

## Request for Records Disposition Authority

Records Schedule Number      **DAA-0412-2013-0018**

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                      **Permits**

Internal agency concurrences will be provided      **No**

Background Information                      **This schedule covers records related to the issuance or denial of environmental permits by EPA offices or authorized states, federal facilities, interstate, or local agencies.**

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>5</b>	<b>1</b>	<b>4</b>	<b>0</b>

### GAO Approval

## Outline of Records Schedule Items for DAA-0412-2013-0018

Sequence Number	
1	<b>Permits</b>
1.1	Historically significant permits Disposition Authority Number: DAA-0412-2013-0018-0001
1.2	Administrative records for historically significant permits Disposition Authority Number: DAA-0412-2013-0018-0002
1.3	Routine permits Disposition Authority Number: DAA-0412-2013-0018-0003
1.4	Dredging and fill permits (except the 404 program under Section 404 of the Clean Water Act (CWA) covered by schedule 1035) Disposition Authority Number: DAA-0412-2013-0018-0004
1.5	Financial and state assurance documents Disposition Authority Number: DAA-0412-2013-0018-0005

## Records Schedule Items

Sequence Number					
1	<b>Permits</b>				
1.1	<p><b>Historically significant permits</b></p> <p>Disposition Authority Number      <b>DAA-0412-2013-0018-0001</b></p> <p>Includes, but is not limited to: Resource Conservation and Recovery Act (RCRA) generators, transporters, and treatment, storage, and disposal (TSD) facilities files for RCRA land disposal permits, including notification forms, permit applications and modifications, background and supporting documentation, public notices, drafts and final permits, comments and records of public meetings, fact sheets, exception reports, appeals, import and export notifications, closure and post-closure documents, inspection reports, court orders, manifests, delistings, correspondence, records relating to interim status, and related records; and underground injection control (UIC) Class I, II, III, V, and VI permits, when EPA is the permitting authority, UIC aquifer exemptions, land ban petitions, monitoring reports for UIC Class I permits, including permit applications and final permits, permit modifications, background and supporting documentation, public notices, documentation of compliance with statutory requirements (e.g., Wild and Scenic Rivers Act, Endangered Species Act, National Historic Preservation Act), comments and records of public meetings, fact sheets, exception reports, appeals, correspondence, and related records.</p> <p>Final Disposition                      <b>Permanent</b></p> <p>Item Status                                <b>Active</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 1047 item a</b></td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation      <b>N1-412-08-6a(1)</b>     <b>N1-412-08-6a(2)</b>     <b>N1-412-07-6a(1)</b>     <b>N1-412-07-6a(2)</b></p>	Manual Citation	Manual Title	<b>EPA 1047 item a</b>	
Manual Citation	Manual Title				
<b>EPA 1047 item a</b>					

**Disposition Instruction**

Cutoff Instruction	Close RCRA records at permit termination if post-closure care is not required; if post-closure care is required, close records at completion of post-closure care period. Close UIC records when a well has been properly plugged, abandoned and terminated per EPA requirements, or when a permit application has been denied or withdrawn, or when a determination has been made that a permit is not required, or if the permit has been issued and not acted upon by the company within one 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

**Administrative records for historically significant permits**

Disposition Authority Number      DAA-0412-2013-0018-0002

Includes, but is not limited to: administrative records for RCRA land disposal permits when EPA is the permitting authority, if maintained separately from the permit file, including permit applications, draft permits or notices of intent to deny, statements of basis and documentation, comments received during the public comment period, public hearing transcripts, final permits, and related records; and administrative records for UIC and UIC land ban exemptions, if maintained separately from the permit file, including land ban petitions, permit applications, draft permits or notices of intent to deny, statements of basis and documentation, comments received during the public comment period, public hearing transcripts, final permits, 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	Yes

electronic format(s) other than e-mail and word processing?

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
EPA 1047 item b	

GRS or Superseded Authority Citation **N1-412-07-36a**  
**N1-412-07-36b**

**Disposition Instruction**

Cutoff Instruction **Close at issuance of administrative record.**  
Retention Period **Destroy 30 year(s) after file closure.**

**Additional Information**

GAO Approval **Not Required**

**Routine permits**

Disposition Authority Number **DAA-0412-2013-0018-0003**

Administrative records for permits excluding those covered by item b, including permit applications, draft permits or notices of intent to deny, statements of basis and documentation, comments receiving during the public comment period, public hearing transcripts, final permits, and related records; other permit files such as UIC (excluding where EPA is the permitting authority and UIC aquifer exemptions covered by item a), national pollutant discharge elimination system (NPDES), pretreatment, sewage treatment, ocean dumping, new source review (NSR) (including prevention of significant deterioration (PSD), nonattainment NSR, and minor NSR), and Toxic Substances Control Act (TSCA) polychlorinated biphenyls (PCB) disposal, including draft and final permits, permit modifications, background and supporting documentation, public notices, comments and records of public meetings, fact sheets, exception reports, appeals, delistings, correspondence, and related records (except those covered in items a and d); RCRA permits excluding RCRA land disposal covered by item a, including facilities that comply with regulations without following the usual permitting process, and contains notification forms, permit applications and modifications, background and supporting documentation, public notices, drafts and final permits, comments and records of public meetings, fact sheets, exception reports, appeals, import and export notifications, closure and post-closure documents, inspection reports, court orders, manifests, delistings, correspondence, records relating to interim status, and related records; and UIC Class V survey forms where the facilities have responded that there is no shallow well on their property and do not require a permit, or businesses change ownership or go bankrupt.

1.3

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 1047 item c	

GRS or Superseded Authority Citation  
 N1-412-08-6b  
 N1-412-08-6c  
 N1-412-07-36c  
 N1-412-07-36d  
 N1-412-07-6b

**Disposition Instruction**

Cutoff Instruction Close when administrative record is issued, or permit is renewed or terminated, or when no longer needed for current agency business.

Retention Period Destroy 10 year(s) after file closure.

**Additional Information**

GAO Approval Not Required

Dredging and fill permits (except the 404 program under Section 404 of the Clean Water Act (CWA) covered by schedule 1035)

Disposition Authority Number DAA-0412-2013-0018-0004

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

1.5

Manual Citation	Manual Title
EPA 1047 item d	

GRS or Superseded Authority Citation      N1-412-08-6d

**Disposition Instruction**

Cutoff Instruction      Close when permit is renewed or terminated (revocation or expiration), or at end of calendar year, or when no longer needed for current agency business.

Retention Period      Destroy 5 year(s) after file closure.

**Additional Information**

GAO Approval      Not Required

**Financial and state assurance documents**

Disposition Authority Number      DAA-0412-2013-0018-0005

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 1047 item e	

**Disposition Instruction**

Cutoff Instruction      Close when related records are destroyed or transferred to the National Archives.

Retention Period      Destroy after file closure or return to submitter.

**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
11/14/2013	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
11/15/2013	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
11/18/2013	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
05/07/2015	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
05/11/2015	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
05/11/2015	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
08/03/2015	Submit for Concurrence	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
08/05/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services



08/05/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
08/06/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

**204 Permits**

Activities associated with issuance or denial of environmental permits by EPA offices or authorized states, federal facilities, interstate, or local agencies.

<b>Previous Schedule</b>	<b>Previous Title</b>	<b>Previous Retention</b>	<b>New Schedule</b>
205a(1) N1-412-08-6a(1)	Permit Files – UIC, when EPA is the permitting authority and UIC exemptions – Nonelectronic	Close inactive records when a well has been properly plugged, abandoned and terminated per EPA requirements; or when a permit application has been denied or withdrawn; or when a determination has been made that a permit is not required or if the permit has been issued and not acted upon by the company within one year. Transfer to the National Archives 30 years after file closure.	1047a
205a(2) N1-412-08-6a(2)	Permit Files – UIC, when EPA is the permitting authority and UIC exemptions – Electronic	Close inactive records when a well has been properly plugged, abandoned and terminated per EPA requirements; or when a permit application has been denied or withdrawn; or when a determination has been made that a permit is not required or if the permit has been issued and not acted upon by the company within one 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.	1047a
205a(3) N1-412-08-6a(3)	Permit Files – UIC, when EPA is the permitting authority and UIC exemptions – 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.	1047 guidance 008a
205b N1-412-08-6b	Permit Files – NPDES minor permits	Close inactive records when no longer needed. Destroy 10 years after file closure.	1047c
205c N1-412-08-6c	Permit Files – All others, excluding those covered in items a, b and d	Close inactive records at permit renewal or termination (revocation or expiration) or at end of calendar year. Destroy 10 years after file	1047c

Crosswalk for schedule 1047  
November 13, 2013

Previous Schedule	Previous Title	Previous Retention	New Schedule
		closure.	
205d N1-412-08-6d	Permit Files – Dredging and fill	Close inactive records at permit renewal or termination (revocation or expiration) or at end of calendar year. Destroy 5 years after file closure.	1047d
210a N1-412-07-36a	Administrative Records – Permits – RCRA land disposal	Close inactive records at issuance of administrative record. Destroy 30 years after file closure.	1047b
210b N1-412-07-36b	Administrative Records – Permits – UIC and UIC exemptions	Close inactive records at issuance of administrative record. Destroy 30 years after file closure.	1047b
210c N1-412-07-36c	Administrative Records – Permits – NPDES minor permits	Close inactive records at issuance of administrative record. Destroy 10 years after file closure.	1047c
210d N1-412-07-36d	Administrative Records – Permits – All other permits	Close inactive records at issuance of administrative record. Destroy 10 years after file closure.	1047c
478a(1) N1-412-07-6a(1)	RCRA Generators, Transporters, and TSD Facilities Files – RCRA land disposal permits - Nonelectronic	Close inactive records at permit renewal or termination. Transfer to the National Archives 20 years after file closure.	1047a
478a(2) N1-412-07-6a(2)	RCRA Generators, Transporters, and TSD Facilities Files – RCRA land disposal permits – Electronic	Close inactive records at permit renewal or termination. 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.	1047a
478a(3) N1-412-07-6a(3)	RCRA Generators, Transporters, and TSD Facilities Files – RCRA land disposal permits – 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.	1047 guidance 008a
478b N1-412-07-6b	RCRA Generators, Transporters, and TSD Facilities Files – Other permits for generators, transporters, and TSD facilities	Close inactive records at permit renewal or termination. Destroy 10 years after file closure.	1047c