



# EPA Records Schedule 027

**Status:** Final, 11/30/2009

**Title:** Integrated Compliance Information System (ICIS)

**Program:** Enforcement and Compliance Assurance

**Applicability:** Agency-wide

**Function:** 108-025-08 - Compliance and Enforcement

## **NARA Disposal Authority:**

This schedule authorizes the disposition of the record copy in any media (media neutral), excluding any records already in electronic form. Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- N1-412-05-5

## **Description:**

The Integrated Compliance Information System (ICIS) is the core information management system supporting the enforcement and compliance operations of the Office of Enforcement and Compliance Assurance (OECA). In addition, ICIS is replacing several older legacy programmatic systems, including the Permit Compliance System (PCS) which supports the National Pollutant Discharge Elimination System (NPDES) program. The system is used for tracking federal enforcement and compliance and NPDES activities performed by the EPA headquarters and regional offices and state offices. Information in ICIS is made available to the public through the Enforcement Compliance History Online (ECHO) system. It also includes information on Tribal lands where enforcement activities may occur and NPDES data which is being transitioned from PCS to ICIS through a series of phased releases..

Input is entered by EPA regional office attorneys and engineers from paper legal documents, the Case Conclusion Data Sheets, and inspection reports. Data in the system includes detailed facility information; compliance activities such as compliance monitoring, compliance determination, deficiencies, incident descriptions, and enforcement descriptions. Incident descriptions include required notifications and citizen tips or complaints, enforcement actions, and reports. Enforcement descriptions include case initiations, settlement information, and follow-up activities resulting from the enforcement action. The information for the NPDES program includes Permit data, Effluent Limits and Discharge Monitoring Report (DMR) data. The system also includes extensive reporting capabilities to extract the described information.

The data from ICIS are made available to other EPA systems, including the Integrated Data for Enforcement Analysis (IDEA) system, the Online Targeting Information System (OTIS) for Government Agencies, ECHO, and the Facility Registry System (FRS) which are scheduled separately.

## **Disposition Instructions:**

**Item a:** Electronic software program

This item is to be used only by the Office of Enforcement and Compliance Assurance, Enforcement Targeting and Data Division at Headquarters.

- **Disposable**
- Destroy when no longer needed to ensure access to, and use of, the electronic records throughout the authorized retention period.

**Item b: Input**

- **Varies**
- Follow instructions for EPA 171.

**Item c: Electronic data**

This item is to be used only by the Office of Enforcement and Compliance Assurance, Enforcement Targeting and Data Division at Headquarters.

- **Permanent**
- Transfer to the National Archives after each major version change, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

**Item d: Output and reports**

- **Varies**
- File with related records and follow instructions for the related records.

**Item e: System documentation**

This item is to be used only by the Office of Enforcement and Compliance Assurance, Enforcement Targeting and Data Division at Headquarters.

- **Permanent**
- Transfer to the National Archives those records necessary to document how the system captures, manipulates, and outputs data, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. This documentation is to be transferred with the electronic data (item c).

**Guidance:**

Records covered under items b and d are to be filed with the related records and dispositioned according to the instructions for the related records by the office maintaining the records.

Superfund site-specific enforcement actions are covered by EPA 025; oil site-specific enforcement actions are covered by EPA 480; and the remainder of enforcement actions are covered by EPA 207. See EPA 211 for compliance files.

ICIS replaces the Enforcement Docket System scheduled as EPA 089. It also replaces the enforcement and compliance components in the following systems:

- EPA 257 - National RCRA Information System (RCRAInfo) (Replaced EPA 252 - Resource Conservation and Recovery Information System (RCRIS))
- EPA 413 - SDWIS/Operational Data System (SDWIS/ODS) (Formerly the Safe Drinking Water Information System (SDWIS))
- EPA 496 - Air Quality System (AQS) (Formerly the Aerometric Information Retrieval System (AIRS))
- IDEA, including ECHO and OTIS, is scheduled as 022. FRS is covered by EPA 096.

The Permit Compliance System (PCS) (EPA 419) will be replaced by ICIS.

**Reasons for Disposition:**

The following change was made in the 11/30/2009 version:

- Revised the description.

The following changes were made in the 04/30/2009 version:

- Added applicability statement to items a, c and e.
- Revised wording of disposition instructions for item a and b.
- Revised title of item e.
- Updated cross references.

NARA has determined that ICIS data has sufficient research value to warrant permanent retention.

**Custodians:**

Office of Enforcement and Compliance Assurance, Enforcement Targeting and Data Division

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**Related Schedules:**

EPA 022, EPA 025, EPA 089, EPA 096, EPA 171, EPA 207, EPA 211, EPA 257, EPA 413, EPA 419, EPA 480, EPA 496

**Previous NARA Disposal Authority:**

None

**Entry:** 05/04/2001

**EPA Approval:** 11/01/2004

**NARA Approval:** 07/18/2005