

Request for Records Disposition Authority

Records Schedule Number DAA-0412-2013-0011
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 Administrative Management
Internal agency concurrences will be provided No

Background Information This schedule covers records related to the day-to-day management and maintenance of the internal infrastructure. Includes records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists such as general correspondence, controlled correspondence and calendars for employees other than senior officials; committee and internal staff meeting records; EPA form development records; final deliverables and reports for administrative activities; routine mission and operational program management records, such as activity and progress reports, statistical and workload reports, records management documentation, workload and timekeeping records maintained by timekeepers and other employees; reading files; mailing lists; reminders to take action; and similar records.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	0	4	0

GAO Approval

Outline of Records Schedule Items for DAA-0412-2013-0011

Sequence Number	
1	Administrative Management
1.1	Controlled and major correspondence for employees other than senior officials Disposition Authority Number: DAA-0412-2013-0011-0001
1.2	Other administrative management records Disposition Authority Number: DAA-0412-2013-0011-0002
1.3	Reading files Disposition Authority Number: DAA-0412-2013-0011-0003
1.4	Short-term administrative management records Disposition Authority Number: DAA-0412-2013-0011-0004

Records Schedule Items

Sequence Number						
1	Administrative Management					
1.1	<p>Controlled and major correspondence for employees other than senior officials</p> <p>Disposition Authority Number DAA-0412-2013-0011-0001</p> <p>Senior officials include Presidential appointees, Deputies (e.g., Principal, Assistant, etc.) and Special Counsels or Trusted Advisors of Presidential appointees, and Senior Executive Service (SES) employees as identified in the EPA Senior Leaders Directory</p> <p>Final Disposition Temporary</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; margin-top: 10px;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>EPA 1006 item a</td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation N1-412-06-10b N1-412-10-3a</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Close at end of calendar year or when no longer needed for current agency business.</p> <p>Retention Period Destroy 10 year(s) after file closure.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>		Manual Citation	Manual Title	EPA 1006 item a	
Manual Citation	Manual Title					
EPA 1006 item a						
1.2	<p>Other administrative management records</p> <p>Disposition Authority Number DAA-0412-2013-0011-0002</p> <p>Includes, but is not limited to: calendars, schedules, and logs of daily activities containing substantive information regarding daily activities for federal employees other than senior officials; committee and internal staff meeting records, including</p>					

agendas, meeting arrangements and minutes, final reports and related records created by or documenting the accomplishments of intra-agency and internal committees and workgroups; copies and background materials related to Circular No. A-76 maintained by offices other than the office having primary responsibility; EPA forms and supporting materials showing inception, scope and purpose; final deliverables and reports related to administrative activities; general correspondence files, including non-controlled correspondence relating to work assignments, personnel needs, and other routine activities of the office; program management files maintained by other than senior officials related to the on-going management of mission and operational programs and projects, including correspondence, staff meeting records, routine office procedures, reports related to general policy and program matters (e.g., Superfund Comprehensive Accomplishment Plan (SCAP) reports), oversight reviews, interagency activities, routine management of environmental management systems (EMS), and project files showing assignments, progress, and completion of projects; records management documentation, including records inventories, records disposal, requests for disposition authority, transfer authorizations; routine office management records, including activity, progress, statistical, and workload reports, office staffing, procedures, routine training materials, communications, services (e.g., printing, post office, private mail, delivery, transportation and freight companies), supplies and equipment, expenditure and disbursement of funds (e.g., employee transportation subsidies), budget papers; and time and attendance source and leave records maintained by timekeepers, including time and attendance records such as time or sign-in sheets, flexitime records (e.g., biweekly maxiflex schedules), leave applications for jury and military duty, authorizations for premium pay or overtime, supervisor time sheet certifications, and related documents.

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 1006 item b	

GRS or Superseded Authority Citation N1-412-06-6/2b
GRS 9/7
GRS 16/3a
GRS 16/3b

GRS 23/1
N1-412-06-5b
GRS 9/1c
GRS 9/2
GRS 9/4a
GRS 9/4b
N1-412-06-6/4
GRS 26/3
N1-412-07-1/8
GRS 26/1a
N1-412-06-11a
N1-412-06-27c
N1-412-07-69/1
GRS 2/9b
GRS 16/2a(2)
GRS 16/2b
GRS 12/1
GRS 12/5a
GRS 12/5b
GRS 12/5c
GRS 12/6a
GRS 12/6b
GRS 12/6c
GRS 12/6d
GRS 12/6e
GRS 12/6f
GRS 12/6g
GRS 12/6h
GRS 13/2a
GRS 13/2b
GRS 13/3
GRS 13/8b

Disposition Instruction

Cutoff Instruction

Close when discontinued, superseded, or canceled, or when no longer needed for current agency business.

Retention Period

Destroy 6 year(s) after file closure.

Additional Information

GAO Approval

Not Required

Reading files

Disposition Authority Number

DAA-0412-2013-0011-0003

1.3

Includes: reading or "chron" files used for convenience of reference.

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 1006 item c	

Disposition Instruction

Cutoff Instruction Close at end of calendar year.

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

Additional Information

GAO Approval Not Required

Short-term administrative management records

Disposition Authority Number DAA-0412-2013-0011-0004

Includes, but is not limited to: ad hoc printouts that do not contain substantive information, such as substantive annotations, that are not included in the electronic records; contact and mailing list source records such as correspondence and request forms; time and attendance convenience copies held by employees; and word processing files, spreadsheets, and electronic mail after the record is placed into a recordkeeping system.

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

1.4

Manual Citation	Manual Title
EPA 1006 item d	

GRS or Superseded Authority Citation N1-412-06-5c
GRS 20/13
GRS 20/15a
GRS 20/15b
GRS 20/14
GRS 13/4a
GRS 13/4b
GRS 20/16

Disposition Instruction

Cutoff Instruction Close when no longer needed for current agency business.

Retention Period Destroy 90 days 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
07/02/2013	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
08/22/2013	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
08/22/2013	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
02/09/2015	Return for Revision	Jessica Blessman	Appraisal Archivist	National Archives and Records Administration - Records Management Services
04/17/2015	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
04/30/2015	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
07/30/2015	Return for Revision	Jessica Blessman	Appraisal Archivist	National Archives and Records Administration - Records Management Services
10/14/2015	Submit for Concurrence	Jessica Blessman	Appraisal Archivist	National Archives and Records Administration - Records Management Services

10/14/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/14/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/16/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

401 – Administrative Management

The day-to-day management and maintenance of the internal infrastructure.

Previous Schedule	Previous Title	Previous Retention	New Schedule
006b N1-412-06-6/2b	Program Management Files – Other than senior officials	Close inactive records at end of calendar year. Destroy 5 years after file closure.	1006b
037a GRS 9/7	Federal Employee Transportation Subsidy Records – Record copy	Destroy when 3 years old.	1006b
109a GRS 16/3a	EPA Forms – EPA form and documentation	Destroy 5 years after related form is discontinued, superseded, or canceled.	1006b
109b GRS 16/3b	EPA Forms – Background materials	Destroy when related form is discontinued, superseded, or canceled.	1006b
110a GRS 23/1	Office administrative files – Record copy	Destroy when 2 years old.	1006b
111b N1-412-06-5b	Calendars, schedules, and logs of daily activities – Other federal employees	Close at end of calendar year. Destroy 2 years after file closure.	1006b
111c N1-412-06-5c	Calendars, schedules, and logs of daily activities – Routine materials	Close at end of calendar year. Destroy when no longer needed.	1006d
121c GRS 9/1c	Transportation and Freight – Issuing office copies	Close file after period of the fiscal account. Destroy 6 years after file closure.	1006b
121d GRS 9/2	Transportation and Freight – Lost or damaged shipments files	Close file at end of year. Destroy 6 years after file closure.	1006b
121e GRS 9/4a	Transportation and Freight – General transportation files	Close at the end of the year. Destroy 2 years after file closure.	1006b
121f GRS 9/4b	Transportation and Freight – Accountability records	Close file after all entries are cleared. Destroy 1 year after file closure.	1006b
127a N1-412-06-6/4	General correspondence files – Record copy	Close inactive records at end of calendar year. Destroy 5 years after file closure.	1006b
141b N1-412-06-10b	Controlled and Major Correspondence – Other federal employees	Close inactive records at end of year. Destroy 10 years after file closure.	1006a
147a N1-412-10-3a	Information Quality Guidelines (IQG) Requests for Correction (RFC) and Reconsideration (RFR) Process – Record copy	Close file upon completion of final response and verification of actions taken. Destroy 10 years after file closure.	1006a
162a GRS 20/13	Word processing files – nonrecord copy	Delete when no longer needed for updating or revision.	1006d
164a GRS 20/15a	Electronic spreadsheets – When used to produce hard	Delete when no longer needed to update or	1006d

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 March 31, 2016

	copy that is maintained in organized files	produce hard copy.	
164b GRS 20/15b	Electronic spreadsheets – When maintained only in electronic form	Delete after the expiration of the retention period authorized for the hard copy by NARA’s General Records Schedules or an approved Agency records schedule. If the electronic version replaces hard copy records with differing retention periods, and Agency software does not readily permit selective deletion, delete after the longest retention period has expired.	1006d
165a GRS 20/14	Electronic mail (e-mail) – nonrecord copy	Delete from the electronic mail system after copying to a recordkeeping system.	1006d
166a GRS 23/6a	Suspense files – A note or other reminder to take action	Destroy after action is taken.	1006e
166b GRS 23/6b	Suspense files – The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected	Withdraw documents when reply is received. If suspense copy is an extra copy, destroy immediately. If suspense copy is the file copy, incorporate it into the official files.	1006e
167a GRS 23/7	Transitory files – Record copy Note: 1 st bullet moved to GRS 4.2/010	Close inactive records at end of month. Destroy 3 months after file closure.	1006d and e
169a GRS 23/9	Finding Aids and Indexes – Record copy	Follow instructions for the related records.	1006 guidance
186a GRS 26/3	Committee records not maintained by the sponsor or secretariat	Destroy when 3 years old.	1006b
187a N1-412-07-1/8	Intra-Agency and internal committees – Committees related to EPA’s environmental missions	Close inactive records when committee superseded or canceled, at the completion of a significant activity (e.g., completion of a research report), or at the change of committee chair. Destroy 5 years after file closure.	1006b
187b GRS 26/1a	Intra-Agency and internal committee records – Committees unrelated to EPA’s environmental missions	Destroy when no longer needed for administrative purposes.	1006b
200a N1-412-06-11a	Training material – Routine training materials	Close inactive records after course or material is superseded. Destroy 5 years	1006b

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		after file closure.	
258c N1-412-06- 27c	Final deliverables and reports – Nonenvironmental programs	Close inactive records upon completion of project. Destroy 7 years after file closure.	1006b
276a(2) N1-412-07- 69/1	Time and attendance source records – Source records – Copies maintained by other offices	Close inactive records at end of pay period. Destroy 1 year after file closure.	1006b
279b(2) GRS 2/9b	Leave records – Leave record – Maintained by creating office	Close inactive records when signed by supervisor. Destroy 3 years after file closure.	1006b
307a(2) GRS 16/2a(2)	Records Disposition Files – Records description and disposition program documentation	Close inactive records after the related records are destroyed or after the related records are transferred to the National Archives, whichever is applicable. Destroy 6 years after file closure.	1006b
307b GRS 16/2b	Records Disposition Files – Routine correspondence and memoranda	Close inactive records at the end of calendar year. Destroy 2 years after file closure.	1006b
309a GRS 14/1	Information requests and acknowledgment files – Routine requests for information and replies	Destroy when 3 months old.	1006d
309b GRS 14/2	Information requests and acknowledgment files – Acknowledgments and transmittals of inquiries and requests referred elsewhere for reply	Destroy 3 months after acknowledgment and referral	1006d
653a GRS 12/1	Messenger Service Files – Record copy	Destroy when 2 months old.	1006b
654a GRS 12/5a	Post Office and Private Mail Company Records – Records relating to incoming or outgoing mail	Destroy when 1 year old.	1006b
654b GRS 12/5b	Post Office and Private Mail Company Records – Applications	Destroy when 1 year old.	1006b
654c GRS 12/5c	Post Office and Private Mail Company Records – Reports	Destroy when 1 year old.	1006b
655a GRS 12/6a	Mail and Delivery Service Control Files – Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service	Destroy when 1 year old.	1006b

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655b GRS 12/6b	Mail and Delivery Service Control Files – Statistical reports of postage used on outgoing mail and fees paid for private deliveries	Destroy when 6 months old.	1006b
655c GRS 12/6c	Mail and Delivery Service Control Files – Requisition for stamps	Destroy when 6 months old.	1006b
655d GRS 12/6d	Mail and Delivery Service Control Files – Statistical reports and data relating to handling of mail and volume of work performed	Destroy when 1 year old.	1006b
655e GRS 12/6e	Mail and Delivery Service Control Files – Records relating to checks, cash, stamps, money orders, or any other valuables remitted to the Agency by mail	Destroy when 1 year old.	1006b
655f GRS 12/6f	Mail and Delivery Service Control Files – Records of and receipts for mail and packages received through the Official Mail and Messenger Service	Destroy when 6 months old.	1006b
655g GRS 12/6g	Mail and Delivery Service Control Files – General files	Destroy when 1 year old or when superseded or obsolete, whichever is applicable.	1006b
655h GRS 12/6h	Mail and Delivery Service Control Files – Locator cards, directories, indexes, and other records relating to mail delivery to individuals	Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable.	1006b
661a GRS 13/2a	Printing Project Files – Files pertaining to the accomplishment of the printing job	Destroy 1 year after completion of job.	1006b
661b GRS 13/2b	Printing Project Files – Files pertaining to planning and other technical matters	Destroy when 3 years old.	1006b
662a GRS 13/3	Printing Control Files – Record copy	Destroy 1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable.	1006b
664a GRS 13/4a	Mailing lists source records – Correspondence, request forms, and other records relating to changes in mailing lists	Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner.	1006d
664b GRS 13/4b	Mailing lists source records – Card lists	Destroy individual cards when canceled or revised.	1006d

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673b GRS 13/8b	Federal Activities Inventory Reform (FAIR) Act records – Circular No. A-76 records maintained by other offices (other than Financial Management)	Close inactive records when action completed. Destroy 2 years after file closure.	1006b
745a GRS 20/16	Ad hoc printouts – record copy	Destroy when no longer needed for administrative, legal, audit, or other operational purposes, provided the printouts do not contain substantive information, such as substantive annotations, that is not included in the electronic records.	1006d