

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>NI-412-07-59</i>	
To NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>7/24/07</i>	
1 FROM (Agency or establishment)  U S Environmental Protection Agency		<b>NOTIFICATION TO AGENCY</b>  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  Air			
3 MINOR SUBDIVISION  Agency-wide, Headquarters, National Vehicle and Fuel Emissions Laboratory (NVFEL) and Regions			
4 NAME OF PERSON WITH WHOM TO CONFER  John B Ellis	5 TELEPHONE  202-566-1643	DATE <i>23 NOV 07</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</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>23</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>7/18/07</i>	SIGNATURE OF AGENCY REPRESENTATIVE John B Ellis <i>[Signature]</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7 Item No	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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 101 Imported Nonconforming Motor Vehicle Case Files	N1-412-00-7	
2	EPA 216 Air Quality Management Files	N1-412-94-4/10	
3	EPA 217 State Implementation Plans (SIPS)	N1-412-94-2/34	
<del>4</del>	<del>EPA 218 Transportation Control Plans Working Files</del>	<del>NC1-412-85-18/13</del>	<del>WITHDRAWN</del> <i>See Job N1-412-09-13</i>
5	EPA 228 CFC Certificates	N1-412-94-4/19	
6	EPA 237 State and Local Agency Air Monitoring File	NC1-412-85-21/2	
7	EPA 482 Certification Records	N1-412-02-9	
8	EPA 483 Ann Arbor Recall and In-Use Testing Records	N1-412-99-4	
9	EPA 484 Data Records	NC1-412-85-14/12	
10	EPA 486 Inspection and Maintenance	NC1-412-85-14/14	

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (continued)	JOB NUMBER
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11	EPA 498 Emission Factors Program (EFP) Test Records	N1-412-99-9	

**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 101

**Status:** Development, 07/31/2007

**Title:** Imported Nonconforming Motor Vehicle Case Files

**Program:** Air

**Applicability:** Headquarters

**Function:** 108-025-01-01-02 - Manage Mobile Air Pollution Sources

## **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 Forms 3520-1, -8, -9, -14, and -15 and related letters, entry documents, affidavits, invoices, photographs, records describing modifications to vehicles/engine, and certifying conformity to EPA standards, and Agency decisions

## **Disposition Instructions:**

### **Item a:** Record copy

- **Disposable**
- Close inactive records following Agency decision.
- Destroy 5 years after file closure. If records are microfilmed, destroy paper after quality assurance is completed.

### **Item b:** (Reserved)

## **Guidance:**

Records containing sensitive information must be shredded to protect confidentiality

If paper records are converted to microfilm, follow standards in 36 CFR 1230.10 and 1230.20

**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 item was deleted in the 07/31/2007 version. Item b - Microfilm records

Item c for electronic versions created by electronic mail and word processing applications was deleted 08/15/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of Air and Radiation, Vehicle Programs and Compliance Division, Imports Team

- **Contact:** Leonard Lazarus
- **Telephone:** 202-564-9281

**Related Schedules:****Previous NARA Disposal Authority:**

NC1-412-85-13/13d, N1-412-92-1, N1-412-00-7

**Entry:** 08/01/1991

**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 216

**Status:** Development, 07/31/2007

**Title:** Air Quality Management Files

**Program:** Air

**Applicability:** Regions

**Function:** 108-025-01-01 - Manage State and Local Air Quality

## **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 pertaining to implementation and management of primary and secondary air quality standards for criteria pollutants (e.g., carbon monoxide, nitrogen oxides, lead, sulfur dioxides, ozone and particulates) Also covered are the National Emissions Standards for Hazardous Pollutants (NESHAPS) for hazardous air pollutants (e.g., asbestos, mercury, vinyl chloride, benzene, radionuclides, arsenic, and coke oven emissions) Includes annual air quality data reports, air quality modeling reports, annual source emissions and state action reports, prevention of significant air quality deterioration (PSD) non-applicability files, notification forms, Section 109(j) consistency reports, correspondence, and related documents

## **Disposition Instructions:**

### **Item a:** Record copy

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

## **Guidance:**

See EPA 217 for state implementation plans (SIPs) and EPA 218 for transportation control plans working files Records dealing specifically with EPA's oversight of state programs can be found in EPA 203 See EPA 205 for permits

Records held in regional offices related to the Asbestos Hazard Emergency Response Act (AHERA) (Title II of the Toxic Substances Control Act) and asbestos in schools are covered in EPA 227 for toxic substances files

Program offices may retain files in the office if they are likely to become an enforcement or compliance issue EPA 207 covers enforcement actions and EPA 211 covers compliance. Records dealing with the development, review and approval of standards are covered in EPA 149

Specific legal citations include

- Clean Air Act, as amended, Section 101 et seq
- 40 CFR Parts 51, 61

**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 08/17/2006 pursuant to NARA Bulletin 2006-04

**Custodians:**

Multiple units

**Related Schedules:**

EPA 149, EPA 203, EPA 205, EPA 207, EPA 211, EPA 217, EPA 218, EPA 227

**Previous NARA Disposal Authority:**

NC1-412-76-1/II/5 and 18 (TN28-D2/5 and 18), NC1-412-83-4/31, NC1-412-85-18/4, 14, and 27, N1-412-94-4/10

**Entry:** 04/20/1992

**EPA Approval:** Pending

**NARA Approval:** Pending

# EPA Records Schedule 217

**Status:** Final, 12/31/2012

**Title:** State, Tribal and Federal Implementation Plans

**Program:** Air

**Applicability:** Agency-wide

**Function:** 108-025-01-01 - Manage State and Local Air Quality

## **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.

- N1-412-07-59/3

## **Description:**

Includes records that document the process for approving state, tribal and federal implementation plans (SIPs, TIPS, FIPs) for the attainment and maintenance of national ambient air quality standards for certain criteria pollutants in a given area under section 110 of the Clean Air Act. Also includes plans which establish emission standards to control designated pollutants upon EPA publication of final emission guidelines for designated facilities in accordance with section 111(d) of the Clean Air Act. Consists of plan and amendments, correspondence, copies of statutes and regulations, documentation of public participation activities. Also includes documents relating to EPA's review, evaluation, and determination of the program including technical support documents, Federal Register notices, action memoranda, communications strategies, public comments, review forms, and other documents.

## **Disposition Instructions:**

### **Item a(1):** Record copy - Nonelectronic

- **Permanent**
- Close inactive records as plans are revised or superseded
- Transfer to the National Archives in 5 year blocks 20 years after file closure

### **Item a(2):** Record copy - Electronic

- **Permanent**
- Close inactive records as plans are revised or superseded
- Transfer to the National Archives 5 years after file closure, with any related documentation and

external finding aids, as specified in 36 CFR 1235.44-1235.50 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

**Item b:** (Reserved)

**Guidance:**

Draft documents may be destroyed by program offices after approval of the final plan. Informational and review copies maintained by offices other than the office of responsibility may be destroyed when superseded or no longer needed.

Records related to oversight of states and other entities are scheduled as EPA 203. Compliance files and enforcement actions are covered in EPA 211 and EPA 207, respectively. See EPA 216 for air quality management files for other regional records pertaining to implementation and management of air quality standards.

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.

Specific legal citations include

- Clean Air Act, as amended, Sections 110, 111(d) and 301(d)
- 40 CFR Parts 51, 60 Subpart B, 62

**Reasons for Disposition:**

The schedule has been revised to include tribal and federal implementation plans. 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 change was made in the 12/31/2012 version

- Deleted item b for other copies

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 c for electronic copies created with word processing and electronic mail applications deleted 08/17/2006 pursuant to NARA Bulletin 2006-04



**Custodians:**

Multiple units

**Related Schedules:**

EPA 203, EPA 207, EPA 211, EPA 216, EPA 676, EPA 686

**Previous NARA Disposal Authority:**

NC1-412-76-1/II/1, NC1-412-85-15/2, NC1-412-85-18/1, NC1-412-85-20/10, N1-412-94-2/34

**Entry:** 04/20/1992

**EPA Approval:** 07/18/2008

**NARA Approval:** 11/23/2009

**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 228

**Status:** Development, 07/31/2007

**Title:** CFC Certificates

**Program:** Air

**Applicability:** Regions

**Function:** 108-025-01-02 - Manage Air Toxics Sources

## **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 CFC (chlorofluorocarbon) certificates and registrations received by regional offices under the Clean Air Act Amendments of 1990. Consists of MVAC (motor vehicle air conditioning) Recover/Recycle or Recover Equipment Certification Form, EPA Refrigerant Recovery or Recycling Device Acquisition Certification Form, certifications for technicians, and related documents.

## **Disposition Instructions:**

**Item a:** Record copy

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

## **Guidance:**

Specific legal citations include:

- Clean Air Act, as amended, Sec. 608-609
- 40 CFR Part 82

## **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 08/18/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Multiple units

**Related Schedules:**

**Previous NARA Disposal Authority:**

N1-412-94-4/19

**Entry:** 09/25/1993

**EPA Approval:** Pending

**NARA Approval:** Pending

**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 237

**Status:** Draft, 01/31/2008

**Title:** State and Local Agency Air Monitoring File

**Program:** Air

**Applicability:** Regions

**Function:** 108-025-01-01 - Manage State and Local Air Quality

## **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.

- N1-412-07-59/6

## **Description:**

Includes records used to monitor state and local air pollution programs. Records consist of quality assurance reports of state and local ambient monitoring networks, national air monitoring station reports (NAMS) and state/local air monitoring station reports (SLAMS), staff reviews, and comments on Section 105 grant applications, and audit reports showing performance of the agencies.

## **Disposition Instructions:**

### **Item a(1):** Record copy - Nonelectronic

- **Permanent**
- Close inactive records at end of year
- Transfer to the National Archives 20 years after file closure

### **Item a(2):** Record copy - Electronic

- **Permanent**
- Close inactive records at end of year
- 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

**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 482

**Status:** Development, 07/31/2007

**Title:** Certification Records

**Program:** Air

**Applicability:** National Vehicle and Fuel Emissions Laboratory (NVFEL)

**Function:** 108-025-01-01-02 - Manage Mobile Air Pollution Sources

### **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 related to manufacturers applications and EPA actions for emission certification under the Clean Air Act for motor vehicles, locomotives, and non-road mobile sources. Includes technical product descriptions, test results, copies of the certificate of conformity, notices of violations, and other related documents.

### **Disposition Instructions:**

#### **Item a:** Record copy

- **Disposable**
- Close inactive records 1 year after certification action has been completed for the model year.
- Destroy 20 years after file closure.

### **Guidance:**

Electronic manufacturer submissions are covered by the Certification and Fuel Economy Information System (CFEIS), scheduled as EPA 485.

### **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 08/22/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of Air and Radiation, Certification and Compliance Div.

- **Contact:** Fred Hart
- **Telephone:** 734-214-4877

**Related Schedules:**

EPA 485

**Previous NARA Disposal Authority:**

NC1-412-85-14/10 and 11, N1-412-02-9

**Entry:** 06/05/1993

**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 483

**Status:** Development, 07/31/2007

**Title:** Ann Arbor Recall and In-Use Testing Records

**Program:** Air

**Applicability:** National Vehicle and Fuel Emissions Laboratory (NVFEL)

**Function:** 108-025-01-01-02 - Manage Mobile Air Pollution Sources

## **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 motor vehicle recall and in-use testing. Records consist of computer-generated listings of vehicle owners, labels, supplemental sheets, maintenance (M1-M2-SM) two-ways forms, correspondence, and other related documents.

## **Disposition Instructions:**

### **Item a:** Record copy

- **Disposable**
- Close inactive records at end of year
- 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 08/22/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of Air and Radiation, National Vehicle and Fuel Emissions Laboratory, Testing Services Division

- **Contact:** Karen Reese
- **Telephone:** 734-214-4451

**Related Schedules:**

**Previous NARA Disposal Authority:**

N1-412-99-4

**Entry:** 07/02/1993

**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 484

**Status:** Development, 07/31/2007

**Title:** Data Records

**Program:** Air

**Applicability:** National Vehicle and Fuel Emissions Laboratory (NVFEL)

**Function:** 108-025-01-01-02 - Manage Mobile Air Pollution Sources

## **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:**

Files contain documents relating to motor vehicle emission standards. Includes temperature chart tests, correlation tests of instruments, strip chart of analyses, drivers trace charts, exhaust concentration data, preliminary results, as compared to final results of tests, and other related documents.

## **Disposition Instructions:**

**Item a:** Record copy

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

## **Guidance:**

Certification records are scheduled as EPA 482.

Specific legal citations include:

- Clean Air Act, as amended, Sec. 201, et. seq.
- 40 CFR Part 86

**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:**

Office of Air and Radiation, Lab Operations Division

- **Contact:** Dan McBryde
- **Telephone:** 734-214-4328

**Related Schedules:**

EPA 482

**Previous NARA Disposal Authority:**

NC1-412-85-14/12

**Entry:** 06/03/1993

**EPA Approval:** Pending

**NARA Approval:** Pending

**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 486**

**Status:** Draft, 09/30/2009

**Title:** Inspection and Maintenance

**Program:** Air

**Applicability:** Headquarters

**Function:** 108-025-01-01 - Manage State and Local Air Quality

## **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.

- N1-412-07-59/10

## **Description:**

Files contain documents pertaining to state inspection and maintenance programs to control air pollution. The inspection and maintenance program is required as part of State Implementation Plans pursuant to the Clean Air Act Amendments of 1970. Records consist of policy statements on inspection and maintenance; technical analysis of emission reduction benefits; background and program supporting documentation on mobile source control and program implementation efforts; coordination between headquarters and regions on program policy and operations; development plans for providing information to the public; and technical issues such as health effects, air pollution research, emission testing, and inspection and maintenance and fuel economy.

## **Disposition Instructions:**

**Item a(1):** Record copy - Nonelectronic

- **Permanent**
- Close inactive records when programs are revised.

- Transfer to the National Archives in 5 year blocks 20 years after file closure.

**Item a(2):** Record copy - Electronic

- **Permanent**
- Close inactive records when programs are revised.
- 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.

**Guidance:**

State Implementation Plans (SIPs) are scheduled as EPA 217.

**Reasons for Disposition:**

The following change was made in the 09/30/2009 version:

- Added file closure instructions for item a(2).

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 deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

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:**

Office of Air and Radiation, Regional and State Programs Branch

- **Contact:** Gary MacGregor
- **Telephone:** 313-668-4474

**Related Schedules:**

EPA 217

**Previous NARA Disposal Authority:**

NC1-412-85-14/14

**Entry:** 06/03/1993

**EPA Approval:** 07/18/2007

**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 498

**Status:** Development, 07/31/2007

**Title:** Emission Factors Program (EFP) Test Records

**Program:** Air

**Applicability:** National Vehicle and Fuel Emissions Laboratory (NVFEL)

**Function:** 108-025-01-01-02 - Manage Mobile Air Pollution Sources

### **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:**

The Emission Factors Program (EFP) is an ongoing program in which EPA tests emissions of privately-owned vehicles. Results are used for the development of the MOBILE model for estimating in-use emission factors for highway vehicles. Consists of "packets", one per vehicle, containing: (1) vehicle and owner identifying information, procurement agreement, owner survey results; (2) vehicle inspection record; (3) raw data in the form of strip-chart recordings and printouts from test instrumentation; and (4) processed data as computer printouts of all emission test results. Data is added to the Ann Arbor In-Use Test Data System (IUTD) which is scheduled separately.

### **Disposition Instructions:**

#### **Item a:** Record copy

- **Disposable**
- Close inactive records upon completion of test.
- Destroy 1 year after file closure.

### **Guidance:**

The Ann Arbor In-Use Test Data System (IUTD) is scheduled as EPA 493.

Specific legal citations include:

- Clean Air Act, as amended, Sec. 201, et. seq.
- 40 CFR Part 86

**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 08/22/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of Air and Radiation, Emission Inventory Group

- **Contact:** Lois Platte
- **Telephone:** 734-214-4306

**Related Schedules:**

EPA 493

**Previous NARA Disposal Authority:**

N1-412-99-9

**Entry:** 06/25/1993

**EPA Approval:** Pending

**NARA Approval:** Pending