

Request for Records Disposition Authority

Records Schedule Number DAA-0412-2013-0017
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 Compliance and Enforcement
Internal agency concurrences will be provided No

Background Information This schedule covers records of activities that support all EPA pollution prevention and control programs through monitoring and oversight of specific individuals, groups, industries, or communities participating in a regulated activity via market mechanisms, command and control features, or other means to control or govern conduct or behavior. Includes, but is not limited to: inspections and compliance monitoring as well as direct measurement of pollutants or substances of interest in permitted discharges or in the ambient environment; standard setting and reporting guideline development involving the establishment of allowable limits associated with a regulated activity and the development of reporting requirements necessary to monitor and control compliance with allowable limits; activities to enforce compliance with regulations through legal means, including criminal investigations and prosecutions; cases of the Environmental Appeals Board (EAB); and environmental impact statements (EIS). Excludes: Permits which are scheduled separately.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	1	5	0

GAO Approval

Outline of Records Schedule Items for DAA-0412-2013-0017

Sequence Number	
1	Compliance and Enforcement
1.1	Historically significant compliance and enforcement records Disposition Authority Number: DAA-0412-2013-0017-0001
1.2	Long-term compliance and enforcement records Disposition Authority Number: DAA-0412-2013-0017-0002
1.3	Routine compliance and enforcement records Disposition Authority Number: DAA-0412-2013-0017-0003
1.4	Short-term compliance and enforcement records Disposition Authority Number: DAA-0412-2013-0017-0004
1.5	Other compliance and enforcement records Disposition Authority Number: DAA-0412-2013-0017-0005
1.6	Administrative Law Judge's repository file Disposition Authority Number: DAA-0412-2013-0017-0006

Records Schedule Items

Sequence Number

1 Compliance and Enforcement

1.1 Historically significant compliance and enforcement records

Disposition Authority Number DAA-0412-2013-0017-0001

Includes, but is not limited to: Administrative Law Judge (ALJ) case files for landmark cases, consisting of hearings concerning various environmental laws, administrative documents arranging hearings, public notices of hearings, prehearing and hearing transcripts, orders, all exhibits entered, case index, and other related records; Clean Air Act Section 309 review and comment files with official Agency comments regarding EISs, regulations, legislation, and other major federal actions, associate reviewer comments, reviewed materials, and associated records; Development and enforcement of air and water standards by states, including documents pertaining to waterways within and bordered by the states, the industries within states, activities of the states relative to the permit program, development of state clean water acts and agencies to monitor and enforce them, and cases referred to the Department of Justice (DOJ) for action; Enforcement action files for landmark or precedent cases referred to the Office of Regional Counsel or other offices with enforcement authority, for action against a pollution source or discharger, consisting of correspondence, meeting documentation, inspections, field notebooks, evaluations, notices of deficiency, information requests, warning letters, administrative compliance orders, documentation of civil and criminal actions, corrective action orders, attorney work products, case summaries, pleadings, state and local enforcement records, settlement documents including consent decrees, and discovery requests; Enforcement records maintained by the Office of Enforcement and Compliance (OECA) and related to enforcement of EPA statutes, regulations and standards, including case development and litigation support files, background studies and surveillance reports, legal opinions, attorney work products, violation notices, press releases, compliance orders, and related records; EAB case files for landmark cases that are precedent setting, change the way EPA operates, involve a significant policy of national importance, or the subject of review by an appellate court of the United States; Environmental impact statements, including drafts, final, and supplemental documents, filed with the Office of Federal Activities (OFA) pursuant to 1506.9 of the Council on Environmental Quality (CEQ) regulations for implementing the National Environmental Policy Act (NEPA) (Excludes the 309 review and comment files maintained in the regional offices which are covered by item b.) (Note: Beginning in 2012, NEPA-related documents are directly input into the ENEPA system by submitting entities. OFA manages ENEPA and is responsible for transferring the record copy to the National Archives.); EPA-prepared EISs and environmental assessments (EAs), including draft, final, and any supplemental documents, findings of no significant impact, records of decision, reference

materials and documents such as notices of intent and availability in the Federal Register, comments on EPA-prepared EISs or EA documents made by interested parties, special studies or supplemental materials related to the EPA-prepared EIS or EA, EPA-prepared categorical exclusions (CEs), any documents related to the distribution of the EPA-prepared CE, special studies or supplemental material related to the EPA-prepared CE; National Historic Preservation Act (NHPA) compliance records documenting EPA's compliance with Section 106 of NHPA, including agreements, correspondence, consulting parties lists, case notes, notification of adverse findings, permit applications, cultural resource surveys (CRS), final criteria of adverse effect report, engineering report, meeting notes, areas of potential effects documentation, and related records; Resource Conservation and Recovery Act (RCRA) corrective action files for RCRA land disposals documenting corrective action measures as imposed through a RCRA permit, RCRA facility assessments (RFA), RCRA facility investigation (RFI), corrective measures studies (CMS), corrective measures implementation (CMI), and related records; and State and local agency air monitoring records used to monitor state and local air pollution programs consisting of quality assurance reports of state and local ambient monitoring networks, national air monitoring station reports (NAMS) and state and local air monitoring station reports (SLAMS), staff reviews, comments on Section 105 grant applications, and audit reports showing performance of the agencies.

Final Disposition	Permanent
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 1044 item a	

GRS or Superseded Authority Citation	N1-412-07-56/2a(1)(a)
	N1-412-07-56/2a(1)(b)
	N1-412-07-2/4a(1)(a)
	N1-412-07-2/4a(1)(b)
	N1-412-07-2/4a(2)(a)
	N1-412-07-2/4a(2)(b)
	N1-412-07-2/4a(3)(a)
	N1-412-07-2/4a(3)(b)
	N1-412-07-54/6a(1)
	N1-412-07-54/6a(2)

N1-412-07-2/9c(1)
N1-412-07-2/9c(2)
N1-412-07-59/6a(1)
N1-412-07-59/6a(2)
N1-412-07-14a(1)
N1-412-07-14a(2)
N1-412-07-68/1a(2)(a)
N1-412-07-68/1a(2)(b)
N1-412-07-68/2a(1)
N1-412-07-68/2a(2)
N1-412-07-16b(2)(a)
N1-412-07-16b(2)(b)
N1-412-07-17b(1)
N1-412-07-17b(2)
N1-412-07-18a(1)
N1-412-07-18a(2)
N1-412-07-18b(1)
N1-412-07-18b(2)
N1-412-07-19b(1)
N1-412-07-19b(2)
N1-412-07-15b(1)
N1-412-07-15b(2)

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply

Non-electronic Textual Records

Cutoff Instruction

Close when activity, project, or case is completed.

Transfer to the National Archives for Accessioning

Transfer non-electronic records to the National Archives 15 years after file closure.

Additional Information

What will be the date span of the initial transfer of records to the National Archives?

Unknown
Transfer of records is ongoing.

How frequently will your agency transfer these records to the National Archives?

Unknown
Transfer of records is ongoing.

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply

Electronic Records

Cutoff Instruction Close when activity, project, or case is completed.
Note: NEPA related records created prior to 2012 are paper. From 2012 forward records managed under the system E-NEPA are electronic.

Transfer to the National Archives for Accessioning Transfer electronic records to the National Archives 15 years after file closure.

Additional Information

First year of records accumulation 2012

What will be the date span of the initial transfer of records to the National Archives? Unknown
Prior to transfer, OFA will coordinate with NARA's electronic accessioning unit

How frequently will your agency transfer these records to the National Archives? Every 1 Years

1.2

Long-term compliance and enforcement records

Disposition Authority Number DAA-0412-2013-0017-0002

Includes, but is not limited to: Administrative hearing and judicial action case files containing documents on disputed Agency actions heard by Hearing Examiners or ALJs, hearing notices, subpoenas, legal briefs, transcripts, judicial opinions, court orders, decisions by Examiners, as well as technical support files for General Counsel in securing technical data, obtaining and preparing expert witnesses, reading witnesses for testimony, witness lists and resumes, scenarios, technical data references, lab reports, and related records; ALJ case files for routine cases concerning various environmental laws, administrative documents arranging hearings, public notices of hearings, prehearing and hearing transcripts, orders, all exhibits entered, and other related records; Criminal enforcement counsel cases investigated by the Criminal Investigation Division and prosecuted by DOJ, including legal counsel and policy advice pertaining to specific criminal investigations and criminal prosecution requests and responses for legal interpretations and opinions pertaining to the intent and application of environmental criminal laws and application regulations and policies, and related criminal laws; Criminal investigation records for closed cases that are prosecuted by the DOJ, consisting of completed criminal investigation packages, search warrants, interview reports, investigation reports, lab analyses, indictments, plea agreements, business records, affidavits, and related records; Development and enforcement of air and water standards in states, including submission, progress, and status of standards being enacted into law by states and territories, and submitted to EPA for review and approval; legal interpretations and opinions, copies of state acts or programs, and related records; Enforcement action files for judicial case files where routine legal actions are required, whether a

formal enforcement action is initiated or not, including cases referred to the Office of Regional Counsel or other offices with enforcement authority, for action against a pollution source or discharger, consisting of correspondence, meeting documentation, inspections, field notebooks, evaluations, notices of deficiency, information requests, warning letters, administrative compliance orders, documentation of civil and criminal actions, corrective action orders, attorney work products, case summaries, pleadings, state and local enforcement records, settlement documents including consent decrees, and discovery requests; Enforcement records maintained by OECA and related to the interim program for controlling air pollutants, compliance monitoring and enforcement program for controlling hazardous waste, control of emissions from automobile engines, and compliance monitoring and enforcement program for controlling toxic substances, including statements of program, analyses of state laws, statements from Attorney General, guidance, policies, strategies, and interim and final authorities; EIS review and comment files maintained in EPA regional offices, including comments made pursuant to Section 309 reviewer comments, a copy of materials reviewed, and other associated materials; and Printouts of pesticide production and distribution data reported under the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA) with information on pesticide establishments bearing an EPA number and data reported to EPA on quantities produced or distributed for each pesticide.

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 1044 item b	

GRS or Superseded Authority Citation	N1-412-07-2/9b
	N1-412-07-67/1c
	N1-412-07-67/3a
	N1-412-07-50/12a
	N1-412-07-68/1a(1)
	N1-412-07-21/1a(3)
	N1-412-07-21/1b
	N1-412-07-16a
	N1-412-07-16b(1)
	N1-412-07-16b(3)
	N1-412-07-17a

N1-412-07-19a
N1-412-07-20a
N1-412-07-15a
N1-412-08-16a(1)(a)
N1-412-08-16a(1)(b)

Disposition Instruction

Cutoff Instruction Close when activity, project, or case is completed.
Retention Period Destroy 20 year(s) after file closure.

Additional Information

GAO Approval Not Required

1.3

Routine compliance and enforcement records

Disposition Authority Number DAA-0412-2013-0017-0003

Includes, but is not limited to: Criminal enforcement counsel cases investigated by the Criminal Investigation Division for which targets were identified, but DOJ declined to prosecute, including legal counsel and policy advice pertaining to specific criminal investigations and criminal prosecutions; Criminal investigation records for closed cases where targets were identified, but the DOJ declined to prosecute, consisting of completed criminal investigation packages, search warrants, interview reports, investigation reports, lab analyses, indictments, plea agreements, business records, affidavits, and related records; Enforcement action files for administrative case files, whether a formal enforcement action is initiated or not, including cases referred to the Office of Regional Counsel or other offices with enforcement authority, for action against a pollution source or discharger, consisting of correspondence, meeting documentation, inspections, field notebooks, evaluations, notices of deficiency, information requests, warning letters, administrative compliance orders, documentation of civil and criminal actions, corrective action orders, attorney work products, case summaries, pleadings, state and local enforcement records, settlement documents including consent decrees, and discovery requests; Enforcement records maintained by OECA and related to motor vehicles rulemaking and vehicles and engines imported for sale and use, including records on fuels; Enforcement records maintained by OECA and related to the collection of pesticide samples, the laboratory analysis of the samples, the conformity of the packages and labeling to standards and sample content, discovery of violations, and enforcement of activities; Enforcement records maintained by OECA and related to the emission control program, including the development, application, and suspension of guidelines and rules for better control of the emissions from automobile engines, records pertaining to the design and operation of programs for mobile units in production or planned for production, and records pertaining to vehicles or motors already-in-use; EAB case files excluding those covered in item a, including permit appeals, enforcement appeals, and Comprehensive Environmental

Response, Compensation, and Liability Act (CERCLA) reimbursement petitions filed pursuant to CERCLA Sec. 106(b), petitions and responses, pleadings, motions or correspondence filed in connection with a petition, notices of appeals, appellate briefs, exhibits, oral argument transcripts, orders, and preliminary and final decisions of the EAB; Environmental impact assessments of nongovernmental activities, including tourism, in Antarctica, preliminary environmental review memoranda (PERMs), initial environmental evaluations (IEEs), and comprehensive environmental evaluations (CEEs) completed by operators of nongovernmental expeditions organized in or proceeding from the United States to Antarctica; External discrimination complaints related to civil rights violations filed by individuals or groups alleging that their civil rights have been violated by EPA-funded entities, complaints, correspondence, reports, exhibits, notices, depositions, transcripts, and other related records; Federal agency liaison files for special projects, including projects conducted or coordinated by federal agency liaison staff (e.g., interagency task force activities, multiagency activities and reports, Government Accountability Office (GAO) reports, and other related project reports; Federal facilities data system consisting of reports showing the status of pollution abatement efforts by federal agencies, including reports submitted under Office of Management and Budget (OMB) Circular A-106; Permit appeal files documenting the appeal process of permits issued by EPA regional offices, including copies of the administrative record, requests for evidentiary hearings, responses and/or petitions for review and responses, reply briefs, hearing transcripts, research documents, settlement records, orders, motions and final decisions of the Regional Administrator, ALJ and/or EAB; RCRA corrective action files for corrective actions except RCRA land disposals (item a); Records of legal counsel and policy advice by criminal and civil enforcement attorneys that is not enforcement case specific, such as legal opinions or policy advice that apply to more than one case, or to the other mission-related activities of the enforcement and compliance assurance program; and State 305(b) water quality reports prepared by state governments and submitted to EPA for review and analysis and transmission to Congress as required by the Clean Water Act, as amended.

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 1044 item c	

GRS or Superseded Authority Citation
N1-412-06-28a
N1-412-07-56/1a
N1-412-07-54/6b
N1-412-07-2/9a
N1-412-07-67/1b
N1-412-07-22/3a
N1-412-07-58/7a
N1-412-07-68/5a
N1-412-07-56/3a
N1-412-07-56/6b
N1-412-07-21/1a(2)
N1-412-07-21/2a
N1-412-07-21/3a
N1-412-07-21/4a

Disposition Instruction

Cutoff Instruction Close when activity, project, or case is completed.
Retention Period Destroy 10 year(s) after file closure.

Additional Information

GAO Approval Not Required

1.4

Short-term compliance and enforcement records

Disposition Authority Number DAA-0412-2013-0017-0004

Includes, but is not limited to: 309 review report of data summarizing official 309 reviews, Federal Register notices, and associated records; Air quality management files maintained in regional offices, including annual air quality data reports, air quality modeling reports, annual source emissions and state action reports, prevention of significant air quality deterioration (PSD) nonapplicability files, notification forms, Section 109(j) consistency reports, correspondence, and related records; Compliance files consisting of records used to determine compliance with pollution regulations and to recommend legal enforcement actions, if necessary, compliance schedules, inspections, reports, correspondence, inventories, sampling and analytical data, field notebooks, notices of noncompliance, and compliance orders that do not result in enforcement actions; Criminal enforcement counsel cases investigated by the Criminal Investigation Division, but not referred to DOJ because no targets were identified, including legal counsel and policy advice pertaining to specific criminal investigations and criminal prosecutions; criminal investigation records for closed cases that are investigated but not referred to the DOJ because no targets were identified or allegations were unfounded, consisting of completed criminal investigation packages, search warrants, interview reports, investigation reports, lab analyses, indictments, plea agreements, business records, affidavits, and related records; Executive orders and OMB circulars review and comments file, including EPA evaluations and comments originated or

coordinated by other federal agencies, correspondence, evaluation documents, and responses; Federal facilities monitoring files containing information used to monitor the environmental controls in use at installations and facilities operated by the federal government and military installations, including correspondence with the facilities, survey reports showing inventory of pollution control equipment in use, discharges, and other facts (excludes: site-specific records relating to hazardous waste sites at federal facilities submitted for preliminary assessments covered by schedule 1036); Federal facilities referrals records related to the referral and processing of requests from federal actions in federal installations that might affect the environment, correspondence and worksheets, reports showing actions proposed and taken, and other related records; Federal Register notices for EIS filing; and Import and export notifications documenting the decisions regarding the importation of hazardous waste into the United States and the exportation of hazardous waste to foreign countries, notifications to export or import filed by a facility, manifests, correspondence to the country involved and responses, acknowledgement of consent letters to the facility allowing or denying import or export, and related reports.

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 1044 item d	

GRS or Superseded Authority Citation
 N1-412-08-16a(2)
 N1-412-07-1/4a
 N1-412-07-67/1a
 N1-412-07-1/10a
 N1-412-07-59/2a
 N1-412-08-3a
 N1-412-07-56/4a
 N1-412-07-56/6a
 N1-412-07-21/1a(1)

Disposition Instruction

Cutoff Instruction Close when case is completed or end of calendar year.

1.5

Retention Period Destroy 5 year(s) after file closure.

Additional Information

GAO Approval Not Required

Other compliance and enforcement records

Disposition Authority Number DAA-0412-2013-0017-0005

Includes, but is not limited to: Enforcement records maintained by OECA and related to motor vehicles and motor vehicle engines, including import declarations forms, declarations of conformity, code sheets for import declarations, and listings of imported vehicle identification numbers; and Federal agency liaison files used to monitor and coordinate EPA contacts and activities with other federal agencies for specific federal agency actions, correspondence with the agencies, NEPA compliance, federal facilities compliance, and related records.

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 1044 item e	

GRS or Superseded Authority Citation
 N1-412-07-56/6a
 N1-412-07-21/5a
 N1-412-07-21/5b
 N1-412-07-21/5c

Disposition Instruction

Cutoff Instruction Close when activity, project, or case is completed, or when no longer needed for current agency business.

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

Additional Information

GAO Approval Not Required

1.6

Administrative Law Judge's repository file

Disposition Authority Number DAA-0412-2013-0017-0006

Includes: copies of background documents to case files submitted by witnesses or other parties that are not part of the official case record.

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 1044 item f	

GRS or Superseded Authority Citation N1-412-07-68/3a

Disposition Instruction

Cutoff Instruction Close upon completion or termination of case.

Retention Period Return to submitting party 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
08/09/2013	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
11/14/2013	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
11/15/2013	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
11/18/2013	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
01/28/2016	Return for Revision	Jessica Blessman	Appraisal Archivist	National Archives and Records Administration - Records Management Services
01/29/2016	Return for Revision	Jessica Blessman	Appraisal Archivist	National Archives and Records Administration - Records Management Services
02/01/2016	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
02/02/2016	Return to Submitter	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
02/02/2016	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch

02/03/2016	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
05/25/2016	Return for Revision	Jessica Blessman	Appraisal Archivist	National Archives and Records Administration - Records Management Services
06/01/2016	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
06/02/2016	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
06/07/2016	Submit for Concurrence	Jessica Blessman	Appraisal Archivist	National Archives and Records Administration - Records Management Services
06/15/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
06/16/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
06/27/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

108 Compliance and Enforcement

Activities supporting all EPA pollution prevention and control programs through monitoring and oversight of specific individuals, groups, industries, or communities participating in a regulated activity via market mechanisms, command and control features, or other means to control or govern conduct or behavior. Includes: inspections and compliance monitoring as well as direct measurement of pollutants or substances of interest in permitted discharges or in the ambient environment; standard setting and reporting guideline development involving the establishment of allowable limits associated with a regulated activity and the development of reporting requirements necessary to monitor and control compliance with allowable limits; activities to enforce compliance with regulations through legal means, including criminal investigations and prosecutions; cases of the Environmental Appeals Board; and environmental impact statements (EIS). Excludes permits.

Previous Schedule	Previous Title	Previous Retention	New Schedule
083a N1-412-06-28a	Environmental Appeals Board Case Files – Record copy	Close inactive records when decision is final Destroy 10 years after file closure.	1044c
131a N1-412-07-56/1a	Environmental Impact Assessments of Nongovernmental Activities in Antarctica – Record copy	Close inactive records at the completion of the record of decision or withdrawal by the operator. Destroy 10 years after file closure.	1044c
133a(1)(a) N1-412-07-56/2a(1)(a)	Environmental Impact Statement (EIS) Files – EIS file – Nonelectronic	Close inactive records at end of review. Transfer to the National Archives in 5 year blocks 10 years after file closure.	1044a
133a(1)(b) N1-412-07-56/2a(1)(b)	Environmental Impact Statement (EIS) Files – EIS file – Electronic	Close inactive records at end of review. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	1044a
133a(1)(c) N1-412-07-56/2a(1)(c)	Environmental Impact Statement (EIS) Files – EIS file – Electronic copy of records transferred to the National Archives.	Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	1044 guidance 008a
133a(2) N1-412-07-56/2a(2)	Environmental Impact Statement (EIS) Files – CEQ Federal Register Report file	Close inactive records upon completion of the notice of public availability. Destroy weekly folders 2 years after file closure. Destroy Federal Register notices and typesetting requests 10 years after file closure.	NA
134a(1)(a) N1-412-07-2/4a(1)(a)	National Environmental Policy Act (NEPA) Preparation Files – Environmental impact	Close inactive records upon preparation of record of decision or if project is	1044a

Crosswalk for schedule 1044
June 30, 2016

	Statements (EISs) – Nonelectronic	withdrawn, upon official notification from the preparing office. Transfer to the National Archives 14 years after file closure.	
134a(1)(b) N1-412-07-2/4a(1)(b)	National Environmental Policy Act (NEPA) Preparation Files – Environmental Impact Statements (EISs) - Electronic	Close inactive records upon preparation of record of decision or if project is withdrawn, upon official notification from the preparing office. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	1044a
134a(1)(c) N1-412-07-2/4a(1)(c)	National Environmental Policy Act (NEPA) Preparation Files – Environmental Impact Statements (EISs) – Electronic copy of records transferred to the National Archives	Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	1044 guidance 008a
134a(2)(a) N1-412-07-2/4a(2)(a)	National Environmental Policy Act (NEPA) Preparation Files – Environmental Assessments (EAs) – Nonelectronic	Close inactive records upon completion of EA. Transfer to the National Archives 14 years after file closure.	1044a
134a(2)(b) N1-412-07-2/4a(2)(b)	National Environmental Policy Act (NEPA) Preparation Files – Environmental Assessments (EAs) – Electronic	Close inactive records upon completion of EA. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	1044a
134a(2)(c) N1-412-07-2/4a(2)(c)	National Environmental Policy Act (NEPA) Preparation Files – Environmental Assessments (EAs) - Electronic copy of records transferred to the National Archives	Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	1044 guidance 008a
134a(3)(a) N1-412-07-2/4a(3)(a)	National Environmental Policy Act (NEPA) Preparation Files – Categorical exclusions (CEs) – Nonelectronic	Close inactive records upon completion of CE. Transfer to the National Archives 14 years after file closure.	1044a
134a(3)(b) N1-412-07-2/4a(3)(b)	National Environmental Policy Act (NEPA) Preparation Files – Categorical exclusions (CEs) – Electronic	Close inactive records upon completion of CE. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-	1044a

Crosswalk for schedule 1044
June 30, 2016

		1235.50 or standards applicable at the time.	
134a(3)(c) N1-412-07-2/4a(3)(c)	National Environmental Policy Act (NEPA) Preparation Files – Categorical exclusions (CEs) – Electronic copy of records transferred to the National Archives	Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	1044 guidance 008a
135a(1)(a) N1-412-08-16a(1)(a)	309 Review and Comment Files – 309 review comment file – Nonelectronic	Close inactive records upon completion of project review after final comment issuance. Transfer to the National Archives 20 years after file closure.	1044b
135a(1)(b) N1-412-08-16a(1)(b)	309 Review and Comment Files – 309 review comment file - Electronic	Close inactive records upon completion of project review after final comment issuance. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	1044b
135a(1)(c) N1-412-08-16a(1)(c)	309 Review and Comment Files – 309 review comment file – Electronic copy of records transferred to the National Archives	Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	Deleted
135a(2) N1-412-08-16a(2)	309 Review and Comment Files – 309 review report	Close inactive records at end of reporting cycle. Destroy 15 years after file closure.	1044d
135a(3) N1-412-08-16a(3)	309 Review and Comment Files – Summarized comments	Close file when comments are summarized. Destroy after file is closed.	NA
137a N1-412-07-1/4a	Federal Facilities Monitoring Files – Record copy	Close inactive records at end of year. Destroy 5 years after file closure.	1044d
206a(1) N1-412-07-54/6a(1)	RCRA Corrective Action Files – Corrective actions for RCRA land disposals – Nonelectronic	Close inactive records when corrective process is terminated or when remedy is selected and there is no further action. Transfer to the National Archives 20 years after file closure.	1044a
206a(2) N1-412-07-54/6a(2)	RCRA Corrective Action Files – Corrective actions for RCRA land disposals – Electronic	Close inactive records when corrective process is terminated or when remedy is selected and there is no further action. Transfer to the National Archives 5 years after file closure, with any related documentation and	1044a

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		external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	
206a(3) N1-412-07-54/6a(3)	RCRA Corrective Action Files – Corrective actions for RCRA land disposals – Electronic copy of records transferred to the National Archives	Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	1044 guidance 008a
206b N1-412-07-54/6b	RCRA Corrective Action Files – Other RCRA corrective actions	Close inactive records when corrective process is terminated or when remedy is selected and there is no further action. Destroy 10 years after file closure.	1044c
207a N1-412-07-2/9a	Enforcement Action Files – Administrative case files, whether a formal enforcement action is initiated or not	Close inactive records upon settlement or closing of case. Destroy 10 years after file closure.	1044c
207b N1-412-07-2/9b	Enforcement Action Files – Judicial case files where routine legal actions are required	Close inactive records upon settlement or closing of case. Destroy 20 years after file closure.	1044b
207c(1) N1-412-07-2/9c(1)	Enforcement Action Files – Landmark or precedent cases – Nonelectronic	Close inactive records upon settlement or closing of case. Transfer to the National Archives in 5 year blocks 20 years after file closure.	1044a
207c(2) N1-412-07-2/9c(2)	Enforcement Action Files – Landmark or precedent cases – Electronic	Close inactive records upon settlement or closing of case. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	1044a
207c(3) N1-412-07-2/9c(3)	Enforcement Action Files – Landmark or precedent cases – Electronic copy of records transferred to the National Archives	Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	1044 guidance 008a
208a N1-412-07-67/1a	Criminal Investigation Records – Closed cases – No referral for criminal prosecution	Close inactive records upon completion of investigation or prosecution. Destroy 5 years after case is closed.	1044d
208b N1-412-07-67/1b	Criminal Investigation Records – Closed cases – Prosecution declined	Close inactive records upon completion of investigation or prosecution. Destroy 10 years after file closure.	1044c
208c N1-412-07-67/1c	Criminal Investigation Records – Closed cases – Judicial action	Close inactive records upon completion of investigation or prosecution. Destroy 15	1044b

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		years after file closure.	
211a N1-412-07-1/10a	Compliance Files – Record copy	Close inactive records at end of year. Destroy 5 years after file closure.	1044d
216a N1-412-07-59/2a	Air Quality Management Files – Record copy	Close inactive records at end of year. Destroy 5 years after file closure.	1044d
236a N1-412-07-22/3a	Permit Appeal Files – Record copy	Close inactive records when final decision on appeal is handed down. Destroy 10 years after file closure.	1044c
237a(1) N1-412-07-59/6a(1)	State and Local Agency Air Monitoring File – Record copy – Nonelectronic	Close inactive records at end of year. Transfer to the National Archives 20 years after file closure.	1044a
237a(2) N1-412-07-59/6a(2)	State and Local Agency Air Monitoring File – Record copy – Electronic	Close inactive records at end of year. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	1044a
237a(3) N1-412-07-59/6a(3)	State and Local Agency Air Monitoring File – Record copy – Electronic copy of records transferred to the National Archives	Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	1044 guidance 008a
256a N1-412-08-3a	Import and Export Notifications – Record copy	Close inactive records at end of fiscal year. Destroy 5 years after file closure.	1044d
347a N1-412-07-67/3a	Printouts of Pesticide Production and Distribution Data Reported Under FIFRA – Record copy	Close inactive records at end of year. Destroy 20 years after file closure.	1044b
359a N1-412-07-50/12a	Administrative Hearing and Judicial Action Files – Record copy	Close inactive records upon the completion of the case or hearing. Destroy 15 years after file closure.	1044b
399a(1) N1-412-07-14a(1)	National Historic Preservation Act (NHPA) Compliance Documentation – Record copy – Nonelectronic	Close inactive records upon completion of project. Transfer to the National Archives 30 years after file closure.	1044a
399a(2) N1-412-07-14a(2)	National Historic Preservation Act (NHPA) Compliance Documentation – Record copy – Electronic	Close inactive records upon completion of project. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the	1044a

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		time.	
399a(3) N1-412-07-14a(3)	National Historic Preservation Act (NHPA) Compliance Documentation – Record copy – Electronic copy of records transferred to the National Archives	Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	1044 guidance 008a
429a N1-412-07-58/7a	State 305(b) Water Quality Reports – Record copy	Close inactive records upon transmission of report to Congress. Destroy 10 years after file closure.	1044c
497a N1-412-07-68/5a	Discrimination Complaints – External – Record copy	Close inactive records when final decision is written. Destroy 10 years after file closure.	1044c
508a(1) N1-412-07-68/1a(1)	Administrative Law Judge's Case Files – Record copy of routine cases	Close inactive records upon completion or termination of case. Destroy 20 years after file closure.	1044b
508a(2)(a) N1-412-07-68/1a(2)(a)	Administrative Law Judge's Case Files – Record copy of landmark cases – Nonelectronic	Close inactive records upon completion or termination of case. Transfer to the National Archives 20 years after file closure.	1044a
508a(2)(b) N1-412-07-68/1a(2)(b)	Administrative Law Judge's Case Files – Record copy of landmark cases – Electronic	Close inactive records upon completion or termination of case. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	1044a
508a(2)(c) N1-412-07-68/1a(2)(c)	Administrative Law Judge's Case Files – Record copy of landmark cases – Electronic Electronic copy of records transferred to the National Archives	Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	1044 guidance 008a
509a(1) N1-412-07-68/2a(1)	Administrative Law Judge's Case File Index – Record copy – Nonelectronic	Transfer to the National Archives with the landmark case files 20 years after file closure.	1044a
509a(2) N1-412-07-68/2a(2)	Administrative Law Judge's Case File Index – Record copy – Electronic	Transfer to the National Archives with the landmark case files 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	1044a
509a(3)	Administrative Law Judge's	Close file upon transfer to the	1044

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N1-412-07-68/2a(3)	Case File Index – Record copy – Electronic copy of records transferred to the National Archives	National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	guidance 008a
510a N1-412-07-68/3a	Administrative Law Judge's Repository File – Record copy	Close inactive records upon completion or termination of case. Return to submitting party after file closure.	1044f
515a N1-412-07-56/3a	Federal Facilities Data System – Record copy	Close inactive records when superseded by updated report. Destroy 7 years after file closure.	1044c
516a N1-412-07-56/4a	Federal Facilities Referrals File – Record copy	Close inactive records at end of fiscal year. Destroy 5 years after file closure.	1044d
517a N1-412-07-56/5a	Federal Agency Liaison Files – Specific federal agency actions	Destroy when no longer needed.	1044e
517b N1-412-07-56/5b	Federal Agency Liaison Files – Special projects files	Close inactive records upon termination of projects. Destroy 10 years after file closure.	1044c
585a N1-412-07-56/6a	Executive Orders and OMB Circulars Review and Comments File – Record copy	Close inactive records at end of year. Destroy 5 years after file closure.	1044d
683a(1) N1-412-07-21/1a(1)	Criminal Enforcement Counsel – Cases investigated by the Criminal Investigation Division, but not referred to DOJ because no targets were identified	Close inactive records upon closing of case. Destroy 5 years after file closure.	1044d
683a(2) N1-412-07-21/1a(2)	Criminal Enforcement Counsel – Cases for which targets were identified, but DOJ declined to prosecute	Close inactive records after DOJ declines to prosecute the case. Destroy 10 years after file closure.	1044c
683a(3) N1-412-07-21/1a(3)	Criminal Enforcement Counsel – Cases prosecuted by DOJ	Close inactive records after completion of prosecution. Destroy 15 years after file closure.	1044b
683b N1-412-07-21/1b	Criminal Enforcement Counsel – Requests for legal interpretations and opinions	Close inactive materials at end of year. Destroy 15 years after file closure.	1044b
686a N1-412-07-16a	Development and Enforcement of Air and Water Standards by States – Air standards – Legal interpretations and opinions	Close inactive records upon completion of the program. Destroy 12 years after file closure.	1044b
686b(1) N1-412-07-16b(1)	Development and Enforcement of Air and Water Standards by States – Water standards – Legal interpretations and opinions	Close inactive records upon completion of the program. Destroy 12 years after file closure.	1044b
686b(2)(a) N1-412-07-16b(2)(a)	Development and Enforcement of Air and Water Standards by States – Water standards –	Close inactive records at the completion or change in state permit program. Transfer to	1044a

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	Documents pertaining to waterways – Nonelectronic	the National Archives 15 years after file closure.	
686b(2)(b) N1-412-07-16b(2)(b)	Development and Enforcement of Air and Water Standards by States – Water standards – Documents pertaining to waterways – Electronic	Close inactive records at the completion or change in state permit program. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	1044a
686b(2)(c) N1-412-07-16b(2)(c)	Development and Enforcement of Air and Water Standards by States – Water standards – Documents pertaining to waterways – Electronic copy of records transferred to the National Archives	Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	1044 guidance 008a
686b(3) N1-412-07-16b(3)	Development and Enforcement of Air and Water Standards by States – Water standards – Documents pertaining to interim program for controlling water pollutants	Close inactive records upon completion of the program. Destroy 20 years after file closure.	1044b
688a N1-412-07-17a	Enforcement – Air Program – Interim program for controlling air pollutants	Close inactive records upon completion of program. Destroy 20 years after file closure.	1044b
688b(1) N1-412-07-17b(1)	Enforcement – Air Program – Enforcement of industrial and municipal compliance with clean air regulations and standards – Nonelectronic	Close inactive records upon completion of actions. Transfer to the National Archives 18 years after file closure.	1044a
688b(2) N1-412-07-17b(2)	Enforcement – Air Program – Enforcement of industrial and municipal compliance with clean air regulations and standards – Electronic	Close inactive records upon completion of actions. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	1044a
688b(3) N1-412-07-17b(3)	Enforcement – Air Program – Enforcement of industrial and municipal compliance with clean air regulations and standards – Electronic copy of records transferred to the National Archives	Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	1044 guidance 008a
689a(1) N1-412-07-18a(1)	Enforcement – Water Program – Enforcement of industrial and municipal compliance with	Close inactive records upon completion of action. Transfer to the National	1044a

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	clean water regulations and standards – Nonelectronic	Archives 18 years after file closure.	
689a(2) N1-412-07-18a(2)	Enforcement – Water Program – Enforcement of industrial and municipal compliance with clean water regulations and standards – Electronic	Close inactive records upon completion of action. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	1044a
689a(3) N1-412-07-18a(3)	Enforcement – Water Program – Enforcement of industrial and municipal compliance with clean water regulations and standards – Electronic copy of records transferred to the National Archives	Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	1044 guidance 008a
689b(1) N1-412-07-18b(1)	Enforcement – Water Program – Documents and data relating to mercury – Nonelectronic	Close inactive records every 4 years. Transfer to the National Archives 17 years after file closure.	1044a
689b(2) N1-412-07-18b(2)	Enforcement – Water Program – Documents and data relating to mercury – Electronic	Close inactive records every 4 years. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	1044a
689b(3) N1-412-07-18b(3)	Enforcement – Water Program – Documents and data relating to mercury – Electronic copy of records transferred to the National Archives	Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	1044 guidance 008a
690a N1-412-07-19a	Enforcement – Hazardous Waste Program – Compliance monitoring and enforcement for controlling hazardous waste relating to state programs	Close inactive records upon completion of program. Destroy 20 years after file closure.	1044b
690b(1) N1-412-07-19b(1)	Enforcement – Hazardous Waste Program – Enforcement of hazardous waste statutes, regulations, and standards – Nonelectronic	Close inactive records upon completion of action or appeals. Transfer to the National Archives in 5 year blocks 15 years after file closure.	1044a
690b(2) N1-412-07-19b(2)	Enforcement – Hazardous Waste Program – Enforcement of hazardous waste statutes, regulations, and standards – Electronic	Close inactive records upon completion of action or appeals. Transfer to the National Archives 5 years after file closure, with any related documentation and	1044a

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		external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	
690b(3) N1-412-07-19b(3)	Enforcement – Hazardous Waste Program – Enforcement of hazardous waste statutes, regulations, and standards – Electronic copy of records transferred to the National Archives	Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	1044 guidance 008a
691a N1-412-07-20a	Enforcement – Mobile Source Program – Record copy	Close inactive records upon completion or termination of case. Destroy 20 years after file closure.	1044b
692a N1-412-07-21/2a	Enforcement – Pesticides Program – Record copy	Close inactive records upon completion or termination of case. Destroy 8 years after file closure.	1044c
693a N1-412-07-15a	Enforcement – Toxic Substances Program – Compliance monitoring and enforcement for controlling toxic substances	Close inactive records upon completion of the program. Destroy 20 years after file closure.	1044b
693b(1) N1-412-07-15b(1)	Enforcement – Toxic Substances Program – Enforcement of toxic substances statutes, regulations, and standards - Nonelectronic	Close inactive records upon the completion of the action. Transfer to the National Archives in 5 year blocks 18 years after file closure.	1044a
693b(2) N1-412-07-15b(2)	Enforcement – Toxic Substances Program – Enforcement of toxic substances statutes, regulations, and standards - Electronic	Close inactive records upon the completion of the action. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	1044a
693b(3) N1-412-07-15b(3)	Enforcement – Toxic Substances Program – Enforcement of toxic substances statutes, regulations, and standards – Electronic copy of records transferred to the National Archives	Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives:	1044 guidance 008a
694a N1-412-07-21/3a	Emission Control Program – Record copy	Close inactive records every 2 years. Destroy 10 years after file closure.	1044c
695a N1-412-07-21/4a	Motor Vehicles File – Record copy	Close inactive records every 2 years. Destroy 10 years after file closure.	1044c

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696a N1-412-07- 21/5a	Motor Vehicle Import Declaration File – Completed importation form, Declaration of Conformity, and Health, Education, and Welfare regulations	Close inactive records at end of month. Destroy 1 year after file closure.	1044e
696b N1-412-07- 21/5b	Motor Vehicle Import Declaration File – Code sheets for import decisions	Close inactive records at end of month. Destroy 1 year after file closure.	1044e
696c N1-412-07- 21/5c	Motor Vehicle Import Declaration File – Imported vehicle identification numbers	Close inactive records at end of month. Destroy 1 year after file closure.	1044e