

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>N1-412-08-7</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>1/30/08</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  Headquarters			
3. MINOR SUBDIVISION  Office of Water (OW)			
4. NAME OF PERSON WITH WHOM TO CONFER  John B. Ellis	5. TELEPHONE  202-566-1643	DATE <i>5/21/08</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 <u>8</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>1/24/08</i>	SIGNATURE OF AGENCY REPRESENTATIVE <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 GRS OR SUPERSEDED JOB CITATION	10.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	[REDACTED]	[REDACTED]	
2	EPA 213 Water Quality Planning and Management Files	N1-412-94-4/7	
3	EPA 214 Drinking Water Management and Direct Implementation Files	N1-412-94-4/8	

*LC 5/23/08 Copies sent to agency, NWMB, NWME, NWML, & NR*

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 212

**Status:** Draft, 03/31/2008

**Title:** Sole Source Aquifer Files

**Program:** Water

**Applicability:** Regions

**Function:** 108-025-03 - Ensure Safe Drinking Water

**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.

- N1-412-08-7/1

**Description:**

Records document the identification and designation of critical aquifer protection areas. Includes information released to the public, petitions requesting project review, public notice and hearing documentation, correspondence, memoranda of understanding (MOU) and other information relating to the designation of sole source aquifers.

**Disposition Instructions:**

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

- Permanent
- Close inactive records at end of year.
- Transfer to the National Archives 25 years after file closure.

*Electronic records that  
replace permanent records  
do not require SF-115,  
per 36 CFR 122F.31 (b)(1)*

**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.

**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 copy***Guidance:**

Specific legal requirements include:

- Safe Drinking Water Act, as amended, Section 1427
- 40 CFR Part 149

**Reasons for Disposition:**

The disposition instructions have been revised as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed. The previous regional applicability was expanded to Agency-wide.

The applicability was changed from Agency-wide to Regions in the 03/31/2008 version.

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).

**Custodians:**

Multiple units

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

NC1-412-85-17/23

Entry: 02/28/1992

EPA Approval: 01/24/2008

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 213

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

**Title:** Water Quality Planning and Management Files

**Program:** Water

**Applicability:** Regions

**Function:** 108-025-02 - Manage Water 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.

- Pending

### Description:

Contains documents relating to water quality planning, management and implementation undertaken by EPA, states, interstate, regional and local agencies. Also includes documents dealing with nonpoint source implementation projects and information on projects such as reservoirs, and nuclear power plants which may affect water quality. Includes water quality management plans, water quality reports, TMDLs (Total Maximum Daily Loads), load allocation working papers, water quality models, correspondence and other related documents.

### Disposition Instructions:

~~Item a(1): Final plans and annual and biennial reports - Nonelectronic~~

~~Excludes: State 305(b) water quality reports submitted to Congress by the Headquarters Office of Water covered by EPA 429.~~

- Permanent
- Close inactive records at end of year.
- Transfer to the National Archives 10 years after file closure.

*Electronic records that  
replace permanent records do  
not require SF-115, per  
36 CFR 122.30 (6)(c)*

~~Item a(2): Final plans and annual and biennial reports - Electronic~~

~~Excludes: State 305(b) water quality reports submitted to Congress by the Headquarters Office of Water covered by EPA 429.~~

**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.

**Item a(3):** Final plans and annual and biennial reports - Electronic copy of records transferred to the National Archives

Excludes: State 305(b) water quality reports submitted to Congress by the Headquarters Office of Water covered by EPA 429.

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

*Non-record copy*

**Item b:** Supporting files

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

**Guidance:**

The state 305(b) water quality report submitted to Congress by the Headquarters Office of Water is covered by EPA 429. Copies of this report maintained in the regional offices may be destroyed when no longer needed.

See EPA 203 for records dealing with EPA oversight of state programs and EPA 204 for state program authorizations and approvals. Enforcement actions and compliance files are scheduled as EPA 207 and EPA 211, respectively.

Specific legal citations include:

- Clean Water Act, as amended, 33 U.S.C., Section 1251 et seq.
- 40 CFR Parts 130-133, 503.18

**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 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).

The following items were deleted 08/17/2006:

- Deleted item c - Copies on optical disk and CD-ROM as nonrecords.
- Deleted item d - Electronic copies created with word processing and electronic mail applications pursuant to NARA Bulletin 2006-04.

**Custodians:**

Multiple units

**Related Schedules:**

EPA 203, EPA 204, EPA 207, EPA 211, EPA 429

**Previous NARA Disposal Authority:**

NC1-412-76-1/III/4, 6, 9, 11, 12, and 25, NC1-412-85-17/4, 5, 8, 9, 10 and 18, NC1-412-85-21/8, N1-412-94-4/7

**Entry:** 02/28/1992

**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 214

**Status:** Development, 11/30/2007

**Title:** Drinking Water Management and Direct Implementation Files

**Program:** Water

**Applicability:** Agency-wide

**Function:** 108-025-03 - Ensure Safe Drinking Water

**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.

- Pending

**Description:**

Contains records relating to public water supply systems, source water assessment and protection, wellhead protection, and the direct implementation of the primary and secondary drinking water regulations. Includes, but is not limited to, supplier reports to the states, public notices and educational materials, public water system inventories, correspondence, and reports.

**Disposition Instructions:**

**Item a:** Record copy

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

**Guidance:**

Also known as public water supply (PWS) records.

If state is authorized and maintains 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.

Records documenting the approval process for state programs (primacy) are covered in EPA 204. Other

state oversight activities are scheduled as EPA 203. Enforcement actions and compliance files are scheduled as EPA 207 and 211, respectively. The Safe Drinking Water Information System - FED (SDWIS/FED) is scheduled as EPA 413 and the Safe Drinking Water Information System - State (SDWIS/STATE) as EPA 401.

Specific legal citations include:

- Safe Drinking Water Act, as amended, Section 1401
- 40 CFR Part 141

**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 previous regional applicability has been expanded to Agency-wide.

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 203, EPA 204, EPA 207, EPA 211, EPA 401, EPA 413

**Previous NARA Disposal Authority:**

N1-412-94-4/8

**Entry:** 02/28/1992

**EPA Approval:** Pending

**NARA Approval:** Pending



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## EPA Records Schedule 212

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

**Title:** Sole Source Aquifer Files

**Program:** Water

**Applicability:** Agency wide

**Function:** 108-025-03 - Ensure Safe Drinking Water

**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.

- Pending

### Description:

Records document the identification and designation of critical aquifer protection areas. Includes information released to the public, petitions requesting project review, public notice and hearing documentation, correspondence, memoranda of understanding (MOU) and other information relating to the designation of sole source aquifers.

### Disposition Instructions:

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

- **Permanent**
- Close inactive records at end of year.
- Transfer to the National Archives 25 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.

*Superseded by  
version of 3/31/2008  
See Sandy York e-mail  
of 3/10/2008*

*Electronic records that  
replace permanent records  
do not require 5-115,  
per 36 CFR 1228.31(b)(1)*

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

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

**Guidance:**

Specific legal requirements include:

- Safe Drinking Water Act, as amended, Section 1427
- 40 CFR Part 149

**Reasons for Disposition:**

The disposition instructions have been revised as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed. The previous regional applicability was expanded to Agency-wide.

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).

**Custodians:**

Multiple units

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

NC1-412-85-17/23

Entry: 02/28/1992

EPA Approval: Pending

NARA Approval: Pending