

## 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

### Records Schedule Items

Sequence Number					
1	<b>Planning and Resource Allocation</b>				
1.1	<p><b>Historically significant planning and resource allocation records</b></p> <p>Disposition Authority Number      <b>DAA-0412-2013-0006-0001</b></p> <p>Includes, but is not limited to: annual headquarters operating guidance paper and regional guidance plan covering the objectives of EPA, the priority and strategy for their attainment; management studies, including staffing, analyses of administrative policies and procedures, manpower surveys, organization and methods surveys and studies, management improvement, and related records; organizational plans related to the establishment and organization of EPA, missions, functions and functional statements, organizational changes, and delegations of authority; program development files documenting the development of environmental programs, program priorities and objectives, program evaluation and planning major shifts in the focus of existing programs, new initiatives, and similar records; and program policy records, including formulating policies and plans in areas which cross-cut program functions, and records related to developing and analyzing key policy and legislative issues impacting on environmental programs.</p> <p>Final Disposition                      <b>Permanent</b></p> <p>Item Status                              <b>Pending</b></p> <p>Is this item media neutral?          <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                      <b>Yes</b></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><b>EPA 1021 item a</b></td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation      <b>N1-412-07-2/2a(1)</b>             <b>N1-412-07-2/2a(2)</b>             <b>N1-412-07-2/3a(1)</b>             <b>N1-412-07-2/3a(2)</b>             <b>N1-412-06-29a(1)</b>             <b>N1-412-06-29a(2)</b>             <b>N1-412-07-68/16a(1)</b>             <b>N1-412-07-68/16a(2)</b></p>	Manual Citation	Manual Title	<b>EPA 1021 item a</b>	
Manual Citation	Manual Title				
<b>EPA 1021 item a</b>					

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

Pending

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