

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-048-11-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 5/11/2022

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All other items remain active.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1 was superseded by DAA-0048-2013-0008-0003

Item 4.3 was superseded by DAA-0048-2013-0008-0001

Item 7.3 was superseded by DAA-0048-2013-0008-0001

Item 8.1 was superseded by DAA-0048-2013-0008-0001

Item 8.2 was superseded by DAA-0048-2013-0008-0009

Item 8.3 was superseded by DAA-0048-2013-0008-0009


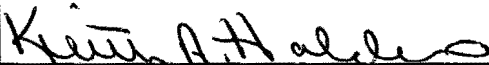
Item 10.3 was superseded by DAA-0048-2013-0001-0001

Item 12.1 was superseded by DAA-0048-2013-0008-0009

Item 14.2 was superseded by DAA-0048-2013-0008-0009

Item 14.3 was superseded by DAA-0048-2013-0008-0009

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-48-11-1	
TO NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date Received 10/4/2016	
FROM (Agency or establishment) Department of the Interior		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Office of the Secretary		In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved or "withdrawn" in column 10	
3 MINOR SUBDIVISION Office of Environmental Policy and Compliance			
4 NAME OF PERSON WITH WHOM TO CONFER Keith Holden	4 TELEPHONE NUMBER 202-219-1563	DATE 10/28/10	ARCHIVIST OF THE UNITED STATES 
5 AGENCY INFORMATION 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 on the attached <u>10</u> page(s) are not needed now for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE 09/28/2010	SIGNATURE OF AGENCY REPRESENTATIVE 		TITLE Office of the Secretary Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
4100	Office of Environmental Policy and Compliance [See Attachment for Records Descriptions and Dispositions]	N/A	

OS Records Manual - Chapter 112.4

Office of Environmental Policy & Compliance (OEPC)

Section 1 – Environmental Policy and Special Projects.

Item 1 – Environmental Policy (9040.1) Includes (1) Policies, procedures, and guidance promulgated by OEPC pursuant to its government-wide leadership for the natural and cultural resources and historic properties protection (NCH) part of National Response Framework Emergency Support Function 11 and the Natural and Cultural Resources Recovery Support Function of the National Disaster Recovery Framework, (2) internal-DOI and OEPC All-Hazards Preparedness, Response, and Recovery policy and guidance, including the DOI and OEPC Environmental Safeguards Plans, and (3) documents conveying instructions and guidance on environmental quality and used for overseeing and coordinating the Department’s compliance with the National Environmental Policy Act of 1969 (NEPA), CEQ regulations, CERCLA, and other environmental statutes, Executive Orders, and regulations. Records include Departmental Manual chapters, Environmental Statement Memorandums (ESM), Environmental Review Memorandums (ERM), Environmental Compliance Memorandums (ECM)

Environmental Administrative Memos (EAMs) should be filed under 1102 (GRS 23-1)

Disposition Permanent Cut off when canceled, superseded, or revoked. Transfer to NARA 15 years after cut-off, or when no longer needed for reference purposes, whichever is later.

Item 2 – Cross-cutting Environmental Activities and Special Projects (9040.2) These files relate to cross-cutting activities and unique, non-recurring projects on environmental policy, compliance, and/or resource protection and response. Records that pertain to special projects for which OEPC is not considered the official record holder are filed under 1206 Project/Issue Files (N1-048-08-22) or 1101 Program Correspondence (N1-048-08-06), as determined by supervisory staff

REO Weekly and other reports (e.g. Weekly Highlights) are filed under 1204 Routine Reports (N1-048-08-22). EPA Quarterly Reports are filed under Item 14.4 of this schedule

Disposition Temporary Cut off upon completion of project. Destroy 10 years after cut-off, or when no longer needed for reference purposes, whichever is later

Section 2 – Environmental Compliance. (9041) Files include reports and summaries of information received from the Bureaus on activities relating to the overall environmental compliance status of Bureau facilities for each fiscal year

Item 3 – Environmental Audits (9041.1a and b) These files include the number of environmental audits, facilities audited, summaries of major audit findings, and summaries of corrective actions completed for the fiscal year. These records are used to generate the Annual DOI Summary of Bureau Environmental Auditing Programs, Annual Fiscal Year PMB Scorecard relating to environmental audits, Performance Measures on environmental audits for the DOI Strategic Plan, and other associated documents.

Disposition. Temporary. Cut off at end of fiscal year. Destroy 10 years after cut-off.

Item 4 – DOI Lands Cleanup and Remediation. (9041.2) Files pertaining to the cleanup of hazardous waste and hazardous materials on DOI-administered lands.

Item 4.1 Central Hazardous Materials Fund (CHF) Sites (9041.2b) Files pertaining to Central Hazardous Materials Fund (CHF) sites where OEPC is the official project manager. Files would include site investigations, assessments, and cleanup actions on Department lands and facilities, the Department's efforts to seek cost recovery or cost sharing of cleanups from parties potentially responsible for contamination of DOI land and facilities.

Disposition Permanent. Cut off after site cleanup is completed. Transfer to NARA 30 years after cut-off.

Item 4.2 CHF Contract Management Records. Includes all contract records for CHF projects, including all correspondence, requests for proposals, proposals, procurement award and administration, receipt, inspection and payment of any and all contracts, requisitions, purchase orders, leases, and bond and surety agreements to which OEPC is a party and that are maintained and used for contract documentation and for performance and financial monitoring and oversight activities.

Disposition Temporary. Cut off after site cleanup is completed. Destroy 30 years after cut-off.

Item 4.3 Environmental and Disposal Liability (EDL) and Asbestos related Cleanup Cost Policies and Procedures. Files pertaining to the development of policies and procedures related to identifying, reporting, and documenting EDL sites and estimating the Department's liability associated with asbestos related cleanup costs.

Disposition Temporary. Cut off when policy or procedure is issued. Destroy 5 years after cut-off, or when no longer needed for reference purposes, whichever is later.

Item 4.4 Department of Defense (DOD) Contamination Issues and Programs. Records include correspondence related to the Defense Environmental

Restoration Program, Military Munitions Response Program, Formerly Used Defense Sites, and other sites contaminated by DOD

Disposition Temporary Cut off upon closing of the case Destroy 20 years after cut-off, or when no longer needed for reference, whichever is later

Item 5 – Environmental Impact Statement (EIS) Files. Contains documents related to the filing of federal EISs submitted by the Department of the Interior in accordance with Council of Environmental Quality (CEQ) Regulations EIS files include the final document, any supplemental materials, and substantive drafts that may be necessary to understand agency decisions or conclusions All other drafts and working files should be filed in accordance with record series 1111 Working Papers/Drafts (N1-048-08-06)

Disposition Temporary Cut off when EIS finalized Destroy 10 years after cut-off

Item 6 – Environmental Justice (EJ) (9041.4a, c). Records related to DOI's compliance with E O. 12898 Files include memos to heads of bureaus and offices and EJ coordinators disseminating information or requesting information

Disposition Temporary Cut off at end of calendar year Destroy 10 years after cut-off

Item 7 – Land Acquisition/Disposal (9041.5) Materials documenting OEPC involvement and contribution in Land Acquisition/Disposal

Item 7.1 Pre-Acquisition Activities (9041.5a-b). Files include approvals by the Assistant Secretary PMB for acquisition of interests in property contaminated by hazardous substances or petroleum products or where hazardous substances or wastes were released or placed (either by past Interior practices, thirds-party disposal practices, or activities of tenants) Hazardous substances, petroleum products and other environmental liability determinations are to be made prior to the acquisition of any land by DOI

Disposition Temporary Cut off at end of calendar year Destroy 25 years after cut-off or when no longer needed for reference, whichever is later

Item 7.2 Base Realignment and Closures (BRAC) (9041.5c). Files include information on acquisition of and cleanup activities conducted on lands acquired from the Department of Defense during their BRAC initiatives.

Disposition Temporary Cut off upon closing of the case Destroy 25 years after cut-off, or when no longer needed for reference, whichever is later

Item 7.3 Land Acquisition/Disposal Policies and Procedures Files pertaining to development of policies and procedures related to Department of the Interior land acquisition and disposal

Disposition Temporary Cut off when policy or procedure is issued Destroy 5 years after cut-off, or when no longer needed for reference purposes, whichever is later

Item 8 – DOI NEPA Rulemaking. OEPC activities, comments, and input to development, promulgation, and implementation of the Department’s NEPA Rule (43 CFR 36)

Item 8.1 DOI NEPA Rule (43 CFR 46) The Federal Regulation setting forth Departmental requirements for compliance with the National Environmental Policy Act of 1969.

Disposition Temporary Cut off when canceled, superseded, or revoked Destroy 5 years after cut-off, or when no longer needed for reference purposes, whichever is later

Item 8.2 OEPC Activities Relating to Development and Promulgation of 43 CFR 46. Files include OEPC correspondence and other communication with governmental and non-governmental entities in development and promulgation of 43 CFR 46

Disposition Temporary Cut off when rule is issued Destroy 10 years after cut-off, or when no longer needed for reference, whichever is later

Item 8.3 Post-Rulemaking Correspondence Files include non-project-specific OEPC correspondence and other communication with governmental and non-governmental entities relating to implementation of 43 CFR 46

Disposition Temporary Cut off at end of calendar year Destroy 10 years after cut-off, or when no longer needed for reference, whichever is later

Section 3 – Environmental Stewardship and Partnerships (9042) Files pertaining to environmental conferences, environmental awards, and implementation of Environmental Management Systems and Sustainable Practices within DOI

Item 9 – Environmental Conferences/Recognition (9042.1). Records include those relating to DOI environmental conferences, environmental awards programs, and Earth Day events Includes all signed correspondence requesting approval, final approval, planning documents, and financial information pertaining to each subject area

Item 9.1 The Department of the Interior Environmental Conferences

Disposition Temporary Cut off after each conference Destroy after two consecutive events have occurred, or when no longer needed for reference, whichever is later

Item 9.2 Environmental awards and Earth Day events. Includes, but is not limited to DOI Environmental Achievement Award, GreenGov Awards, Earth Day Events, and Green DOI Challenge

Disposition Temporary Cut off annually and destroy after 10 years

Item 10 - Sustainability Program (9042.2). The Office of Environmental Policy and Compliance is responsible for overseeing, producing, and coordinating policy guidance and instructions to implement 515 DM 4, Executive Order 13514 (Federal Leadership in Environmental, Energy, and Economic Performance), and Executive Order 13423 (Strengthening Federal Environmental, Energy, and Transportation Management) This includes records relating to systems used to improve environmental performance by providing a systematic way of managing DOI and Bureau's environmental affairs and reducing impacts on the environment and where continuous improvement of environmental performance accountability is integrated with day-to-day management across DOI and Bureau activities, missions, and practices

Records under this heading are used in managing OEPC's Sustainability Program, including Departmental reports required by Executive Orders or established regulations, oversight and management of Bureau environmental management systems (EMS), and supporting documents used in the creation of Departmental reports

Documents pertaining to decisions made by the Department's Senior Sustainability Officers (SSOs) such as the Senior Sustainability Advisory Group (or other groups/committees at an equal or higher level) should be filed under item 1207.4 of General Management Records (N1-048-08-22) Records pertaining to one of the Council's technical working groups or the Implementation Committee (or similar group) should be filed under 1207 1 and 1207 2

Item 10.1 Environmental Management Systems (EMS). In accordance with Executive Order 13423 all Federal organizations are required to develop an EMS as a framework to prevent pollution, manage environmental compliance, and improve the implementation of sustainable practices, in consultation with the DOI Sustainability Council OEPC, in consultation with the DOI Sustainability Council, is responsible for overseeing, producing, and coordinating policy guidance and instructions to implement EMS

Records under this item include all documents identified in the Departmental EMS procedure and used to plan and implement the Departmental EMS program, except the Department's reports/plans submitted to other Federal entities (Item 10 2), Data Calls/Surveys conducted to support the EMS program (Item 10 3), and EMS audits (Item 3) These records include but are not limited to official correspondence with bureaus and offices; development of bureau goals and targets, oversight documents for tracking and measuring bureau progress towards EMS plans and objectives, bureau reports pertaining to greenhouse gas use, sustainable buildings, water, pollution prevention, sustainable acquisition, electronic stewardship, and other accomplishments; and other related documents not covered elsewhere in this schedule

Disposition Temporary Cut off files at close of Calendar Year Destroy 10 years after cut-off

Item 10.2 Sustainability Reports and Plans. These records include final versions of Departmental submissions to Federal entities with oversight over environmental matters (e.g. OMB, CEQ, EPA, etc.), generally in the form of reports, scorecards, and plans. Some specific records include the Strategic Sustainability Performance Plan (as required by Executive Order 13514) and the OMB Sustainability/Energy Scorecard.

Development files are also included under this item only if they are necessary to justify the final documents, and drafts showing significant decisions. Other, less essential drafting materials should be filed under item 1111 of Records Common to Most Offices (N1-048-08-06) and item 10.3 of this schedule (see below).

Disposition Permanent Cut off when document is submitted Transfer to NARA 15 years after cut-off

Item 10.3 Data Calls and Surveys. These records include all files created in issuing the data call or survey and the information collected from bureaus. Data calls and surveys are used to gather information to determine the success of sustainability goals and plans.

Disposition Temporary Cut off upon completion of action the data call or survey is supporting Destroy 2 years after cut-off, or when no longer needed for agency reference, whichever is later

Section 4 – Environmental Reviews (ERs) (9043). Includes records relating to the environmental review of non-DOI projects and proposals

Item 11 – Review of Other Agency Projects, Proposals, Regulations, and NEPA Compliance Documents. Contains project-specific correspondence and OEPC review of environmental documents proposed/prepared by non-DOI agencies (Federal, state, local, foreign government, and non-government). Records include comments on EISs, proposed regulations, copies of associated documents for reference, draft and final document review assignment memos, Departmental comment letter, and Bureau input on comments.

Disposition: Temporary Cut off at end of calendar year Destroy 10 years after cut-off

Item 12 – Federal Energy Regulatory Commission (FERC) Activities (9043.3). Files related to FERC activities other than individual project proposals covered in Item 11

Item 12.1 OEPC activities, comments, and input to development and promulgation of 7 CFR 1, 43 CFR 45, and 50 CFR 221. As part of the joint Department of Agriculture-DOI-Department of Commerce efforts to implement

the FERC trial-type hearing/alternative process (codified in the Code of Federal Regulations, as referenced above), OEPC provides input and commentary throughout the rulemaking process. Files include: document review assignment memos, meeting minutes, Bureau input to OEPC for preparation of comments, and OEPC comments on draft rulemaking(s).

The Office of Hearings and Appeals, as the lead for the FERC rulemaking, is the official record holder of the final rule.

Disposition: Temporary. Cut off when rule is issued. Destroy 10 years after cut-off.

Item 12.2 FERC Cost-Tracking Activities. Files include guidance and related records developed in association with the Office of Financial Management. These records pertain to the tracking of Departmental costs for FERC-related activities.

Disposition: Temporary. Cut off when project is completed. Destroy 15 years after cut-off.

Section 5 – Resource Protection, Preparedness, and Response (9044).

Item 13 –Resource Protection Planning, Preparedness, Response, and Recovery.

Files pertaining to planning and preparedness for, response to, and recovery from natural and technological disasters, oil spills, and hazardous substance releases.

Item 13.1 Input to Preparedness and Response Plans (9044.1b, 1c, 1d, 1i; 9044 2b, 2c). Records pertain to the development of Department of the Interior and national, international, regional, and subregional interagency plans for response to natural and technological disasters, oil spills, and hazardous substance releases. Files document OEPC activities, comments, and input, including but not limited to: the National Response Framework, and Emergency Support Functions (ESFs); Incident and Support annexes, National Incident Management System, National Disaster Recovery Framework, National Contingency Plan, international, regional, and subregional contingency plans, Federal Radiological Emergency Response Plan, individual nuclear power plant Radiological Emergency Response Plans.

Note: Policies, procedures, and guidance promulgated pursuant to (1) OEPC's government-wide leadership for the natural and cultural resources and historic properties protection (NCH) part of National Response Framework Emergency Support Function 11 and the Natural and Cultural Resources Recovery Support Function of the National Disaster Recovery Framework, and (2) the DOI Environmental Safeguards Plan are filed under Item 1.

Disposition: Temporary. Cut off when plan is issued. Destroy 10 years after cut-off.

Item 13.2 Participation with Preparedness and Response Entities (9044 1c, 1g, 1j, 1k; 9044.2d) Records pertain to OEPC participation on Department of the Interior and national, international, regional, and subregional interagency planning and preparedness entities for response to natural and technological disasters, oil spills, and hazardous substance releases. Files document OEPC activities, comments, and input, including but not limited to National Response Team, Joint Response Teams, Regional Response Teams, Area and SubArea Committees, Emergency Support Function Leaders Group, Regional Interagency Steering Committees, Regional Assistance Committees, Environmental Safeguards Group, Emergency Management Council, and Interior Regional Emergency Coordination Councils.

Disposition Temporary Cut off at the end of the calendar year. Destroy 5 years after cut-off or when no longer needed for reference (whichever is later).

Item 13.3 Training and Exercises (9044 1f, 9044 2e) Files document OEPC activities, comments, and input to development of and participation in training and exercises conducted pursuant to the National Response Framework, National Contingency Plan, and Federal Radiological Emergency Response Plan, including preparation and review of after-action reports.

Disposition Temporary Cut off at the end of the calendar year. Destroy 10 years after cut-off or when no longer needed for reference (whichever is later).

Item 13.4 Incidents (9044 1h, 9044 2f) Incident-specific records relating to DOI involvement in and input to emergency response and recovery activities conducted pursuant to the National Contingency Plan (NCP), National Response Framework (NRF), and National Disaster Recovery Framework, including specific activations of ESF 11/NCH. Also covers environmental response to incidents and emergencies that affect DOI lands, natural and cultural resources and historic properties, facilities, employees, or visitors that are not carried out under NCP or the NRF but require coordination of DOI assets or expertise to safeguard these people and resources.

Disposition Temporary Cut off when associated activity has been completed unless permanent retention is required (see note below). Destroy 15 years after cut-off, or until no longer needed, whichever is later.

[Note: Files that are deemed of historic value for their unique or precedent-setting nature should be filed under Item 13.5, below.]

Item 13.5 Historically Significant Incident Response Files. These files are generated for emergency response and recovery activities of an unprecedented and/or widespread nature wherein OEPC acts in a decision-making role. Records

should be of sufficient value to long-term research and understanding of an incident with lasting impact on the United States or its Insular Areas

Records consist of unique organizational response to the incident, correspondence and meeting notes not preserved outside of the organization, material accumulated in creating reports that may increase understanding of the incident, and high-level financial summaries. Other financial records, reference material from other agencies and organizations, and documents maintained strictly for temporary business purposes should not be included under this item, but preserved as per normal disposition instructions

Disposition Permanent Cut off when incident response and recovery is complete
Transfer custody to NARA 15 years after cut-off

Item 14 – Partnering for Environmental Cleanup (9044.3). Includes site-specific records of DOI input to non-time critical removal actions and remedial actions conducted by non-DOI entities not on DOI lands affecting DOI resources. These files also include DOI records on interagency and intradepartmental activities, DOI participation in development of interagency policy, guidance and regulations affecting the remedial and non-time critical removal action programs. Includes records on sites which were investigated for listing on the National Priorities List (NPL) and the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) or CERCLA-like cases that have trans-boundary issues (e.g., Upper Columbia Basin)

Item 14.1 Site-Specific Records (9044.3a) DOI input to non-time critical removal actions and remedial actions conducted by non-DOI entities not on DOI lands affecting DOI resources. Files include CERCLA 104(b) notice transmittals, PNRs review requests, CERCLA 122(j) notice transmittals, comments on removal/remedial planning documents, and Bureau input to comment letters. Also includes sites in the Brownfields/Portfields programs.

Disposition Temporary Cut off when site is cleaned up and/or deleted from NPL, whichever is later. Destroy 20 years after cut-off, or when no longer needed for reference, whichever is longer

Item 14.2 CERCLA Regulations Development (9044.3b) DOI participation in development of CERCLA regulations affecting the remedial and non-time critical removal action programs. Files include document review assignment memos, Bureau/Regional Office input to OEPC comments and OEPC comments on draft regulations.

Disposition Temporary Cut off when final regulation or policy/guidance is issued. Destroy 5 years after cut-off

Item 14.3 Interagency Policy and Guidance (9044.3c) DOI participation in development of interagency policy and guidance affecting the remedial and non-

time critical removal action programs. Files include: document review assignment memos, Bureau/Regional Office input to OEPC comments and OEPC comments on draft policies/guidance

Disposition Temporary Cut off when final policy and/or guidance is issued. Destroy 5 years after cut-off

Item 14.4 Interagency Budget Quarterly Reports Reports from Regions to OEPC/HQ and from OEPC/HQ to EPA regarding OEPC activities conducted pursuant to the EPA-DOI CERCLA Interagency Agreement

Disposition Temporary Cut off at end of fiscal year. Destroy 10 years after cut-off

Item 14.5 National Priorities List Pre-listing Activities Records relating to comments on sites before they are listed on the NPL

Disposition Temporary Cut off when listing decision is made. If listed, transfer to Item 14.1. Otherwise destroy 20 years after cut-off, or when no longer needed for reference, whichever is longer

Item 15 - International Activities (9044.5). Records of international activities not falling into any previously scheduled categories. Files contain materials documenting OEPC involvement with Commonwealth and Territories of the U.S., The Freely Associated States, US/Mexico Border Field Coordinating Committee, and Canada. Also includes records pertaining to Sustainable Borderlands Initiative associated with the North American Free Trade Agreement (NAFTA)

Disposition Temporary Cut off at end of calendar year. Destroy 20 years after cut-off