

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>701-412-06-30</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>7/20/2006</i>	
1. FROM (Agency or establishment) U.S. Environmental Protection Agency		<p align="center">NOTIFICATION TO AGENCY</p> <p>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 Adisposition not approved or Awithdrawn in column 10.</p>	
2 MAJOR SUBDIVISION Office of Water			
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER John B. Ellis	5 TELEPHONE 202-566-1643	DATE <i>6/20/06</i>	ARCHIVIST OF THE UNITED STATES <i>Allen B. ...</i>
<p>6. AGENCY CERTIFICATION</p> <p>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,</p> <p><input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.</p>			
DATE <i>07/14/06</i>	SIGNATURE OF AGENCY REPRESENTATIVE John B. Ellis	TITLE Agency Records Officer <i>J. B. Ellis</i>	
7 Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)

EPA 232 Waste Water Construction and State Revolving Fund Grants

NC1-412-85-25/5C

cc Agency, NR, DWMD, DWME, NWML

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

EPA Records Schedule 232

Status: Development, 06/27/2006

Title: Waste Water Construction and State Revolving Fund Grants

Program: Water

Applicability: Agency-wide

Function Code: 205 - Federal Financial Assistance

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.

- Pending

Description:

Contains documents pertaining to the administration of waste water construction and state revolving fund grants to states, municipalities, inter-municipal or interstate agency for the construction of publicly owned treatment works. Specific types of documents include documentation of significant actions and decisions, justification, cost estimates, scope of work, correspondence, applications, pre-award reviews, funding decisions, award documentation, commitment notices, audit records, status reports, and other records related to administration of the program.

Excludes: Final products and deliverables are scheduled as EPA 258.

Disposition Instructions:

Item a: Record copy

- Disposable
- Close inactive records upon closeout of the agreement. Destroy 20 years after file break.

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

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

Guidance:

Closeout is when the Agency determines all administrative actions, invoices, and required work is

completed (submission of the final expenditure report, SF 271 - Outlay Report and Request for Reimbursement for Construction Programs, by the recipient) or when the agreement is terminated or annulled and any disputes settled.

In the case of treatment works which are privatized (Executive Order 12803, dated April 30, 1992), documentation needs to be maintained until grant money is repaid or it is determined that no repayment is due.

This schedule provides disposition instructions for the EPA office responsible for administering the grants in item a. Copies of files maintained by other EPA offices are disposable when no longer needed (item b). If specified in the intergovernmental agreement, a state may be responsible for administering the grant or fund and the maintenance and disposition of the records.

If the grant records are maintained by EPA, the following offices and managers are responsible for maintaining a complete record set and for dispositioning documents as designated below:

Grants Management Office (Grants Specialist) - Record copy of applications; reviews and amendments related to the application; administrative review checklist; certifications; agreements and any amendments; award documentation; requests for deviations; stop work orders; documentation relating to termination actions; disputes and appeals, annulments and audits; legal opinions; reimbursement requests; payment vouchers; financial status reports; and increases and decreases; correspondence and other related documents.

Program Office (Project Officer) - Record copy of documents used for day-to-day technical direction of the grant or interagency agreement such as draft and copies of final products and deliverables; work plans and progress reports; draft documents and comments provided or other records of technical direction. Copies of applications, awards, amendments and other administrative and financial documents.

Grants and agreements that are being audited, appealed, or in any other kind of legal action can not be destroyed until the case is closed. See EPA 680 for the Grant Appeals and EPA 183 for Grant and Other Agreement Oversight.

Final deliverables, products, and reports are covered by EPA 258.

Grants for other programs are scheduled as EPA 001 for Superfund site-specific and EPA 003 for other programs. The Grants Information and Control System (GICS) is scheduled as EPA 575 and the Integrated Grants Management System (IGMS) as EPA 009.

Specific legal citations include, but are not limited to:

- Clean Water Act, as amended, Section 201, et seq.
- 40 CFR Part 31, 35 Subpart C, D, E, I, J, K
- Executive Order 12803

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Custodians:

Multiple units

Related Schedules:

EPA 001, EPA 003, EPA 009, EPA 183, EPA 258, EPA 575, EPA 680

Previous NARA Disposal Authority:

NC1-412-76-1/III/18 and 20, NC1-412-85-6/8, NC1-412-85-17/2, NC1-412-85-25/5c

Entry: 09/21/1992

EPA Approval: 06/25/1985

NARA Approval: Pending