

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>N1-412-06-7</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>1-24-2006</i>	
1. FROM (Agency or establishment) U.S. Environmental Protection Agency		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Constance Downs	5. TELEPHONE 202-566-1640	DATE <i>8/17/06</i>	ARCHIVIST OF THE UNITED STATES <i>Ala Warrick</i>
6. 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 on the attached <u>3</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>1/20/06</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Constance Downs</i>	TITLE Acting Agency Records Officer	

7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	EPA 007 - Directives and Policy Guidance Documents Issued by Specific Programs and Regions	N1-412-94-2/4	

cc Agency NR NUM & NUME NUMU

EPA Records Schedule 007

Status: Final, 03/30/2007

Title: Directives and Policy Guidance Documents Issued by Specific Programs and Regions

Program: All Programs

Applicability: Agency-wide

Function: 306-112 - Policy and Guidance Development

NARA Disposal Authority:

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

- N1-412-06-7

Description:

Includes all records that document EPA's major policy decisions and program operational procedures originated within each program and regional office providing the mandates for overall and specific program direction and action. Records consist of official policy decisions, delegations of authority, memos that set policy or issue guidance, operating guidance, procedures manuals, other procedural materials, technical resource documents, regulatory interpretation and implementation documents, and mandates for action. These collections of materials may be in the form of a program directives system or a program compendium with finding aids and indexes.

Disposition Instructions:

Item a: Published or released to the public and related background materials

- **Permanent**
- Close inactive records upon issuance or publication or when superseded.
- Transfer nonelectronic records to NARA in 5 year blocks, 20 years after file closure.
- Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 20 years after file closure.

Item b: Unpublished or not released to the public and related background materials

- **Disposable**
- Close inactive records upon decision to not publish or issue.

- Destroy 10 years after file closure.

Guidance:

This schedule covers all directives, guidance documents, and compendiums at the point of origin. The directives approval files maintained by the Human Capital Planning and Policy Division (HCPPD) of the Office of Administration and Resources Management (OARM) are also covered by item a.

The office that issues the guidance or directive is responsible for implementing the disposition and ensuring that a permanent record is maintained either in issuing office or a central facility (e.g., records center, central program office). For example, if a regional program develops a directive or guidance document that is issued program-wide (e.g., Superfund presumptive remedy documents), the regional program office is responsible for implementing the disposition.

Programs should determine what background materials and drafts are necessary to fully document the development of the directive or guidance and retire them with the directives and guidance. Background materials and drafts that are not needed to document the development of the directive or guidance can be destroyed when no longer needed in accordance with EPA 008 as nonrecords.

Programs should maintain an on-site reference set of current directives to support litigation and ongoing activities. Reference sets are nonrecords and are covered by EPA 008.

Directives and policy guidance documents that are finalized and distributed within the Agency may be considered "published" even if they are not released to the public.

Also includes signature or signatory authority and authority to use the "auto pen" for automatically affixing signatures to documents.

Information copies maintained by programs other than the issuing one should be destroyed when superseded or no longer needed.

Previous schedule items combined into this schedule were for the following programs: Organization and Management, Water, Solid Waste, Administrator and Deputy Administrator, and Office Management. Specific item numbers are cited below.

Reasons for Disposition:

This item documents the major functions, organization, policies, and operation of the Agency. These records were previously appraised by the National Archives as N1-412-94-2/4. The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system.

Item c for electronic copies created with word processing and electronic mail applications was removed 08/09/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 008

Previous NARA Disposal Authority:

NC174-118/1/4, NC1-412-77-1/12, NC1-412-78-6/7, NC1-412-82-8/26, NC1-412-85-6/16,
NC1-412-85-7/22, NC1-412-85-11/7, N1-412-86-2/15, N1-412-94-2/4

Entry: 03/29/1991

EPA Approval: 01/20/2006

NARA Approval: 08/10/2006

This schedule is in draft. It may be used to retire records, but may not be used to destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 007

*SUPERSEDED
BY VERSION OF
3/30/07
(See e-mail of 3/20/07)*

Status: Draft, 05/04/2006

Title: Directives and Policy Guidance Documents Issued by Specific Programs and Regions

Program: All Programs

Applicability: Agency-wide

Function Code: 306-112 - Policy and Guidance Development

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards.

- N1-412-06-7

Description:

Includes all records which document EPA's major policy decisions and program operational procedures originated within each program and regional office providing the mandates for overall and specific program direction and action. Records consist of official policy decisions, delegations of authority, memos which set policy or issue guidance, operating guidance, procedures manuals, other procedural materials, technical resource documents, regulatory interpretation and implementation documents, and mandates for action. These collections of materials may be in the form of a program directives system or a program compendium with finding aids and indexes.

Disposition Instructions:

Item a: Published and/or released to the public - Record copy of directives and policy guidance documents that are published and/or released to the public and related background materials that are necessary to fully document the development of the directive or guidance

- Permanent
- Close inactive records upon issuance, publication, or when superseded. Transfer non-electronic records to NARA in 5 year blocks, 20 years after file closure. Transfer electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1228.70 or standards applicable at the time.

Item b: Unpublished - Record copy of directives and policy guidance documents that are unpublished and related background materials

- Disposable

- Close inactive records upon decision to not publish or issue. Destroy 10 years after file closure.

Item c: Electronic copies created with word processing and electronic mail applications

- Disposable
- Destroy when record copy is captured in a recordkeeping system.

Guidance:

This schedule covers all directives, guidance documents, and compendiums at the point of origin. It also covers the directives approval files maintained by the Human Capital Planning and Policy Division (HCPPD) of the Office of Administration and Resources Management (OARM) which are dispositioned under item a.

The office that issues the guidance or directive is responsible for implementing the disposition and ensuring that a permanent record is maintained either in issuing office or a central facility (e.g., records center, central program office). For example, if a regional program develops a directive or guidance document which is issued program-wide (e.g., Superfund presumptive remedy documents), the regional program office is responsible for implementing the disposition.

Programs should determine what background materials and drafts are necessary to fully document the development of the directive or guidance and retain them with the directives and guidance. Background materials and drafts that are not needed to document the development of the directive or guidance can be destroyed when no longer needed in accordance with EPA 008 - Nonrecords.

Programs should maintain an on-site reference set of current directives to support litigation and ongoing activities. Reference sets are nonrecords and are covered by EPA 008.

Directives and policy guidance documents that are finalized and distributed within the Agency may be considered "published" even if they are not released to the public.

Also includes signature or signatory authority and authority to use the "auto pen" for automatically affixing signatures to documents.

Information copies maintained by programs other than the issuing one should be destroyed when superseded or no longer needed.

Previous schedule items combined into this schedule were for the following programs: Organization and Management, Water, Solid Waste, Administrator and Deputy Administrator, and Office Management. Specific item numbers are cited below.

Reasons for Disposition:

This item documents the major functions, organization, policies, and operation of the Agency. These records were previously appraised by the National Archives as N1-412-94-2/4. The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system.

The following items in the disposition instructions were renumbered, moved or deleted on 03/14/2006:

Item a - Record copy of directives and guidance that are published and/or released to the public was changed to include record copy of background materials and drafts (item b in 01/19/2006 version). The retention is unchanged.

Item b - Record copy of background materials and drafts in the 01/19/2006 version was divided between:

- Item a - Record copy of directives and policy guidance documents that are published and/or released to the public and related background materials that are necessary to fully document the development of the directive or guidance.
- Item b - Record copy of directives and policy guidance documents that are unpublished and related background material. The retention is unchanged.

Item c - Record copy of unpublished directives and guidance in the 01/19/2006 version was renumbered to item b. The retention is unchanged.

Item d - Electronic copies created with word processing and electronic mail applications in the 01/19/2006 version was renumbered to item c. The retention is unchanged.

Custodians:

Multiple units

Related Schedules:

EPA 006, EPA 008

Previous NARA Disposal Authority:

NC174-118/1/4, NC1-412-77-1/12, NC1-412-78-6/7, NC1-412-82-8/16, NC1-412-85-6/16, NC1-412-85-7/22, NC1-412-85-11/7, NI-412-86-2/15, NI-412-94-2/4

Entry: 03/29/1991

EPA Approval: 01/20/2006

NARA Approval: Pending

This schedule is under development and MAY NOT be used to retire or destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 007

Status: Development, 03/14/2006

Title: Directives and Policy Guidance Documents Issued by Specific Programs and Regions

Program: All Programs

Applicability: Agency-wide

SUPERSEDED
VERSION

NARA Disposal Authority:

- Pending

Description:

Includes all records which document EPA's major policy decisions and program operational procedures originated within each program and regional office providing the mandates for overall and specific program direction and action. Records consist of official policy decisions, delegations of authority, memos which set policy or issue guidance, operating guidance, procedures manuals, other procedural materials, technical resource documents, regulatory interpretation and implementation documents, and mandates for action. These collections of materials may be in the form of a program directives system or a program compendium with finding aids and indexes.

Disposition Instructions:

Item a: Published and/or released to the public - Record copy of directives and policy guidance documents that are published and/or released to the public and related background materials that are necessary to fully document the development of the directive or guidance

- Permanent
- Close inactive records upon issuance, publication, or when superseded. Transfer to NARA in 5 year blocks, 20 years after file closure.

Item b: Unpublished - Record copy of directives and policy guidance documents that are unpublished and related background materials

- Disposable
- Close inactive records upon decision to not publish or issue. Destroy 10 years after file closure.

Item c: Electronic copies created with word processing and electronic mail applications

- Disposable
- Destroy when record copy is captured in a recordkeeping system.

Guidance:

This schedule covers all directives, guidance documents, and compendiums at the point of origin. It also covers the directives approval files maintained by the Human Capital Planning and Policy Division (HCPPD) of the Office of Administration and Resources Management (OARM) which are dispositioned under item a.

The office that issues the guidance or directive is responsible for implementing the disposition and ensuring that a permanent record is maintained either in issuing office or a central facility (e.g., records center, central program office). For example, if a regional program develops a directive or guidance document which is issued program-wide (e.g., Superfund presumptive remedy documents), the regional program office is responsible for implementing the disposition.

Programs should determine what background materials and drafts are necessary to fully document the development of the directive or guidance and retire them with the directives and guidance. Background materials and drafts that are not needed to document the development of the directive or guidance can be destroyed when no longer needed in accordance with EPA 008 - Nonrecords.

Programs should maintain an on-site reference set of current directives to support litigation and ongoing activities. Reference sets are nonrecords and are covered by EPA 008.

Directives and policy guidance documents that are finalized and distributed within the Agency may be considered "published" even if they are not released to the public.

Also includes signature or signatory authority and authority to use the "auto pen" for automatically affixing signatures to documents.

Information copies maintained by programs other than the issuing one should be destroyed when superseded or no longer needed.

Previous schedule items combined into this schedule were for the following programs: Organization and Management, Water, Solid Waste, Administrator and Deputy Administrator, and Office Management. Specific item numbers are cited below.

Reasons for Disposition:

This item documents the major functions, organization, policies, and operation of the Agency. These records were previously appraised by the National Archives as N1-412-94-2/4. The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system.

The following items in the disposition instructions were renumbered, moved or deleted on 03/09/2006:

Item a - Record copy of directives and guidance that are published and/or released to the public was changed to include record copy of background materials and drafts (item b in 01/19/2006 version). The retention is unchanged.

Item b - Record copy of background materials and drafts in the 01/19/2006 version was divided between:

- Item a - Record copy of directives and policy guidance documents that are published and/or released to the public and related background materials that are necessary to fully document the

development of the directive or guidance.

- Item b - Record copy of directives and policy guidance documents that are unpublished and related background materials. The retention is unchanged.

Item c - Record copy of unpublished directives and guidance in the 01/19/2006 version was renumbered to item b. The retention is unchanged.

Item d - Electronic copies created with word processing and electronic mail applications in the 01/19/2006 version was renumbered to item c. The retention is unchanged.

Custodians:

Multiple units

Related Schedules:

EPA 006, EPA 008

Previous NARA Disposal Authority:

NC174-118/1/4, NC1-412-77-1/12, NC1-412-78-6/7, NC1-412-82-8/26, NC1-412-85-6/16, NC1-412-85-7/22, NC1-412-85-11/7, N1-412-86-2/15, N1-412-94-2/4

Entry: 03/29/1991

EPA Approval: Pending

NARA Approval: Pending

This schedule is under development and MAY NOT be used to retire or destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 007

Status: Development, 01/19/2006

Title: Directives and Policy Guidance Documents Issued by Specific Programs and Regions

Program: All Programs

Applicability: Agency-wide

SUPERSEDED
VERSION

NARA Disposal Authority:

- Pending

Description:

Includes all records which document EPA's major policy decisions and program operational procedures originated within each program and regional office providing the mandates for overall and specific program direction and action. Records consist of official policy decisions, delegations of authority, memos which set policy or issue guidance, operating guidance, procedures manuals, other procedural materials, technical resource documents, regulatory interpretation and implementation documents, and mandates for action. These collections of materials may be in the form of a program directives system or a program compendium with finding aids and indexes.

Disposition Instructions:

Item a: Record copy of directives and guidance that are published and/or released to the public

- Permanent
- Close file upon issuance, publication, or when superseded. Transfer to NARA in 5 year blocks, 20 years after file closure.

Item b: Record copy of background materials and drafts

- Permanent
- Close file upon issuance, publication or when superseded. Transfer to NARA in 5 year blocks, 20 years after file closure.

Item c: Record copy of unpublished directives and guidance

- Disposable
- Close file upon decision to not publish or issue. Destroy 10 years after file closure.

Item d: Electronic copies created with word processing and electronic mail applications

- Disposable

SUPERSEDED

- Destroy when record copy is generated.

Guidance:

This schedule covers all directives, guidance documents, and compendiums at the point of origin. It also covers the directives approval files maintained by the Human Capital Planning and Policy Division (HCPPD) of the Office of Administration and Resources Management (OARM) which are dispositioned under item a.

The office that issues the guidance or directive is responsible for implementing the disposition and ensuring that a permanent record is maintained either in issuing office or a central facility (e.g., records center, central program office). For example, if a regional program develops a directive or guidance document which is issued program-wide (e.g., Superfund presumptive remedy documents), the regional program office is responsible for implementing the disposition.

Programs should maintain an on-site reference set of current directives to support litigation and ongoing activities. Reference sets nonrecords and are covered by EPA 008.

Directives and policy guidance documents that are finalized and distributed within the Agency may be considered "published" even if they are not released to the public.

Programs should determine what background materials and drafts are necessary to fully document the development of the directive or guidance and retain them with the directives and guidance. Other background materials and drafts are covered under item b.

Also includes signature or signatory authority and authority to use the "auto pen" for automatically affixing signatures to documents.

Information copies maintained by programs other than the issuing one should be destroyed when superseded or no longer needed.

Previous schedule items combined into this schedule were for the following programs: Organization and Management, Water, Solid Waste, Administrator and Deputy Administrator, and Office Management. Specific item numbers are cited below.

Reasons for Disposition:

This item documents the major functions, organization, policies, and operation of the Agency. These records were previously appraised by the National Archives as N1-412-94-2/4. Former item a(2) for reference copies was removed since they are nonrecords. Other retentions are unchanged. The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system.

Custodians:

Multiple units

Related Schedules:

EPA 006, EPA 008

Previous NARA Disposal Authority:

NC174-118/1/4, NCI-412-77-1/12, NCI-412-78-6/7, NCI-412-82-8/26, NCI-412-85-6/16, NCI-412-85-7/22, NCI-412-85-11/7, NI-412-86-2/15, NI-412-94-2/4

Entry: 03/29/1991

EPA Approval: Pending

NARA Approval: Pending