 item a | |
| Manual Citation | Manual Title | | | | |
| EPA 1006 item a | | | | | |
| | GRS or Superseded Authority Citation N1-412-06-10b N1-412-10-3a | | | | |
| | Disposition Instruction Cutoff Instruction Close at end of calendar year or when no longer needed for current agency business. Retention Period Destroy 10 year(s) after file closure. | | | | |
| | Additional Information GAO Approval Not Required | | | | |
| 1.2 | Other administrative management records Disposition Authority Number DAA-0412-2013-0011-0002 Includes, but is not limited to: calendars, schedules, and logs of daily activities containing substantive information regarding daily activities for federal employees other than senior officials; committee and internal staff meeting records, including | | | | |

agendas, meeting arrangements and minutes, final reports and related records created by or documenting the accomplishments of intra-agency and internal committees and workgroups; copies and background materials related to Circular No. A-76 maintained by offices other than the office having primary responsibility; EPA forms and supporting materials showing inception, scope and purpose; final deliverables and reports related to administrative activities; general correspondence files, including non-controlled correspondence relating to work assignments, personnel needs, and other routine activities of the office; program management files maintained by other than senior officials related to the on-going management of mission and operational programs and projects, including correspondence, staff meeting records, routine office procedures, reports related to general policy and program matters (e.g., Superfund Comprehensive Accomplishment Plan (SCAP) reports), oversight reviews, interagency activities, routine management of environmental management systems (EMS), and project files showing assignments, progress, and completion of projects; records management documentation, including records inventories, records disposal, requests for disposition authority, transfer authorizations; routine office management records, including activity, progress, statistical, and workload reports, office staffing, procedures, routine training materials, communications, services (e.g., printing, post office, private mail, delivery, transportation and freight companies), supplies and equipment, expenditure and disbursement of funds (e.g., employee transportation subsidies), budget papers; and time and attendance source and leave records maintained by timekeepers, including time and attendance records such as time or sign-in sheets, flexitime records (e.g., biweekly maxiflex schedules), leave applications for jury and military duty, authorizations for premium pay or overtime, supervisor time sheet certifications, and related documents.

Final Disposition Temporary
 Item Status Active
 Is this item media neutral? Yes
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes
 Do any of the records covered by this item exist as structured electronic data? Yes

| Manual Citation | Manual Title |
|-----------------|--------------|
| EPA 1006 item b | |

GRS or Superseded Authority Citation N1-412-06-6/2b
 GRS 9/7
 GRS 16/3a
 GRS 16/3b

GRS 23/1
N1-412-06-5b
GRS 9/1c
GRS 9/2
GRS 9/4a
GRS 9/4b
N1-412-06-6/4
GRS 26/3
N1-412-07-1/8
GRS 26/1a
N1-412-06-11a
N1-412-06-27c
N1-412-07-69/1
GRS 2/9b
GRS 16/2a(2)
GRS 16/2b
GRS 12/1
GRS 12/5a
GRS 12/5b
GRS 12/5c
GRS 12/6a
GRS 12/6b
GRS 12/6c
GRS 12/6d
GRS 12/6e
GRS 12/6f
GRS 12/6g
GRS 12/6h
GRS 13/2a
GRS 13/2b
GRS 13/3
GRS 13/8b

Disposition Instruction

Cutoff Instruction

Close when discontinued, superseded, or canceled, or when no longer needed for current agency business.

Retention Period

Destroy 6 year(s) after file closure.

Additional Information

GAO Approval

Not Required

Reading files

Disposition Authority Number

DAA-0412-2013-0011-0003

1.3

Includes: reading or "chron" files used for convenience of reference.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

| Manual Citation | Manual Title |
|-----------------|--------------|
| EPA 1006 item c | |

Disposition Instruction

Cutoff Instruction Close at end of calendar year.

Retention Period Destroy 1 year(s) after file closure.

Additional Information

GAO Approval Not Required

Short-term administrative management records

Disposition Authority Number DAA-0412-2013-0011-0004

Includes, but is not limited to: ad hoc printouts that do not contain substantive information, such as substantive annotations, that are not included in the electronic records; contact and mailing list source records such as correspondence and request forms; time and attendance convenience copies held by employees; and word processing files, spreadsheets, and electronic mail after the record is placed into a recordkeeping system.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

1.4

| Manual Citation | Manual Title |
|-----------------|--------------|
| EPA 1006 item d | |

GRS or Superseded Authority Citation N1-412-06-5c
GRS 20/13
GRS 20/15a
GRS 20/15b
GRS 20/14
GRS 13/4a
GRS 13/4b
GRS 20/16

Disposition Instruction

Cutoff Instruction Close when no longer needed for current agency business.

Retention Period Destroy 90 days after file closure.

Additional Information

GAO Approval Not Required

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

| Date | Action | By | Title | Organization |
|------------|--------------------------|------------------|-------------------------------|---|
| 07/02/2013 | Certify | John Ellis | Agency Records Officer | Office of Environmental Information - Office of Information Collection |
| 08/22/2013 | Return for Revision | Henry Wolfinger | Appraiser | National Archives and Records Administration - Records Management Services |
| 08/22/2013 | Submit For Certification | Sandy York | Records Information Manager V | Office of Environmental Information - records and Content Management Branch |
| 08/27/2013 | Certify | John Ellis | Agency Records Officer | Office of Environmental Information - Office of Information Collection |
| 02/09/2015 | Return for Revision | Jessica Blessman | Appraisal Archivist | National Archives and Records Administration - Records Management Services |
| 04/17/2015 | Submit For Certification | Sandy York | Records Information Manager V | Office of Environmental Information - records and Content Management Branch |
| 04/30/2015 | Certify | John Ellis | Agency Records Officer | Office of Environmental Information - Office of Information Collection |
| 07/30/2015 | Return for Revision | Jessica Blessman | Appraisal Archivist | National Archives and Records Administration - Records Management Services |
| 10/14/2015 | Submit for Concurrence | Jessica Blessman | Appraisal Archivist | National Archives and Records Administration - Records Management Services |

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|------------|---------|-----------------|---|--|
| 10/14/2015 | Concur | Laurence Brewer | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 10/14/2015 | Concur | Laurence Brewer | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 10/16/2015 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |

401 – Administrative Management

The day-to-day management and maintenance of the internal infrastructure.

| Previous Schedule | Previous Title | Previous Retention | New Schedule |
|--------------------------|--|--|---------------------|
| 006b N1-412-06-6/2b | Program Management Files – Other than senior officials | Close inactive records at end of calendar year. Destroy 5 years after file closure. | 1006b |
| 037a GRS 9/7 | Federal Employee Transportation Subsidy Records – Record copy | Destroy when 3 years old. | 1006b |
| 109a GRS 16/3a | EPA Forms – EPA form and documentation | Destroy 5 years after related form is discontinued, superseded, or canceled. | 1006b |
| 109b GRS 16/3b | EPA Forms – Background materials | Destroy when related form is discontinued, superseded, or canceled. | 1006b |
| 110a GRS 23/1 | Office administrative files – Record copy | Destroy when 2 years old. | 1006b |
| 111b N1-412-06-5b | Calendars, schedules, and logs of daily activities – Other federal employees | Close at end of calendar year. Destroy 2 years after file closure. | 1006b |
| 111c N1-412-06-5c | Calendars, schedules, and logs of daily activities – Routine materials | Close at end of calendar year. Destroy when no longer needed. | 1006d |
| 121c GRS 9/1c | Transportation and Freight – Issuing office copies | Close file after period of the fiscal account. Destroy 6 years after file closure. | 1006b |
| 121d GRS 9/2 | Transportation and Freight – Lost or damaged shipments files | Close file at end of year. Destroy 6 years after file closure. | 1006b |
| 121e GRS 9/4a | Transportation and Freight – General transportation files | Close at the end of the year. Destroy 2 years after file closure. | 1006b |
| 121f GRS 9/4b | Transportation and Freight – Accountability records | Close file after all entries are cleared. Destroy 1 year after file closure. | 1006b |
| 127a N1-412-06-6/4 | General correspondence files – Record copy | Close inactive records at end of calendar year. Destroy 5 years after file closure. | 1006b |
| 141b N1-412-06-10b | Controlled and Major Correspondence – Other federal employees | Close inactive records at end of year. Destroy 10 years after file closure. | 1006a |
| 147a N1-412-10-3a | Information Quality Guidelines (IQG) Requests for Correction (RFC) and Reconsideration (RFR) Process – Record copy | Close file upon completion of final response and verification of actions taken. Destroy 10 years after file closure. | 1006a |
| 162a GRS 20/13 | Word processing files – nonrecord copy | Delete when no longer needed for updating or revision. | 1006d |
| 164a GRS 20/15a | Electronic spreadsheets – When used to produce hard | Delete when no longer needed to update or | 1006d |

Crosswalk for schedule 06
 March 31, 2016

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| | copy that is maintained in organized files | produce hard copy. | |
| 164b GRS 20/15b | Electronic spreadsheets – When maintained only in electronic form | Delete after the expiration of the retention period authorized for the hard copy by NARA’s General Records Schedules or an approved Agency records schedule. 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. | 1006d |
| 165a GRS 20/14 | Electronic mail (e-mail) – nonrecord copy | Delete from the electronic mail system after copying to a recordkeeping system. | 1006d |
| 166a GRS 23/6a | Suspense files – A note or other reminder to take action | Destroy after action is taken. | 1006e |
| 166b GRS 23/6b | Suspense files – The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected | Withdraw documents when reply is received. If suspense copy is an extra copy, destroy immediately. If suspense copy is the file copy, incorporate it into the official files. | 1006e |
| 167a GRS 23/7 | Transitory files – Record copy Note: 1 st bullet moved to GRS 4.2/010 | Close inactive records at end of month. Destroy 3 months after file closure. | 1006d and e |
| 169a GRS 23/9 | Finding Aids and Indexes – Record copy | Follow instructions for the related records. | 1006 guidance |
| 186a GRS 26/3 | Committee records not maintained by the sponsor or secretariat | Destroy when 3 years old. | 1006b |
| 187a N1-412-07-1/8 | Intra-Agency and internal committees – Committees related to EPA’s environmental missions | Close inactive records when committee superseded or canceled, at the completion of a significant activity (e.g., completion of a research report), or at the change of committee chair. Destroy 5 years after file closure. | 1006b |
| 187b GRS 26/1a | Intra-Agency and internal committee records – Committees unrelated to EPA’s environmental missions | Destroy when no longer needed for administrative purposes. | 1006b |
| 200a N1-412-06-11a | Training material – Routine training materials | Close inactive records after course or material is superseded. Destroy 5 years | 1006b |

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|---------------------------|--|--|-------|
| | | after file closure. | |
| 258c N1-412-06-27c | Final deliverables and reports – Nonenvironmental programs | Close inactive records upon completion of project. Destroy 7 years after file closure. | 1006b |
| 276a(2) N1-412-07-69/1 | Time and attendance source records – Source records – Copies maintained by other offices | Close inactive records at end of pay period. Destroy 1 year after file closure. | 1006b |
| 279b(2) GRS 2/9b | Leave records – Leave record – Maintained by creating office | Close inactive records when signed by supervisor. Destroy 3 years after file closure. | 1006b |
| 307a(2) GRS 16/2a(2) | Records Disposition Files – Records description and disposition program documentation | Close inactive records after the related records are destroyed or after the related records are transferred to the National Archives, whichever is applicable. Destroy 6 years after file closure. | 1006b |
| 307b GRS 16/2b | Records Disposition Files – Routine correspondence and memoranda | Close inactive records at the end of calendar year. Destroy 2 years after file closure. | 1006b |
| 309a GRS 14/1 | Information requests and acknowledgment files – Routine requests for information and replies | Destroy when 3 months old. | 1006d |
| 309b GRS 14/2 | Information requests and acknowledgment files – Acknowledgments and transmittals of inquiries and requests referred elsewhere for reply | Destroy 3 months after acknowledgment and referral | 1006d |
| 653a GRS 12/1 | Messenger Service Files – Record copy | Destroy when 2 months old. | 1006b |
| 654a GRS 12/5a | Post Office and Private Mail Company Records – Records relating to incoming or outgoing mail | Destroy when 1 year old. | 1006b |
| 654b GRS 12/5b | Post Office and Private Mail Company Records – Applications | Destroy when 1 year old. | 1006b |
| 654c GRS 12/5c | Post Office and Private Mail Company Records – Reports | Destroy when 1 year old. | 1006b |
| 655a GRS 12/6a | Mail and Delivery Service Control Files – Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service | Destroy when 1 year old. | 1006b |

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| 655b GRS 12/6b | Mail and Delivery Service Control Files – Statistical reports of postage used on outgoing mail and fees paid for private deliveries | Destroy when 6 months old. | 1006b |
| 655c GRS 12/6c | Mail and Delivery Service Control Files – Requisition for stamps | Destroy when 6 months old. | 1006b |
| 655d GRS 12/6d | Mail and Delivery Service Control Files – Statistical reports and data relating to handling of mail and volume of work performed | Destroy when 1 year old. | 1006b |
| 655e GRS 12/6e | Mail and Delivery Service Control Files – Records relating to checks, cash, stamps, money orders, or any other valuables remitted to the Agency by mail | Destroy when 1 year old. | 1006b |
| 655f GRS 12/6f | Mail and Delivery Service Control Files – Records of and receipts for mail and packages received through the Official Mail and Messenger Service | Destroy when 6 months old. | 1006b |
| 655g GRS 12/6g | Mail and Delivery Service Control Files – General files | Destroy when 1 year old or when superseded or obsolete, whichever is applicable. | 1006b |
| 655h GRS 12/6h | Mail and Delivery Service Control Files – Locator cards, directories, indexes, and other records relating to mail delivery to individuals | Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable. | 1006b |
| 661a GRS 13/2a | Printing Project Files – Files pertaining to the accomplishment of the printing job | Destroy 1 year after completion of job. | 1006b |
| 661b GRS 13/2b | Printing Project Files – Files pertaining to planning and other technical matters | Destroy when 3 years old. | 1006b |
| 662a GRS 13/3 | Printing Control Files – Record copy | Destroy 1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable. | 1006b |
| 664a GRS 13/4a | Mailing lists source records – Correspondence, request forms, and other records relating to changes in mailing lists | Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner. | 1006d |
| 664b GRS 13/4b | Mailing lists source records – Card lists | Destroy individual cards when canceled or revised. | 1006d |

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| 673b GRS 13/8b | Federal Activities Inventory Reform (FAIR) Act records – Circular No. A-76 records maintained by other offices (other than Financial Management) | Close inactive records when action completed. Destroy 2 years after file closure. | 1006b |
| 745a GRS 20/16 | Ad hoc printouts – record copy | Destroy when no longer needed for administrative, legal, audit, or other operational purposes, provided the printouts do not contain substantive information, such as substantive annotations, that is not included in the electronic records. | 1006d |