

Request for Records Disposition Authority

Records Schedule Number DAA-0412-2013-0006

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 Planning and Resource Allocation

Internal agency concurrences will be provided No

Background Information This schedule covers records related to planning and resource allocation activities determining strategic direction, identifying, and establishing programs and processes, allocating resources (capital and labor) among those programs and processes, and developing environmental and administrative policies and programs. Includes: budget formulation activities undertaken to determine priorities for future spending and to develop an itemized forecast of future funding and expenditures during a targeted period of time and the collection and use of performance information to assess the effectiveness of programs and develop budget priorities; capital planning processes for ensuring that appropriate investments are selected for capital expenditures; strategic planning activities to determine annual and long-term goals and the identification of the best approach for achieving those goals; and workforce planning processes for identifying the workforce competencies required to meet EPA's strategic goals and for developing the strategies to meet those requirements.

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0412-2013-0006

Sequence Number	
1	Planning and Resource Allocation
1.1	Historically significant planning and resource allocation records Disposition Authority Number: DAA-0412-2013-0006-0001
1.2	Routine planning and resource allocation records Disposition Authority Number: DAA-0412-2013-0006-0002

N1-412-07-68/19a(1)
N1-412-07-68/19a(2)

Disposition Instruction

Cutoff Instruction Close upon completion of activity, project, or topic, or the end of the fiscal year.

Transfer to the National Archives for Accessioning Transfer electronic records to the National Archives 5 years after file closure. 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 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 planning and resource allocation records

Disposition Authority Number **DAA-0412-2013-0006-0002**

Includes, but is not limited to: Agency program plans review files, including headquarters and regional office program plans, goals, and requests for changes to the plans; regional guidance reports and revisions; 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 1021 item b	

GRS or Superseded Authority Citation **N1-412-07-68/20a**

Disposition Instruction

Cutoff Instruction	Close at the end of the fiscal year.
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
04/02/2013	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
07/09/2013	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
08/27/2013	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
08/27/2013	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
01/26/2015	Submit for Concurrence	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
01/28/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
01/29/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
01/30/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

304 Planning and Resource Allocation

Activities of determining strategic direction, identifying and establishing programs and processes, and allocating resources (capital and labor) among those programs and processes, allocating resources (capital and labor) among those programs and processes, and developing environmental and administrative policies and programs. Includes: budget formulation activities undertaken to determine priorities for future spending and to develop an itemized forecast of future funding and expenditures during a targeted period of time and the collection and use of performance information to assess the effectiveness of programs and develop budget priorities; capital planning processes for ensuring that appropriate investments are selected for capital expenditures; strategic planning activities to determine annual and long-term goals and the identification of the best approach for achieving those goals; and workforce planning processes for identifying the workforce competencies required to meet EPAs strategic goals and for developing the strategies to meet these requirements.

Previous Schedule	Previous Title	Previous Retention	New Schedule
105a(1) N1-412-07-2/2a(1)	Management Studies – Record copy – Nonelectronic	Close file after completion of the study or report or when canceled. Transfer to the National Archives in 5 year blocks 20 years after file closure.	1021a
105a(2) N1-412-07-2/2a(2)	Management Studies – Record copy – Nonelectronic	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.	1021a
105a(3) N1-412-07-2/2a(3)	Management Studies - 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.	1021 guidance 008a
106a(1) N1-412-07-2/3a(1)	Organizational Plans – Record copy – Nonelectronic	Close inactive records when superseded or canceled. Transfer to the National Archives in 5 year blocks 20 years after file closure.	1021a
106a(2) N1-412-07-2/3a(2)	Organizational Plans – 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.	1021a
106a(3)	Organizational Plans – Record	Close file upon transfer to the	1021

Crosswalk for schedule 1021
August 27, 2013

Previous Schedule	Previous Title	Previous Retention	New Schedule
N1-412-07-2/3a(3)	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
145a(1) N1-412-06-29a(1)	Program Development Files – Record copy – Nonelectronic	Close inactive records at the end of the activity, project, or topic. Transfer to the National Archives 20 years after file closure.	1021a
145a(2) N1-412-06-29a(2)	Program Development Files – 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.	1021a
145a(3) N1-412-06-29a(3)	Program Development Files – 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.	1021 guidance 008a
190a(1) N1-412-07-68/16a(1)	Program Policy Planning 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.	1021a
190a(2) N1-412-07-68/16a(2)	Program Policy Planning 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.	1021a
190a(3) N1-412-07-68/16a(3)	Program Policy Planning 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.	1021 guidance 008a
194a(1) N1-412-07-68/19a(1)	Annual Headquarters Operating Guidance Paper and Regional Guidance Plan – Record copy – Nonelectronic	Close inactive records upon completion of plan. Transfer to the National Archives in 5 year blocks 20 years after file closure.	1021a
194a(2) N1-412-07-68/19a(2)	Annual Headquarters Operating Guidance Paper and Regional Guidance Plan – Record copy – Electronic	Close inactive records upon completion of plan. Transfer to the National Archives 5 years after file closure, with	1021a

Crosswalk for schedule 1021
 August 27, 2013

Previous Schedule	Previous Title	Previous Retention	New Schedule
		any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	
194a(3) N1-412-07-68/19a(3)	Annual Headquarters Operating Guidance Paper and Regional Guidance Plan – 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.	1021 guidance 008a
195a N1-412-07-68/20a	Agency Program Plans Review Files – Record copy	Close inactive records at end of fiscal year. Destroy 10 years after file closure.	1021b