

REQUEST FOR RECORDS DISPOSITION AUTHORITY		N1-412-07-1	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED 9/25/2006	
1. FROM (Agency or establishment) U.S Environmental Protection Agency		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
John B. Ellis	202-566-1643	1/26/07	Allen Wentz
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>4</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	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE	
9/18/06	John B. Ellis <i>John B. Ellis</i>	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 Item No.	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)

1	EPA 005 Special Studies	N1-412-94-2/2
2	EPA 082 Response to Audit, Evaluation, and Investigation	N1-412-94-2/14
3	EPA 132 Congressional Correspondence	N1-412-94-2/19
4	EPA 137 Federal Facilities Monitoring Files	NC1-412- 95-19/12 ^{76-1/14}
5	EPA 147 Information Quality Guidelines (IQG) Requests for Correction (RFC) and Reconsideration (RFR) Process	N1-412-05-4
6	EPA 154 Legislation	N1-412-94-2/25
7	EPA 185 Collections of Quality Assurance Project Plans (QAPPs)	N1-412-99-22
8	EPA 187 Intra-Agency and Internal Committees	N1-412-99-12
9	EPA 203 State and Other Entity Relations and Oversight Files	N1-412-94-2/32
10	EPA 211 Compliance Files	N1-412-95-7/2
11	EPA 259 Ombudsman and Citizen Complaint Files	N1-412-94-2/38
12	EPA 356 Federal Register Notice Files	N1-412-99-21
13	EPA 533 Environmental Awards	N1-412-94-2/48
14	EPA 624 Confidential Business Information (CBI) Access	N1-412-03-20

82 1/30/07 copies sent to Agency, NARA, NARA



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 005

Status: Development, 08/14/2006

Title: Special Studies

Program: All Programs

Applicability: Agency-wide

Function: 108 - Environmental Management

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.

- Pending

Description:

Contains supporting files relating to the development of special studies and surveys produced in house by individuals, committees or task forces. Examples of such studies include topics such as environmental levels of toxic substances, coastal zone management, or economic benefits and impacts of pesticides.

Excludes: Final studies and surveys (EPA 258) and management studies (EPA 105).

Disposition Instructions:

Item a: Record copy

- Disposable
- Close upon completion of study. Destroy 7 years after file closure.

Guidance:

Final studies and surveys are scheduled as EPA 258.

If copies of studies are incorporated into other series such as Superfund site files, that disposition takes

precedence. Reference (nonrecord) and information copies may be destroyed when no longer needed.

Contract records are covered in EPA 020 (Superfund site-specific), EPA 055, EPA 202, and EPA 258. Grants and other program agreements are found in EPA 001 (Superfund site-specific) and EPA 003 (all programs except Superfund site-specific). Management studies are scheduled as EPA 105 and pilot projects as EPA 099.

If tracking systems are used to manage the studies, they must be retained for the length of time specified in this schedule. However, databases specifically established as part of a special study need to be scheduled separately and are not covered by this schedule.

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.

The following items were deleted 08/14/2006:

Item b - Copies on optical disk and CD-ROM was deleted as nonrecords.

Item c - Electronic copies created with word processing and electronic mail applications was deleted pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 001, EPA 003, EPA 020, EPA 055, EPA 099, EPA 105, EPA 202, EPA 258

Previous NARA Disposal Authority:

NC1-412-76-1/II/20 (TN28-D2/20), NC1-412-76-1/III/22 (TN28-D3/22), NC1-412-76-1/V/9 (TN28-D5/9), NC1-412-76-3/5b (TN28-C14/5b), NC1-412-76-15/7b (TN28-c20/7b), NC1-412-78-10/12b, NC1-412-85-1/2, NC1-412-85-24/20b, N1-412-94-2/2

Entry: 03/20/1991

EPA Approval: Pending

NARA Approval: Pending

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Last updated on Friday, September 8th, 2006

URL: <http://intranet.epa.gov/records/schedule/devel/005.htm>



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 082

Status: Development, 08/15/2006

Title: Response to Audit, Evaluation, and Investigation

Program: All Programs

Applicability: Agency-wide

Function: 301-091 - Corrective Action

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.

- Pending

Description:

Includes records used to document and track the Agency's response to audit, evaluation, and investigation processes conducted internally (e.g., by Inspector General (IG)), or externally (e.g., by General Accounting Office (GAO)). Audits and evaluations may be initiated by EPA, by an outside agency with oversight over EPA, or it may be requested by Congress. Records relating to these special projects include controlled and follow-through correspondence, conference materials, issue and position papers, responses, work plans, studies, corrective actions, tracking/milestones, and related records such as Corrective Action System (CATS) printouts.

Records related particularly to Federal Managers Financial Integrity Act (FMFIA) include: documentation of internal control objectives and techniques, work plans, status reports on conduct of internal control reviews, correction of reported material weaknesses, and related materials such as the Corrective Action Tracking system (CATS), Event Cycle Documentation, Management Control Plan, Audit Follow-up, Annual Assurance Letter, and internal control review reports and supporting documentation.

Disposition Instructions:

Item a: Record copy

- Disposable
- Close inactive records when corrective action is complete. Destroy 10 years after file closure.

Guidance:

This series focuses on the specific response or corrective actions taken by the office subject to the evaluation function, not the audit itself. The record copy of the audit or evaluation will reside with the organization performing the audit (e.g., IG, GAO, Congress).

Program offices are responsible for maintaining and dispositioning the record copy of FMFIA documentation according to the disposition instructions. Internal control coordinators are not responsible for keeping the documentation, only a certification that it exists. All other copies may be destroyed when no longer needed.

Records of Agency directives and guidance created by Office of Management and Budget (OMB) and other offices relating to responses to evaluation/audit should be maintained in the responding office. Copies provided to internal control coordinators and audit liaisons should be kept as reference material and can be discarded when superseded.

Audit resolution records maintained in OARM are scheduled as EPA 658. Contract Reviews and Audits are scheduled as EPA 184.

As required by 36 CFR 1228.58, records with special restrictions such as confidential business information (CBI) or those exempted from disclosure by statute such as the Privacy Act must be shredded or otherwise definitively destroyed with witnessed disposal for records destroyed by contractors.

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 is unchanged.

Item b for electronic copies created with word processing and electronic mail applications was deleted 08/15/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 658

Previous NARA Disposal Authority:

NC1-412-83-3/4, NC1-412-85-1/4, N1-412-86-4/4, N1-412-94-2/14, GRS 22

Entry: 06/08/1992

EPA Approval: Pending

NARA Approval: Pending

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Last updated on Friday, September 8th, 2006

URL: <http://intranet.epa.gov/records/schedule/devel/082.htm>



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 132

Status: Development, 08/16/2006

Title: Congressional Correspondence

Program: All Programs

Applicability: Agency-wide

Function: 303-100 - Congressional Liaison Operations

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.

- Pending

Description:

Contains copies of congressional correspondence received and referred to the program offices for reply. Includes copies of responses and background materials such as letters and memoranda, notes from meetings or telephone calls, transcripts from Congressional inquiries or hearings, testimonies, and public hearing records. Includes correspondence from members of Congress and its committees.

Disposition Instructions:

Item a: Record copy

- Disposable
- Close inactive records at end of Congressional session. Destroy 5 years after file closure.

Guidance:

This series contains routine inquiries for lower level offices (Headquarters Division and below) and may be used by all programs to destroy Congressional correspondence for which the office arranged or signed the reply when not filed as part of Controlled or Major Correspondence. Significant inquiries should be filed in

Controlled or Major Correspondence, EPA 141. Other public inquiries are covered in EPA 309.

Copies of congressional correspondence incorporated into other files (e.g., Remedial Site Files - Superfund Site-Specific) should be dispositioned according to the instructions for the records they support.

Previous schedule items combined into this schedule were for the following programs: Federal Activities, Air Quality Planning and Standards, Regional Administrator and Staff, and Legislative. Specific item numbers are cited below.

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 is unchanged.

Item b for electronic copies created with word processing and electronic mail applications was deleted 08/16/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 127, EPA 141, EPA 309

Previous NARA Disposal Authority:

NC1-412-75-1/5, NC1-76-1/III/13, NC1-412-84-1/19, NC1-412-85-15/8, NC1-412-85-19/7, N1-412-87-2/10 and 17, N1-412-94-2/19

Entry: 08/20/1991

EPA Approval: Pending

NARA Approval: Pending

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Last updated on Friday, September 8th, 2006

URL: <http://intranet.epa.gov/records/schedule/devel/132.htm>



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 137

Status: Development, 08/16/2006

Title: Federal Facilities Monitoring Files

Program: All Programs

Applicability: Regions

Function: 108-025-08 - Compliance and Enforcement

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.

- Pending

Description:

Contains information used to monitor the environmental controls in use at installations and facilities operated by the federal government, including military installations. Monitoring includes all program areas. Records consist of correspondence with the facilities, survey reports showing inventory of pollution control equipment in use, discharge, and other factors.

Excludes: Site-specific records relating to hazardous waste sites at federal facilities which have been submitted under RCRA or CERCLA for preliminary assessments which are scheduled as EPA 012.

Disposition Instructions:

Item a: Record copy

- Disposable
- Close inactive records at the end of the year. Destroy 5 years after file closure.

Guidance:

The Federal Facilities Information System is scheduled as EPA 058. See EPA 012 for Federal Agency Hazardous Waste Compliance Site Files for Superfund site-specific records relating to hazardous waste sites at federal facilities which have been submitted under RCRA or CERCLA for preliminary assessments.

Reasons for Disposition:

Disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention is unchanged.

Item b for electronic copies created with word processing and electronic mail applications was deleted 08/16/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 012, EPA 058

Previous NARA Disposal Authority:

NC1-412-^{76-1/14}~~85-19/12~~

Entry: 08/21/1991

EPA Approval: Pending

NARA Approval: Pending

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Last updated on Friday, September 8th, 2006

URL: <http://intranet.epa.gov/records/schedule/devel/137.htm>

EPA Records Schedule 147

Status: Final, 03/30/2007

Title: Information Quality Guidelines (IQG) Requests for Correction (RFC) and Reconsideration (RFR) Process

Program: All Programs

Applicability: Agency-wide

Function: 304-104-06 - Quality Management

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.

- N1-412-07-1/5

Description:

Includes records created in response to requests from the public about potential data errors in information EPA distributes or disseminates, as allowable under EPA's information quality guidelines. Consists of the original request, copy of the reply, and all related documentation that supports the decision to accept or reject the request.

Disposition Instructions:

Item a: Rejected requests for correction (RFC)

Includes requests rejected due to misinformation, misdirection of the request, or the frivolous nature of the request.

- **Disposable**
- Close inactive records 90 days after rejection.
- Destroy immediately after file closure.

Item b: Approved requests for correction (RFC)

- **Disposable**
- Close inactive records upon approval.
- Destroy 2 years after file closure.

Item c: Denied requests for correction (RFC)

- **Disposable**
- Close inactive records upon denial.
- Destroy 4 years after file closure.

Item d: Requests for reconsideration (RFR) failing to meet criteria for reconsideration

- **Disposable**
- Close inactive records 90 days after rejection.
- Destroy immediately after file closure.

Item e: Requests for reconsideration (RFR) approved by the Executive Panel

- **Disposable**
- Close inactive records after final determination by the Executive Panel.
- Destroy 2 years after file closure.

Item f: Requests for reconsideration (RFR) rejected by the Executive Panel

- **Disposable**
- Close inactive records after final determination by the Executive Panel.
- Destroy 6 years after file closure.

Guidance:

The Quality Staff, Office of Environmental Information (OEI) is responsible for the overall administration of the RFC and RFR process.

Requests for correction - Requests are received via the Internet, mail or fax and transmitted to the office responsible for the information product or data. The program or regional office receiving the request is responsible for maintaining the record copy of the request and response. In cases where there are multiple offices involved, the Quality Staff designates a lead office responsible for maintaining the record copy.

Requests for reconsideration - If the request is not considered, the Quality Staff maintains the record copy unless the request relates to a specific program or region. If the request relates to a specific program or region, that office is responsible for maintaining the record copy. The chair of the Executive Panel is responsible for maintenance of the deliberative information supporting the Panel's decisions.

See EPA 089 for the Integrated Error Correction Process Database used to track errors in environmental data on EPA's Web site.

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 is unchanged.

Item g for electronic copies created with word processing and electronic mail applications was deleted 08/16/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Environmental Information, Quality Staff

- **Contact:** Connie Thoma
- **Telephone:** 202-564-6874

Related Schedules:

EPA 089

Previous NARA Disposal Authority:

N1-412-05-4

Entry: 10/17/2002

EPA Approval: 09/18/2006

NARA Approval: 01/26/2007



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 154

Status: Development, 08/16/2006

Title: Legislation

Program: All Programs

Applicability: Agency-wide

Function: 303-099 - Proposal 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.

- Pending

Description:

Contains documents and data relating to legislation formulated and proposed by the EPA and other government agencies and executive units circulated within the Agency for evaluation and comment. Includes Office of Management and Budget (OMB) request for comments, proposed and draft bills, acts, amendments, news clips, extracts from Congressional Record, briefing papers, hearing transcripts and reports, public and internal comments and evaluations and other background information, and related correspondence.

Disposition Instructions:

Item a: Record copy

- Disposable
- Close inactive records upon final action on legislation. Destroy 8 years after file closure.

Guidance:

These files are either working papers and review copies of Agency proposed legislation or office copies of federal legislation circulated for review. The official set of Agency legislative history records is maintained by

the Office of Legislative Affairs and scheduled as EPA 528. See EPA 149 for Regulations, Standards and Guidelines and EPA 150 for Dockets. Information copies of environmental and other legislation held for reference can be destroyed when no longer needed or when superseded.

Previous schedule items combined into this schedule were for the following programs: Intergovernmental Liaison, Solid Waste, Emergency and Remedial Response, Toxic Substances, Mobile Source, International Activities, Regional Water, and Research and Development. Specific item numbers are cited below:

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 is unchanged.

Item b for electronic copies created with word processing and electronic mail applications was deleted 08/16/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 149, EPA 150, EPA 528

Previous NARA Disposal Authority:

NC174-273/3, NC1-412-75-5/2, NC1-412-76-1/III/15, NC1-412-76-15/8, NC1-412-77-5/8, NC1-412-78-2/8, NC1-412-78-10/8, NC1-412-82-12/8, NC1-412-82-8/18, NC1-412-84-1/14, NC1-412-85-4/11, NC1-412-85-7/14, NC1-412-85-10/13, NC1-412-85-12/12, NC1-412-85-14/8, NC1-412-85-17/12, NC1-412-85-22/8, N1-412-94-2/25

Entry: 03/30/1992

EPA Approval: 10/07/1993

NARA Approval: 11/27/1996

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Last updated on Friday, September 8th, 2006

URL: <http://intranet.epa.gov/records/schedule/devel/154.htm>

EPA Records Schedule 185

Status: Final, 03/30/2007

Title: Collections of Quality Assurance Project Plans (QAPPs)

Program: All Programs

Applicability: Agency-wide

Function: 304-104-06 - Quality Management

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.

- N1-412-07-1/7

Description:

Quality Assurance Project Plans (QAPPs) describe procedures used to plan, implement, and assess environmental measurement activities to ensure that measurements of the appropriate type and quality are made to support decisions.

Also includes Quality Management Plans (QMPs) that document the quality system of the organization conducting environmental data collection activities, including but not limited to, internal EPA regional/division QMP, EPA contractor QMP, state agencies and tribal government agency-level or program-level QMPs for those programs with project-specific QAPP approval authority. Documents include plans, supporting review documentation, and amendments.

Excludes: QAPPs related to scientific research projects conducted in EPA Research and Development Laboratories scheduled as EPA 501 and EPA 503.

Disposition Instructions:

Item a: Approved or accepted QAPPs

- **Disposable**
- Close inactive records at approval, or at last amendment or last review.
- Destroy 10 years after file closure.

Item b: Approved or accepted QMPs

- **Disposable**

- Close inactive records when superseded or after completion of the last review conducted under the plan, whichever is later.
- Destroy 10 years after file closure.

Item c: QAPPs and QMPs that are not approved or accepted

- **Disposable**
- Close inactive records after disapproval of the plan, or last correspondence or version of unapproved plan.
- Destroy 3 years after file closure.

Guidance:

Copies incorporated into other files (e.g., enforcement, permits, grants, etc.), are to be retained according to the disposition instructions for the records they support.

Superfund site-specific QAPPs are covered in EPA 013 for removal site files and EPA 014 for remedial site files.

QAPPs related to scientific research projects conducted by EPA Research and Development Laboratories are covered in EPA 501 for scientific research projects related to rulemaking and EPA 503 for scientific research projects related to basic, exploratory research.

Unacceptable draft versions of approved plans may be destroyed when no longer needed.

Disposition for certificates for follow-on years certifying approved plans that are still in effect are covered by item a.

Specific legal citations include, but are not limited to:

- 40 CFR Part 30.54
- 40 CFR Part 31.45
- 48 CFR Part 15, 1546.201, 1552.246-70 through 72

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 is unchanged.

Item d for electronic copies created with word processing and electronic mail applications was deleted 08/16/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 013, EPA 014, EPA 501, EPA 503

Previous NARA Disposal Authority:

N1-412-99-22

Entry: 05/23/1995

EPA Approval: 09/18/2006

NARA Approval: 01/26/2007



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 187

Status: Development, 08/16/2006

Title: Intra-Agency and Internal Committees

Program: All Programs

Applicability: Agency-wide

Function: 401 - Administrative Management

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.

- Pending (Item a)
- General Records Schedule 26/1a (Item b)

Description:

Includes records of meetings of committees and non-rulemaking work groups and task forces held within EPA related to EPA's mission. Consists of meeting agendas, official copies of minutes or transcripts of meetings, copies of official committee reports, and background papers.

Also includes committees established for facilitative or operational purposes unrelated to EPA's mission, composed wholly of full-time officers or employees of the federal government, and not subject to the Federal Advisory Committee Act, e.g., committees tasked with organizing events, selecting of interior furnishings, overseeing volunteer activities or employee recreational activities.

Excludes: EPA's Quality and Information Council records which are scheduled as EPA 188 and Rulemaking Committees which are scheduled as EPA 518.

Disposition Instructions:

Item a: Committees related to EPA's mission

- Disposable
- 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 after file closure.

Item b: Committees unrelated to EPA's mission

- Disposable
- Destroy/delete when no longer needed for administrative purposes.

Guidance:

Disposition is to be applied by committee chair who designates the official copy of committee records and custodian.

Copies incorporated into other files should be disposed of according to the instructions of the records they support. All other copies may be destroyed when no longer needed.

EPA's Quality and Information Council is scheduled as EPA 188. Other committee records are scheduled as:

- EPA 180 - Committee Management Records
- EPA 181 - Records Created by Advisory Commissions, Committees, Councils, Boards, and Other Groups Established under the Federal Advisory Committee Act (FACA)
- EPA 186 - Interagency Committee Records Not Related to FACA
- EPA 518 - Rulemaking Committees
- EPA 525 - Congressional Committees (maintained by the Office of Congressional and Intergovernmental Relations)
- EPA 737 - CIO Committee Records

Reasons for Disposition:

The disposition instructions for item a have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention is unchanged. Item b conforms to the General Records Schedule 26, item 1a.

Item c for electronic version created with word processing and electronic mail applications was deleted 08/16/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 180, EPA 181, EPA 186, EPA 188, EPA 518, EPA 525, EPA 737

Previous NARA Disposal Authority:

NC1-412-78-5/1, N1-412-99-12

Entry: 08/12/1992

EPA Approval: Pending

NARA Approval: Pending

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URL: <http://intranet.epa.gov/records/schedule/devel/187.htm>



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 203

Status: Development, 08/17/2006

Title: State and Other Entity Relations and Oversight Files

Program: All Programs

Applicability: Agency-wide

Function: 301-093 - Program Monitoring

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.

- Pending

Description:

Contains records used to oversee programs which are operated in lieu of a federal program by states and other entities. Includes reports, inspections, inventories, correspondence, program reviews, and corrective actions.

Disposition Instructions:

Item a: Record copy

- Disposable
- Close inactive records annually. Destroy 10 years after file closure.

Guidance:

The record copy of these files are held by the Agency (either headquarters or regional) office responsible for oversight. On-site reference sets of these documents may be maintained by offices other than the office of responsibility to support on-going program activities. All other informational and review copies can be destroyed when superseded or no longer needed.

For documents relating to state approval process, see:

- EPA 201 - RCRA Solid Waste Management Plans
- EPA 204 - State and Other Entity Program Authorization and Approval Files
- EPA 206 - RCRA Corrective Actions
- EPA 217 - State Implementation Plans

The State and Local Air Monitoring File for monitoring of state and local air pollution programs are permanent records and are scheduled as EPA 237.

For Grants and Other Program Assistance Agreements, see EPA 003 for programs other than Superfund and EPA 001 for Superfund.

See EPA 686 for Development and Enforcement of Air and Water Standards by States maintained by the headquarters Office of Enforcement and Compliance Assurance and EPA 676 for Development of Enforcement and Environmental Standards by States maintained by the Office of General Counsel.

Previous schedule items combined into this schedule were for the following programs: Solid Waste, Emergency and Remedial Response, Water, Air and Hazardous Waste, Enforcement, and Environmental Services. Specific item numbers are cited below.

Specific legal citations include, but are not limited to:

- Resource Conservation and Recovery Act, as amended, Section 3006
- Clean Water Act, as amended, Section 1251
- Safe Drinking Water Act, Section 1413
- Clean Air Act, as amended, Section 107
- Federal Insecticide, Fungicide, and Rodenticide Act, as amended, Section 24
- 40 CFR Parts 52, 123, 142, 173, 233, 271 and 281

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 is unchanged.

Item b for electronic copies created with word processing and electronic applications was deleted 08/17/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 001, EPA 003, EPA 201, EPA 204, EPA 206, EPA 217, EPA 237, EPA 676, EPA 686

Previous NARA Disposal Authority:

NC1-412-85-7/5, NC1-412-85-10/9 and 11, NC1-412-85-17/14 and 19, NC1-412-85-20/9 and 15, N1-412-94-2/32

Entry: 02/20/1992

EPA Approval: Pending

NARA Approval: Pending

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Last updated on Friday, September 8th, 2006

URL: <http://intranet.epa.gov/records/schedule/devel/203.htm>



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 211

Status: Development, 08/17/2006

Title: Compliance Files

Program: All Programs

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). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

Description:

Contains records used to determine compliance with pollution regulations and to recommend legal enforcement actions if necessary. Includes compliance schedules, inspections, reports, correspondence, inventories, sampling and analytical data, and related documents. Also includes notices of noncompliance, and compliance orders that do not result in enforcement actions.

Disposition Instructions:

Item a: Record copy

- Disposable
- Close inactive records at the end of the year. Destroy 5 years after file closure.

Guidance:

The unit with compliance authority is responsible for maintaining the record copy and implementing the disposition.

Copies of these records incorporated into other files (e.g., site or facility files) should be dispositioned according to the instructions for the records they support.

If authorized states maintain records for retention periods identified above, the program office may decide to review the records in the state offices rather than maintain copies in regional offices, and destroy the copies it receives. If recordkeeping requirements (e.g., what records to keep and how long to keep them) for authorized states are not covered in EPA regulations, the requirements should be established in a memorandum of understanding.

Upon issuance of a notice of violation or referral to Regional Counsel or other office with enforcement authority, file becomes an enforcement action file. See EPA 207 for disposition instructions for enforcement actions.

See EPA 206 for RCRA Corrective Actions. Permits for programs other than RCRA are scheduled as EPA 205. RCRA Generators, Transporters, and TSD Facilities are EPA 478. Administrative Records - Permits is covered in EPA 210.

Other site/facility files are scheduled as:

- EPA 013 - Removal Site Files - Superfund Site-Specific
- EPA 014 - Remedial Site Files - Superfund Site-Specific
- EPA 215 - Underground Storage Tanks Site/Facility Files
- EPA 220 - Radiation Facility/Site Files
- EPA 225 - Pesticide Facilities Files
- EPA 227 - Toxic Substances Facilities Files

As required by 36 CFR 1228.58, records with special restrictions such as confidential business information (CBI) or those exempted from disclosure by statute such as the Privacy Act must be shredded or otherwise definitively destroyed with witnessed disposal for records destroyed by contractors.

Previous schedule items combined into this schedule were for the following programs: Water, Air and Hazardous Waste, Enforcement, and Environmental Services. Specific item numbers are cited below.

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 is unchanged.

The following items were changed or deleted 08/17/2006:

Items a and b - Paper (non-imaged) and Paper (imaged) combined into Record copy.

Item c - Optical disks and CD-ROMs deleted as nonrecords.

Item d - Electronic copies created with word processing and electronic mail applications deleted pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 013, EPA 014, EPA 205, EPA 206, EPA 207, EPA 210, EPA 215, EPA 220, EPA 225, EPA 227, EPA 478

Previous NARA Disposal Authority:

NC1-412-76-1/II/12, NC1-412-76-1/IV/9, NC1-412-76-1/V/3 and 6a, NC1-412-85-17/17, NC1-412-85-18/9, NC1-412-85-20/4, NC1-412-85-21/1, 5a and 6, N1-412-95-7/2

Entry: 02/24/1992

EPA Approval: Pending

NARA Approval: Pending

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Last updated on Friday, September 8th, 2006

URL: <http://intranet.epa.gov/records/schedule/devel/211.htm>



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 259

Status: Development, 08/18/2006

Title: Ombudsman and Citizen Complaint Files

Program: All Programs

Applicability: Agency-wide

Function: 301-092 - Program Evaluation

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.

- Pending

Description:

Consists of copies of requests for information or assistance with complaints or problems arising from EPA regulations or "whistle-blower" information on regulatory infractions or issues. Documents include phone notes, referrals, letters, copies of case log forms, action notes, or other records or response or action.

Disposition Instructions:

Item a: Record copy of completed cases, including all actions taken to resolve the problem, the person(s) notified, and all items on the Ombudsman log sheets completed

- Disposable
- Close inactive records when case completed. Destroy 1 year after file closure.

Item b: Record copy of additional information required cases where additional information is requested to respond but not received

- Disposable
- Close inactive records 30 days after request for additional information. Destroy 1 year after file closure.

Guidance:

The official record is maintained by the Ombudsman office or the office performing the ombudsman function. All other public inquiry records and responses held by other offices are scheduled as EPA 309, except those governed by the Freedom of Information Act. See the following schedule items for FOIA files:

- EPA 030 - FOIA Request Files
- EPA 031 - FOIA Administrative Files and Reports
- EPA 032 - FOIA Appeals Files
- EPA 033 - FOIA Control Files

Ombudsman referrals to specific site or facility records are to be filed in the community relations files specific to the site or facility (e.g., EPA 014 -Remedial Site Files - Superfund Site-Specific) and are covered by the disposition instructions for those records.

Reasons for Disposition:

Disposition instructions were rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention is unchanged.

Item c for electronic copies created with word processing and electronic mail applications deleted 08/18/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 030, EPA 031, EPA 032, EPA 033, EPA 309

Previous NARA Disposal Authority:

GRS 14/5, NC1-412-78-7/6, N1-412-86-3/23, N1-412-94-2/38

Entry: 08/12/1992

EPA Approval: Pending

NARA Approval: Pending

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Last updated on Friday, September 8th, 2006

URL: <http://intranet.epa.gov/records/schedule/devel/259.htm>



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 356

Status: Development, 08/18/2006

Title: Federal Register Notice Files

Program: All Programs

Applicability: Agency-wide

Function: 306-115 - Rule Publication

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.

- Pending

Description:

Records consist of documents related to the publication of notices in the Federal Register. Includes drafts and final notices, tear sheets from the Federal Register, newspaper clippings, press releases, citations and abstracts of articles, correspondence and any logs or tracking systems.

Disposition Instructions:

Item a: Record copy

- Disposable
- Close inactive records at end of year. Destroy 5 years after file closure.

Guidance:

Also includes copies of any notices forwarded to the Administrator or Deputy Administrator for signature, and copies that may be made part of other collections such as Dockets, EPA 150. Notices signed by the Administrator and Deputy Administrator are covered in EPA 519.

Copies of these documents incorporated into other files should be dispositioned according to the instructions for the records they support.

Reasons for Disposition:

Disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention is unchanged.

Item b for electronic copies created with word processing and electronic mail applications deleted 08/18/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 150, EPA 519

Previous NARA Disposal Authority:

NC1-412-76-9/63, 64 and 65, NC1-412-85-24/46, N1-412-99-21

Entry: 09/16/1992

EPA Approval: Pending

NARA Approval: Pending

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Last updated on Friday, September 8th, 2006
URL: <http://intranet.epa.gov/records/schedule/devel/356.htm>



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 533

Status: Development, 08/22/2006.

Title: Environmental Awards

Program: All Programs

Applicability: Agency-wide

Function: 305-109-02-04 - Provide Public Information, Education and Outreach

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.

- Pending

Description:

Contains information relating to the nominations, competitions, or applications for awards to organizations, youth groups, private citizens, students, or other non-EPA individuals for excellence in education, promotion of local environmental awareness, or other environmental achievements. Consists of correspondence, applications or other forms, copies of publications, samples of posters and exhibits, news clippings, and other related documents.

Disposition Instructions:

Item a: Record copy

- Disposable
- Close inactive records at end of year. Destroy 3 years after file closure.

Guidance:

The Presidential Environment Merits Award Program (PEMAP) File maintained by the Office of Public Affairs at headquarters is covered in EPA 534. Employee awards are scheduled as EPA 572.

Reasons for Disposition:

The disposition instructions have been rewritten to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention is unchanged.

Item b for electronic copies created with word processing and electronic mail applications deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 534, EPA 572

Previous NARA Disposal Authority:

N1-412-87-5/10, N1-412-94-2/48

Entry: 07/20/1993

EPA Approval: Pending

NARA Approval: Pending

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Last updated on Friday, September 8th, 2006

URL: <http://intranet.epa.gov/records/schedule/devel/533.htm>

EPA Records Schedule 624

Status: Final, 03/30/2007

Title: Confidential Business Information (CBI) Access

Program: All Programs

Applicability: Agency-wide

Function: 401-121 - Security Management

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.

- N1-412-07-1/14

Description:

Includes records relating to the clearance of persons and companies that require access to confidential business information (CBI) such as trade secrets and commercial or financial information that is claimed privileged or confidential. Contains forms, confidentiality agreements, correspondence, and related documents.

Disposition Instructions:

Item a: Federal employees

- **Disposable**
- Close inactive records when access is terminated.
- Destroy 2 years after file closure.

Item b: Contract employees and companies

- **Disposable**
- Close inactive records when access is terminated.
- Destroy 7 years after file closure.

Guidance:

Access request files related to classified information access for national security purposes is covered by EPA 608. See EPA 628 for classified information (national security) nondisclosure agreements.

Examples of some of the forms covered by this schedule include the following: EPA 7740-6, EPA 7740-16, EPA 7740-17, EPA 7740-18, EPA 7740-25, EPA 7740-27, EPA 7740-28, EPA 8580-8, SF 86, FBI FD 258

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 is unchanged.

The following items were renumbered or deleted 08/23/2006:

Item a(1) Record copy for federal employees was renumbered as Item a.

Item a(2) Record copy for contract employees and companies was renumbered as Item b.

Item b for electronic copies created with word processing and electronic mail applications deleted 08/23/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 608, EPA 628

Previous NARA Disposal Authority:

N1-412-03-20

Entry: 12/29/2000

EPA Approval: 09/18/2006

NARA Approval: 01/26/2007

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 679

Status: Development, 09/06/2006

Title: Bid Protest Appeals

Program: All Programs

Applicability: Agency-wide

Function: 405 - Supply Chain Management

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.

- Pending

Description:

Consists of copies of notice of appeal, written memoranda of arguments, legal briefs (if any filed), transcripts of any hearings held, correspondence, and decision.

Disposition Instructions:

Item a: Record copy

- Disposable
- Close inactive records at end of year. Destroy 10 years after file closure.

Guidance:

The office issuing the decision is the office of record and is responsible for maintaining the record copy.

Contracts - Superfund Site-Specific are scheduled as EPA 020 and contracts for programs other than Superfund site-specific as EPA 202. Unsuccessful Bids are covered in EPA 275.

Reasons for Disposition:

Disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. File closure has been changed from every two years to every year, but the retention has not changed.

Item b for electronic copies created with word processing and electronic mail applications deleted

08/23/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 020, EPA 202, EPA 275

Previous NARA Disposal Authority:

NC1-412-84-2/8

Entry: 10/26/1993

EPA Approval: Pending

NARA Approval: Pending