

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>71-412-07-14</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>11-13-2006</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 Adisposition not approved or Awithdrawn in column 10.	
2 MAJOR SUBDIVISION			
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER John B. Ellis	5 TELEPHONE 202-566-1643	DATE <i>6/13/08</i>	ARCHIVIST OF THE UNITED STATES <i>Al W...</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 ___ 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>11/13/06</i>	SIGNATURE OF AGENCY REPRESENTATIVE John B. Ellis <i>John B. Ellis</i>		TITLE 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 GRS OR SUPERSEDED JOB CITATION	10.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 399 National Historic Preservation Act (NHPA)
Compliance Documentation

SA 6/15/08 copies sent to Agency, NWMID, NWMIE, NWMW, NR, NWCT-2R

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 399

Status: Draft, 01/31/2008

Title: National Historic Preservation Act (NHPA) Compliance Documentation

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), 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.

- N1-412-07-14

Description:

Consists of records documenting EPA's compliance with the National Historic Preservation Act (NHPA). Section 106 of NHPA requires federal agencies to assess the effects of their undertakings on historic or potentially historic properties and to give the Advisory Council on Historic Preservation (NCHP) a reasonable opportunity to comment. The process includes EPA consultations with State Historic Preservation Officers (SHPOs), Tribal Historic Preservation Officers (THPOs), and other interested parties. The goal is to identify historic properties potentially affected by the undertaking; assess the effects; and seek ways to avoid, minimize, or mitigate any adverse effects on them.

The types of documents that may be included are: agreements, correspondence, consulting parties lists, case notes, notification of adverse findings, permit applications, cultural resource survey (CRS), final criteria of adverse effect report, engineering report, meeting and conference call notes, public meeting notes, area of potential effects documentation, and related records.

Disposition Instructions:

Item a(1): Record copy - Nonelectronic

- **Permanent**
- Close inactive records upon completion of project.
- Transfer to the National Archives 30 years after file closure.

Item a(2): Record copy - Electronic

- **Permanent**
- Close inactive records upon completion of project.
- Transfer 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.

~~Item a(3): Electronic copy of records transferred to the National Archives~~

- **Disposable**
- Close file upon transfer to the National Archives.
- Delete after electronic record copy is successfully transferred to the National Archives.

*non-record
material
14f
6/2/08*

Guidance:

Copies of NHPA compliance records may be filed with other related records (e.g., NEPA preparation files scheduled as EPA 134). In that case, the copies should be retained according to the disposition instructions for the records they support, unless the retention of the related records is not permanent. If the retention of the related records is not permanent, a copy of the NHPA compliance records should be made and maintained in accordance with item a of this schedule.

Specific legal citations include, but are not limited to:

- National Historic Preservation Act of 1966, Section 106, 16 U.S.C. 470f
- Executive Order 11593, Protection of and Enhancement of the Cultural Environment
- 36 CFR Part 800

Reasons for Disposition:

The records covered by this schedule represent EPA's compliance with legislation intended to preserve sites of national historic value and document EPA's preservation activities under NHPA.

The following changes were made in the 01/31/2008 version:

- Divided item a into three subitems, a(1)-(3).
- Revised the titles of disposition items a(1)-(3).
- Revised the disposition instruction for item a(3).

Item b for electronic copies created with word processing and electronic mail applications was deleted 08/14/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

Previous NARA Disposal Authority:

None

Entry: 04/06/2005

EPA Approval: 11/13/2006

NARA Approval: Pending

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EPA Records Schedule 399

Status: Draft, 03/30/2007

Title: National Historic Preservation Act (NHPA) Compliance Documentation

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.

- N1-412-07-14

Description:

Consists of records documenting EPA's compliance with the National Historic Preservation Act (NHPA). Section 106 of NHPA requires federal agencies to assess the effects of their undertakings on historic or potentially historic properties and to give the Advisory Council on Historic Preservation (NCHP) a reasonable opportunity to comment. The process includes EPA consultations with State Historic Preservation Officers (SHPOs), Tribal Historic Preservation Officers (THPOs), and other interested parties. The goal is to identify historic properties potentially affected by the undertaking; assess the effects; and seek ways to avoid, minimize, or mitigate any adverse effects on them.

The types of documents that may be included are: agreements, correspondence, consulting parties lists, case notes, notification of adverse findings, permit applications, cultural resource survey (CRS), final criteria of adverse effect report, engineering report, meeting and conference call notes, public meeting notes, area of potential effects documentation, and related records.

Disposition Instructions:

Item a: Record copy

*Superseded by
11/31/2008
version
ICF*

- **Permanent**
- Close inactive records upon completion of project.
- Transfer nonelectronic records to the National Archives 30 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 30 years after file closure.

Guidance:

Copies of NHPA compliance records may be filed with other related records (e.g., NEPA preparation files scheduled as EPA 134). In that case, the copies should be retained according to the disposition instructions for the records they support, unless the retention of the related records is not permanent. If the retention of the related records is not permanent, a copy of the NHPA compliance records should be made and maintained in accordance with item a of this schedule.

Specific legal citations include, but are not limited to:

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Custodians:

Multiple units

Related Schedules:

Previous NARA Disposal Authority:

None

Entry: 04/06/2005

EPA Approval: 11/13/2006

*Superseded by
1/31/2008
version
ICF*

NARA Approval: Pending

Superseded by
1/31/2008 version
ICF

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 399

Status: Development, 11/07/2006

Title: National Historic Preservation Act (NHPA) Compliance Documentation

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:

Consists of records documenting EPA's compliance with the National Historic Preservation Act (NHPA). Section 106 of NHPA requires federal agencies to assess the effects of their undertakings on historic or potentially historic properties and to give the Advisory Council on Historic Preservation (NCHP) a reasonable opportunity to comment. The process includes EPA consultations with State Historic Preservation Officers (SHPOs), Tribal Historic Preservation Officers (THPOs), and other interested parties. The goal is to identify historic properties potentially affected by the undertaking; assess the effects; and seek ways to avoid, minimize, or mitigate any adverse effects on them.

The types of documents that may be included are: agreements, correspondence, consulting parties lists, case notes, notification of adverse findings, permit applications, cultural resource survey (CRS), final criteria of adverse effect report, engineering report, meeting and conference call notes, public meeting notes, area of potential effects documentation, and related records.

Disposition Instructions:

Item a: Record copy

- Permanent
- Close inactive records upon completion of project. Transfer nonelectronic records to the National Archives 30 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 1228.270 or standards applicable at the time.

Guidance:

*Superseded
by 3/30/2007
version KCF*

Copies of NHPA compliance records may be filed with other related records (e.g., NEPA Preparation Files). In that case, the copies should be retained in accordance with the disposition instructions for the related records (e.g., EPA 134), unless the retention of the related records is not permanent. If the retention of the related records is not permanent, a copy of the NHPA compliance records should be made and maintained in accordance with item a of this schedule.

Specific legal citations include, but are not limited to:

- National Historic Preservation Act of 1966, Section 106, 16 U.S.C. 470f
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Reasons for Disposition:

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Custodians:

Multiple units

Related Schedules:

Previous NARA Disposal Authority:

None

Entry: 04/06/2005

EPA Approval: Pending

NARA Approval: Pending

*Superseded by
3/30/2007 version
IAF*

REQUEST FOR STAKEHOLDER UNIT ACTION

Job No. N1-412-07-14

Date sent: May 15, 2007

Date Received by SHU: 5-16-07

Date due to sender: May 22, 2007

Route To:
1. NWMD – Jeanne Schauble, A2, Room 2600
2.
Return to: Kate Flaherty, WG3, A2, Room 5320

- A. This job has also been sent to: NWCTC, NR, NWMWA, NWME
- B. NWML general comments on this job:
- C. NWML wishes assistance in appraising these records:

For stakeholder unit use. Check **all** boxes that apply.

1. waives informal review for these records.
2. wishes to participate directly in the appraisal of these items:
Please contact _____ Phone No. _____
3. wishes to comment on SF 115 immediately. Comments are attached.
Please contact _____ Phone No. _____
4. wishes to review the appraisal report.
5. Please complete: SHU does does not want a copy of completed job.

SHU Comments: [Use this space or attach separate sheet]

Date Sent: 5-16-07 SHU Signature: Madelaine Proctor

NWML Contact: Kate Flaherty	Room number: A2, Room 5320 Phone No. (301) 837-1706
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Note: As this form documents formal actions taken, it should be filed as part of the job dossier.