

Request for Records Disposition Authority

Records Schedule Number DAA-0412-2013-0019
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 Records of Senior Officials
Internal agency concurrences will be provided No

Background Information This schedule covers records documenting activities of EPA senior officials, including Presidential appointees, Deputies (e.g., Principle, Assistant, etc.) and Special Counsels or Trusted Advisors of Presidential appointees, and Senior Executive Service (SES) employees.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	1	1	0

GAO Approval

Outline of Records Schedule Items for DAA-0412-2013-0019

Sequence Number	
1	Records of senior officials
1.1	Historically significant records of senior officials Disposition Authority Number: DAA-0412-2013-0019-0001
1.2	Routine senior official records Disposition Authority Number: DAA-0412-2013-0019-0002

Records Schedule Items

Sequence Number					
1	Records of senior officials				
1.1	<p>Historically significant records of senior officials</p> <p>Disposition Authority Number DAA-0412-2013-0019-0001</p> <p>Includes, but is not limited to: Administrator's meeting files, including documents used by the Administrator, Deputy Administrator, and other senior level staff in the Administrator's Office to prepare for meetings and briefings, including meeting notes, invitations and acceptances, draft itineraries and schedules, copies of position papers, policy statements, and other briefing or background papers; calendars, schedules, and logs of daily activities, including substantive information relating to official activities when not incorporated into memoranda, reports, correspondence or other records included in the official files; controlled and major correspondence which significantly documents the program activities and was processed under special handling control procedures because of the importance of the letters or time requirements of replies, including copies of incoming letters, responses, and enclosures, indexes to the correspondence; and speeches and presentations prepared for delivery while representing EPA, and congressional and expert testimony related to non-EPA cases.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>EPA 1051 item a</td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation N1-412-06-5a N1-412-06-8a(1) N1-412-06-8a(2) N1-412-06-10a(1) N1-412-06-10a(2) N1-412-07-9a(1) N1-412-07-9a(2)</p>	Manual Citation	Manual Title	EPA 1051 item a	
Manual Citation	Manual Title				
EPA 1051 item a					

Disposition Instruction

Cutoff Instruction Close at end of calendar or fiscal year or when no longer needed for current agency business.

Transfer to the National Archives for Accessioning Transfer 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 these records is ongoing.

How frequently will your agency transfer these records to the National Archives? Unknown
Transfer of these records is ongoing.

1.2

Routine senior official records

Disposition Authority Number DAA-0412-2013-0019-0002

Includes, but is not limited to: program management files related to the on-going management of programs and routine projects within programs for both mission and operational programs. **Excludes:** program management files maintained by EPA employees other than senior officials, and general administrative and routine housekeeping records covered by schedule 1006.

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 1051 item b	

GRS or Superseded Authority Citation N1-412-06-6/2a

Disposition Instruction

Cutoff Instruction	Close at end of calendar or fiscal 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

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
08/28/2013	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
08/28/2013	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
08/28/2013	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
09/16/2013	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
09/18/2013	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
09/18/2013	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
03/25/2015	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
08/06/2015	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch

02/01/2016	Return to Submitter	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
02/16/2016	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
02/16/2016	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
03/03/2016	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
03/03/2016	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
03/03/2016	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
06/20/2016	Submit for Concurrence	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
06/21/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
06/22/2016	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

401 Administrative Management Records of Senior Officials

Activities of EPA senior officials, including Presidential appointees, Deputies (e.g., Principle, Assistant, etc.) and Special Counsels of Presidential appointees; Senior Executive Service (SES) employees and employees with decision-making authority over EPA policies, guidance and regulations.

Previous Schedule	Previous Title	Previous Retention	New Schedule
006a N1-412-06-6/2a	Program Management Files – Senior officials	Close inactive records at end of calendar year. Destroy 10 years after file closure.	1051b
111a N1-412-06-5a	Calendars, Schedules, and Logs of Daily Activities – Senior officials and assistants to those officials	Close at end of calendar 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.	1051a
140a(1) N1-412-06-8a(1)	Speeches and Testimony – Senior officials – Nonelectronic	Close inactive records at end of calendar year. Transfer to the National Archives 10 years after file closure.	1051a
140a(2) N1-412-06-8a(2)	Speeches and Testimony – Senior officials – Electronic	Close at end of calendar 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.	1051a
140a(3) N1-412-06-8a(3)	Speeches and Testimony – Senior officials – 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.	1051 guidance 008a
141a(1) N1-412-06-10a(1)	Controlled and Major Correspondence – Senior officials and assistants to those officials – Nonelectronic	Close inactive records at end of year. Transfer to the National Archives in 5 year blocks, 20 years after file closure.	1051a
141a(2) N1-412-06-10a(2)	Controlled and Major Correspondence – Senior officials and assistants to those officials – Electronic	Close at end of calendar 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.	1051a

Crosswalk for schedule 1051
 May 12, 2016

Previous Schedule	Previous Title	Previous Retention	New Schedule
141a(3) N1-412-06-10a(3)	Controlled and Major Correspondence – Senior officials and assistants to those officials – 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.	1051 guidance 008a
523a(1) N1-412-07-9a(1)	Administrator’s Meetings File – Record copy – Nonelectronic	Close inactive records at end of year. Transfer to the National Archives in 5 year blocks, 20 years after file closure.	1051a
523a(2) N1-412-07-9a(2)	Administrator’s Meetings File – Record copy – Electronic	Close at end of calendar 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.	1051a
523a(3) N1-412-07-9a(3)	Administrator’s Meetings 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.	1051 guidance 008a