

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-412-07-021

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Description:

This schedule is superseded by DAA-0412-2013-0017.

Date Reported: 08/31/2020

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>N1-412-07-21</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>11/28/2006</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>3/20/07</i>	ARCHIVIST OF THE UNITED STATES <i>M. L. ...</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>11/16/06</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 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)

- | | | | |
|----|---|---|--|
| 1. | EPA 683 Criminal Enforcement Counsel | N1-412-99-24/2 | |
| 2. | EPA 692 Enforcement – Pesticide Program | <i>76-10</i>
NC1-412- 85-13/10c | |
| 3. | EPA 694 Emission Control Program | NC1- 412-85-13/11
<i>74-255/18</i> | |
| 4. | EPA 695 Motor Vehicle File | NC1- 412-85-13/12
<i>74-255/19</i> | |
| 5. | EPA 696 Motor Vehicle Import Declaration File | NC1- 412-85-13/13
<i>74-255/20a-c</i> | |

3/21/07 copies sent to Agency, NWMW, NWM, NR

From: <York Sandy@epamail.epa.gov>
To: <Leslie.Watson@nara.gov>
Date: 3/20/2007 4:01:10 PM
Subject: EPA media neutral schedules with title or disposition wording revisions

Leslie,

As Henry no doubt told you, we have made some changes to the schedules that have been recently approved or are waiting for approval. The attached schedules have either (1) revised schedule or disposition item titles, or (2) revised wording for retention of permanent electronic records.

N1-412-07-1 items 5, 7, and 14 - EPA 147, 185, and 624
N1-412-07-2 items 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13 - EPA 029, 105, 106, 134, 135, 149, 155, 204, 207, 294, 334, 461, 518
N1-412-07-15 - EPA 693
N1-412-07-16 - EPA 686
N1-412-07-17 - EPA 688
N1-412-07-18 - EPA 689
N1-412-07-19 - EPA 690
N1-412-07-21 item 1 - EPA 683
N1-412-07-36 - EPA 210

(See attached file 147.html)(See attached file 185.html)(See attached file 624.html)(See attached file 029.html)(See attached file 105.html)(See attached file 106.html)(See attached file 134.html)(See attached file 135.html)(See attached file 149.html)(See attached file 155.html)(See attached file 204.html)(See attached file 207.html)(See attached file 294.html)(See attached file 334.html)(See attached file 461.html)(See attached file 518.html)(See attached file 693.html)(See attached file 686.html)(See attached file 688.html)(See attached file 689.html)(See attached file 690.html)(See attached file 683.html)(See attached file 210.html)

Sandy York, CRM
ASRC Management Services
Contract support for EPA's National Records Management Program
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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 683

Status: Draft, 02/09/2007

Title: Criminal Enforcement Counsel

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

- N1-412-07-21/1

Description:

Contains legal counsel and policy advice pertaining to specific criminal investigations and criminal prosecutions for violations of environmental laws and related criminal statutes.

Also includes requests for and responses to requests for legal interpretations and opinions pertaining to the intent and application of environmental criminal laws and applicable regulations and policies, and related criminal laws. Records of general applicability to legal and policy aspects of environmental criminal investigations and enforcement actions. Requests for and responses to requests for legal advice, including policy considerations, pertaining to the management and functions of EPA's Office of Criminal Enforcement, Forensics, and Training.

Disposition Instructions:

Item a(1): Cases investigated by the Criminal Investigation Division, but not referred to DOJ because no targets were identified

Includes legal counsel and policy advice pertaining to specific criminal investigations and criminal prosecutions.

- **Disposable**
- Close inactive records upon closing of case.
- Destroy 5 years after file closure.

Item a(2): Cases for which targets were identified, but DOJ declined to prosecute

Includes legal counsel and policy advice pertaining to specific criminal investigations and criminal prosecutions.

- **Disposable**
- Close inactive records after DOJ declines to prosecute the case.
- Destroy 10 years after file closure.

Item a(3): Cases prosecuted by DOJ

Includes legal counsel and policy advice pertaining to specific criminal investigations and criminal prosecutions.

- **Disposable**
- Close inactive records after completion of prosecution.
- Destroy 15 years after file closure.

Item b: Requests for legal interpretations and opinions

Includes requests for and responses to requests.

- **Disposable**
- Close inactive materials at end of year.
- Destroy 15 years after file closure.

Guidance:

This schedule applies to records in offices that provide legal and policy support to EPA's Office of Criminal Enforcement, Forensics, and Training. Included are records of legal support personnel within OECA, as well as legal support personnel within the various EPA regions (e.g., the Regional Criminal Enforcement Councils).

The Criminal Docket System is scheduled as EPA 684 and Criminal Investigation Records as EPA 208.

Records in item a may be held in accordance with the retention for item b to the extent that the records are of general applicability rather than case-specific only. To the extent records meeting the description in this schedule are incorporated into other records schedules (e.g., EPA 006 - Program Management or EPA 145 - Program Development), the records are to be retained and disposed of in accordance with those schedules.

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

Item c 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 208, EPA 684

Previous NARA Disposal Authority:

N1-412-99-24/2

Entry: 03/29/1995

EPA Approval: Pending

NARA Approval: Pending

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 683

Status: Development, 11/09/2006

Title: Criminal Enforcement Counsel

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). 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 legal counsel and policy advice pertaining to specific criminal investigations and criminal prosecutions for violations of environmental laws and related criminal statutes.

Also includes requests for and responses to requests for legal interpretations and opinions pertaining to the intent and application of environmental criminal laws and applicable regulations and policies, and related criminal laws. Records of general applicability to legal and policy aspects of environmental criminal investigations and enforcement actions. Requests for and responses to requests for legal advice, including policy considerations, pertaining to the management and functions of EPA's Office of Criminal Enforcement, Forensics, and Training.

Disposition Instructions:

Item a(1): Legal counsel and policy advice pertaining to specific criminal investigations and criminal prosecutions - Cases that are investigated by the Criminal Investigation Division, but not referred to the Department of Justice because no targets were identified

- Disposable
- Close inactive records upon closing of case. Destroy 5 years after file closure.

Item a(2): Legal counsel and policy advice pertaining to specific criminal investigations and criminal prosecutions - Cases for which targets were identified, but the Department of Justice declined to prosecute

- Disposable

*Schedule replaced
3/20/2007*

- Close inactive records after Department of Justice declines to prosecute the case. Destroy 10 years after file closure.

Item a(3): Legal counsel and policy advice pertaining to specific criminal investigations and criminal prosecutions - Cases prosecuted by the Department of Justice

- Disposable
- Close inactive records after completion of prosecution. Destroy 15 years after file closure.

Item b: Requests for and responses to requests for legal interpretations and opinions

- Disposable
- Close inactive materials at end of year. Destroy 15 years after file closure.

Guidance:

This schedule applies to records in offices that provide legal and policy support to EPA's Office of Criminal Enforcement, Forensics, and Training. Included are records of legal support personnel within OECA, as well as legal support personnel within the various EPA regions (e.g., the Regional Criminal Enforcement Counsels).

The Criminal Docket System is scheduled as EPA 684 and Criminal Investigation Records as EPA 208.

Records in item a may be held in accordance with the retention for item b to the extent that the records are of general applicability rather than case-specific only. To the extent records meeting the description in this schedule are incorporated into other records schedules (e.g., EPA 006 - Program Management or EPA 145 - Program Development), the records are to be retained and disposed of in accordance with those schedules.

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.

Item c 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 208, EPA 684

Previous NARA Disposal Authority:

N1-412-99-24/2

Entry: 03/29/1995

EPA Approval: Pending

NARA Approval: Pending

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 692

Status: Development, 11/09/2006

Title: Enforcement - Pesticides Program

Program: Enforcement and Compliance Assurance

Applicability: Headquarters

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 documents pertaining to the collection of pesticide samples, the laboratory analysis of the samples, the conformity of the packages and labeling to standards and sample content, discovery of violations, and enforcement of activities. File contains such records as sample collection reports, retailer's purchase orders from product shipment from which samples were taken, package labeling, lab analysis reports, case reviews, letters to manufacturers and charge sheets, and manufacturer's replies.

Disposition Instructions:

Item a: Record copy

- Disposable
- Close inactive records upon completion or termination of case. Destroy 8 years after file closure.

Guidance:

See EPA 207 for Enforcement Action Files referred to Regional Counsel.

Reasons for Disposition:

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

Office of Enforcement and Compliance Assurance

- **Contact:**
- **Telephone:**

Related Schedules:

EPA 207

Previous NARA Disposal Authority:

NC174-255/13e, NC1-412-76-10, NC1-412-85-13/10e

Entry: 11/03/1993

EPA Approval: Pending

NARA Approval: Pending

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 694

Status: Development, 11/09/2006

Title: Emission Control Program

Program: Enforcement and Compliance Assurance

Applicability: Headquarters

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 guidelines file, including documents pertaining to the development, application, and suspension of guidelines and rules for better control of the emissions from automobile engines. Documents and data relate to advisory circulars, Ford Flap Maintenance VC 6, Ford Company CV 7, suspension guidelines, and related documents.

Also contains mobile units file, including documents pertaining to the design and operation of programs for mobile units in production or planned for production. Documents and data relate to laboratory test and analysis, defect devices, general and controlled correspondence, suspension guidelines, and related documents.

Also contains vehicles or motors already-in-use file, including documents pertaining to parts and alterations to vehicles or motors already in use. Documents and data relate to advisory circulars, clippings, standards and test procedures, citizen correspondence, recall investigations, state inspection systems, and related documents.

Disposition Instructions:

Item a: Record copy

- Disposable
- Close inactive records every 2 years. Destroy 10 years after file closure.

Guidance:

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.

Item b for electronic copies created with word processing and electronic mail applications deleted 08/24/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Enforcement and Compliance Assurance

- **Contact:**
- **Telephone:**

Related Schedules:

Previous NARA Disposal Authority:

NC174-255/18, NC1-412-85-13/11

Entry: 11/03/1993

EPA Approval: Pending

NARA Approval: Pending

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 695

Status: Development, 11/09/2006

Title: Motor Vehicles File

Program: Enforcement and Compliance Assurance

Applicability: Headquarters

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 the motor vehicles rulemaking file, including documents pertaining to rulemaking for fuels. Documents and data relate to fuel registration, fuels, witnesses, and related documents.

Also contains the vehicles and engines imported for sale/use file, including documents pertaining to the development and application or regulations and standards governing vehicles and engines imported for sale/use. Documents and data relate to pending import admissions, customs rulings, import data systems, import exemption policy, import modifications and approvals, grey marketers, operation and approval of test vehicles, exemptions and waivers, and related documents.

Disposition Instructions:

Item a: Record copy

- Disposable
- Close inactive records every 2 years. Destroy 10 years after file closure.

Guidance:

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.

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

08/24/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Enforcement and Compliance Assurance

- **Contact:**
- **Telephone:**

Related Schedules:

Previous NARA Disposal Authority:

NC174-255/19, NC1-412-85-13/12

Entry: 11/03/1993

EPA Approval: Pending

NARA Approval: Pending

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 696

Status: Development, 11/09/2006

Title: Motor Vehicle Import Declaration File

Program: Enforcement and Compliance Assurance

Applicability: Headquarters

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 related to importation of motor vehicle engines.

Disposition Instructions:

Item a: Completed copies of "Importation of Motor Vehicles and Motor Vehicle Engines Subject to Federal Air Pollution Control Regulation," EPA Form 3520-1, the Declaration of Conformity, and a copy of the Health, Education, and Welfare regulations

- Disposable
- Close inactive records at end of month. Destroy 1 year after file closure.

Item b: Code sheets for import declaration, including "Moses" code sheets - EPA Form 178-3 which is used to make the coded data entries from the EPA Form 3520-1

- Disposable
- Close inactive records at end of month. Destroy 1 year after file closure.

Item c: Imported vehicle identification numbers, including listings of imported vehicle and engine numbers supplied by foreign manufacturers or U.S. distributors

- Disposable
- Close inactive records at end of month. Destroy 1 year after file closure.

Guidance:

Imported Nonconforming Motor Vehicle Case Files maintained by the Office of Air and Radiation are scheduled as EPA 101.

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.

Item b for electronic copies created with word processing and electronic mail applications deleted 08/24/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Enforcement and Compliance Assurance

- **Contact:**
- **Telephone:**

Related Schedules:

EPA 101

Previous NARA Disposal Authority:

NC174-255/20a-c, NC1-412-85-13/13

Entry: 11/03/1993

EPA Approval: Pending

NARA Approval: Pending