

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-412-94-006

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 09/07/2022

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Items 2 remains active

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1 was superseded by N1-412-07-054 schedule 080

Item 3 was superseded by N1-412-07-010 schedule 255

Item 4 was superseded by N1-412-08-003

Item 5 was superseded by N1-412-07-011

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

LEAVE BLANK (NARA use only)

JOB NUMBER
 NT-412-94-6

DATE RECEIVED
 10-19-93

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
 WASHINGTON, DC 20408

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

1. FROM (Agency or establishment)

U.S. Environmental Protection Agency

2. MAJOR SUBDIVISION

Various

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Michael L. Miller, Rec. Off.

5. TELEPHONE

202-260-5911

DATE

1-17-96

ARCHIVIST OF THE UNITED STATES

John W. Carl

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 192 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,

is not required; is attached; or has been requested.

DATE

10/7/93

SIGNATURE OF AGENCY REPRESENTATIVE

Michael L. Miller
 Michael L. Miller

TITLE

Agency Records Officer

7. ITEM NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NAR. USE ONLY)

Schedule submission includes items covering ~~Agency-wide, Headquarters-wide, Regional, and Superfund and RCRA records.~~

Superseded job citations listed on individual items.

JAN 24 1996 *MMV* copy to: Agency, NIA
 WNT
 NCI-

EPA SERIES NO. 080H

U.S. EPA RECORDS CONTROL SCHEDULE

1) SERIES TITLE: Local Government Reimbursement Program

PROGRAM: Superfund

EPA SERIES NO: 080H

NARA SCHEDULE NO. N1-412-94-6/1
(Use this number to retire records to the FRC)

APPLICABILITY: Headquarters

IDENTIFYING INFORMATION:

DESCRIPTION: The Local Government Reimbursement Program provides financial assistance to local governments responding to releases of hazardous substances. When a local government has conducted an emergency response action and is unable to recover costs in accordance with 40 CFR 310, an application may be submitted to EPA for reimbursement, up to \$25,000. (This program differs from a grant in that the local government later recovers costs and must return the reimbursed funds to EPA.) Records include general information and cost documentation on the release, the application for reimbursement, records of reimbursement, and rejected and accepted applications.

ARRANGEMENT: Arranged by application number.

TYPE OF RECORDS:
Case files

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper, forms

VITAL RECORD:

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
Superfund Amendments and Reauthorization Act of 1986, Section 123
40 CFR 310

EPA SERIES NO. 080H

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

FILE BREAK INSTRUCTIONS: Break file immediately after closeout of the reimbursement.

DISPOSITION INSTRUCTIONS: Retain in office at least 1 year after file break, then retire to FRC. Destroy 30 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: These records are necessary for litigation and cost recovery support.

AGENCY-WIDE GUIDANCE: Records in this series differ slightly from Grants and Other Program Support Agreements - Superfund Site Specific, EPA 001A, because the reimbursement is not considered a grant. Reimbursements under this program must be repaid to EPA only if the recipient is able to recover the costs. The retention of these records reflects their value to cost recovery support.

Pursuant to the local government reimbursement program, the local government recipient of funds must maintain their files on the response action for 10 years. At that time, the local government must offer the records to EPA before destruction. Typically, these records will include more detailed technical records relating to the incident and response action. EPA will review the files for enforcement value and determine whether they warrant integration and retention with the EPA portion of the file.

Copies of documents from this series may be retained in related series such as Cost Recovery Records, EPA 024A, and disposed of with the related series. All other copies may be destroyed when no longer needed.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

CONTACT POINT:

Name: Response Standards
Criteria Branch
Location: EPA Headquarters

Name: John Ferguson

Mail Code: 5202-G

Inclusive Dates:

Telephone: 703-603-8712

Volume on Hand (Feet): 4

Office: OSWER/OERR/ERD/RSCB/RPGSS

Annual Accumulation: 1 ft.
(feet or inches)

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 001A, EPA 024A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: ~~NC1-412-85-10/9~~, NC1-412-85-18/2 and 24, NC1-412-85-25/5a *Sd*
~~and b~~ and 6, *in part*

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		6/8/92	3/6/95

EPA SERIES NO. 143H

U.S. EPA RECORDS CONTROL SCHEDULE

2) **SERIES TITLE:** Program Development Files of Headquarters Offices

PROGRAM: All Programs

EPA SERIES NO: 143H

NARA SCHEDULE NO. N1-412-94-6/2
(Use this number to retire records to the FRC)

APPLICABILITY: Headquarters

IDENTIFYING INFORMATION:

DESCRIPTION: Consists of records related to the development of policies and programs. Records consist of noncontrolled correspondence, briefing books and papers, issue papers and reports relative to policy, strategy, program control, research priorities, legislative priorities, unpublished directives and policy guidance documents, and ~~other~~ related records that document the development of the program, program priorities and objectives, program planning, and similar topics.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Correspondence/subject files

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Program development

SPECIFIC LEGAL REQUIREMENTS:
None

EPA SERIES NO. 143H

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Permanent

TRANSFER TO FRC PERMITTED:

Yes

FILE BREAK INSTRUCTIONS: Break file annually; bring forward active material.

DISPOSITION INSTRUCTIONS: Keep inactive records in office for at least 3 years after file break, then retire to FRC. Transfer to the National Archives in 5 year blocks when the most recent record is 20 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item replaces several previously approved items and coverage has been expanded to Headquarters-wide coverage with consistent retention.

AGENCY-WIDE GUIDANCE: This item covers the program development subject files which are generally held by officials holding the following offices: EPA Administrator, Deputy Administrators, Assistant and Associate Administrators, Office of General Counsel, Office of Inspector General, Administrative Law Judge, and Headquarters Office Directors. Background and supporting information maintained in other offices should be pulled together and retired as a unit with the material for the above-named officials.

These files contain materials documenting the development of new programs, major shifts in the focus of existing programs, and new initiatives. Records relating to the conduct of performance, progress and problems analysis of the environmental programs regulated by specific environmental statutes are scheduled as EPA 257H - Program Analysis Files. Records that document the ongoing management of the program should be disposed of in accordance with EPA 006A. Routine administrative materials should be disposed of in accordance with the NARA General Records Schedules or EPA 110A. Published directives and policy guidance documents are covered in EPA 007A. Pilot Projects are covered in EPA 099A.

Similar program development files of Regional offices are scheduled as EPA 126R.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:

Office of Research and Development - Includes Research Program Management Files and Planned Program Accomplishments, Project Descriptions, and Output Plans.

CUSTODIAL INFORMATION:

CONTROLLING UNIT: Multiple units CONTACT POINT:

Name:

Name:

Location:

Mail Code:

Inclusive Dates:

Telephone:

Volume on Hand (Feet):

Office:

Annual Accumulation:
(feet or inches)

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 006A, EPA 099A, EPA 110A, EPA 126R, EPA 257H

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-85-2/2, NC1-412-85-3/3, NC1-412-85-4/3,
NC1-412-85-6/3, NC1-412-85-7/3, NC1-412-85-10/3, ~~NC1-412-85-12/3,~~

NC1-412-76-15/2

EPA SERIES NO. 143H

NC1-412-85-13/3, NC1-412-85-14/3, NC1-412-85-^{76.3/1a}~~15/1a~~, NC1-412-85-16/3,
NC1-412-85-22/7a and 24a, NC1-412-85-24/51, N1-412-86-1/3, N1-412-86-3/3,
N1-412-87-2/3, N1-412-87-4/3, N1-412-87-5/3, *NC1-412-78-2/4*

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		8/26/91	3/10/95

EPA SERIES NO. 255H

U.S. EPA RECORDS CONTROL SCHEDULE

3) **SERIES TITLE:** Regional Oversight and Coordination Files

PROGRAM: All Programs

EPA SERIES NO: 255H

NARA SCHEDULE NO. N1-412-94-6/~~4~~ 3
(Use this number to retire records to the FRC)

APPLICABILITY: Headquarters

IDENTIFYING INFORMATION:

DESCRIPTION: Contains records generated by Headquarters program offices in conducting oversight of Regional program operations. Includes program implementation reports; inspections; correspondence; reviews and comments on Regional program activities including reviews of data reporting; general and facility specific permits; corrective actions and enforcement; Regional reports and management analyses, internal Agency memoranda regarding State authorization programs, and other related records and reports required by specific environmental statutes.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Case file

SPECIFIC RESTRICTIONS:
Confidential Business Information
Enforcement Sensitive Information

MEDIUM:
Paper, photographs,
publications, reports,
maps and architectural
materials, forms

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Program management

SPECIFIC LEGAL REQUIREMENTS:
Varies according to statute

EPA SERIES NO. 255H

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

FILE BREAK INSTRUCTIONS: Break file at the end of the fiscal year; bring forward active materials.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office for at least 1 year after file break, then retire to FRC. Destroy 6 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item combines several items from specific program offices most of which required a 6 year retention and extends coverage to all Headquarters programs. This item also includes Headquarters involvement in facility specific activities made at the request of the Regional offices. Since the last revision of EPA schedules, authority over facility specific programs has been delegated to the Regions and are being rescheduled to reflect this change of records responsibilities. Coverage has been extended to include Headquarters coordination functions found in the previously scheduled items and Headquarters review of Regional activities at specific sites not previously scheduled.

AGENCY-WIDE GUIDANCE: This item applies to all Headquarters program offices responsible for conducting oversight of Regional activities. The office conducting this function is responsible for retiring these records to the Federal Records Center. All other copies of these records can be destroyed when no longer needed.

Program and Program Activity Evaluation Reports maintained by OPPE are scheduled as EPA 193H. See EPA 257H for Program Analysis Files. Routine materials related to ongoing management of programs should be disposed of in accordance with EPA 006A. Program Development Files are scheduled as EPA 126R and EPA 143H.

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 witness disposal for records destroyed by contractors.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION: Previous schedule items combined into this schedule were for the following programs: Federal Activities, Regional Operations, Water, Solid Waste, and Emergency and Remedial Response. Specific item numbers are cited below.

CUSTODIAL INFORMATION:

CONTROLLING UNIT: Multiple units CONTACT POINT:

Name:

Name:

Location:

Mail Code:

Inclusive Dates:

Telephone:

Volume on Hand (Feet):

Office:

Annual Accumulation:
(feet or inches)

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 006A, EPA 126R, EPA 143H, EPA 193H, EPA 257H

EPA SERIES NO. 255H

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: ~~NC1-412-84-1/18a and 18b~~, ~~NC1-412-85-3/8~~, ~~NC1-412-85-6/17~~,
~~NC1-412-85-7/15~~, 19, and 20; ~~NC1-412-85-10/12~~

NCI-412-77-1/13
NCI-412-82-8/19, 23, 24 ; NCI-412-82-12/7 ; NCI-412-78-10/146 ; NCI-412-78-2/4

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/30/92	12/15/94

EPA SERIES NO. 256H

U.S. EPA RECORDS CONTROL SCHEDULE

4) **SERIES TITLE:** Import and Export Notifications

PROGRAM: RCRA

EPA SERIES NO: 256H

NARA SCHEDULE NO. N1-412-94-6/§ 4
(Use this number to retire records to the FRC)

APPLICABILITY: Headquarters

IDENTIFYING INFORMATION:

DESCRIPTION: Contains records documenting the decisions regarding the importation of hazardous waste into the United States and the exportation of hazardous waste to foreign countries. Records include the notification to export/import filed by a facility, correspondence to the country involved and responses, Acknowledgement of Consent letters to the facility allowing or denying import or export, and related reports required by regulations.

ARRANGEMENT: Arranged alphabetically by facility name.

TYPE OF RECORDS:
Case files

SPECIFIC RESTRICTIONS:
Confidential Business Information
Enforcement Sensitive Information

MEDIUM:
Paper, forms

VITAL RECORDS:

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
Resource Conservation and Recovery Act, as amended
40 CFR 260-270

EPA SERIES NO. 256H

DISPOSITION INFORMATION:

FINAL DISPOSITION:
Disposable

TRANSFER TO FRC PERMITTED:
Yes

FILE BREAK INSTRUCTIONS: Break file at the end of each fiscal year; bring forward active materials.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office for at least 1 year after file break, then retire to FRC. Destroy 5 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item covers a special Headquarters function as part of the overall RCRA facilities and permitting program operations. Retention of these records is consistent with the retention of related permit records and recordkeeping requirements required in the statutes for generators of hazardous waste facilities.

AGENCY-WIDE GUIDANCE: This item applies to import and export records held in the Office of Waste Enforcement, RCRA Enforcement Division which is responsible for retiring these records to the Federal Records Center. Copies of these records may be maintained in the Regional RCRA permits files and may be retired under that series. All other copies of these records can be destroyed when no longer needed.

See EPA 478R for RCRA Generators, Transporters, and TSD Facilities Files, EPA 206R for RCRA Corrective Actions, EPA 207R for Enforcement Action Files, and EPA 211R for Compliance Files. *EPA 369H covers Transboundary movement of Hazardous Waste Program Policy Files.*

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

Name: OWPE/RED

Location: U.S. EPA HQ

Inclusive Dates: 1984 -

Volume on Hand (Feet): 6 cft.

Annual Accumulation: 1 lft./yr.
(feet or inches)

CONTACT POINT:

Name: Mary Jean Osborne

Mail Code: OS-520

Telephone: 202-260-8731

Office: OSWER/OWPE/RED

Room: M 2830

CONTROL INFORMATION:

RELATED ITEMS: EPA 206R, EPA 207R, EPA 211R, EPA 478R

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-85-16/29b

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/30/92	12/15/94

EPA SERIES NO. 332A

U.S. EPA RECORDS CONTROL SCHEDULE

5) **SERIES TITLE:** Regulatory Impact Analyses Under Executive Order 12866

PROGRAM: All Programs

EPA SERIES NO: 332H

NARA SCHEDULE NO. N1-412-94-6/7 5
(Use this number to retire records to the FRC)

APPLICABILITY: Headquarters

IDENTIFYING INFORMATION:

DESCRIPTION: Records consist of reports on the regulatory impact of Agency proposed rules, regulations and statutes. Information used to assess the costs and benefits of regulations is drawn primarily from existing information collections such as: national surveys (eg., Community Water Supply Survey, National Urban Pesticide Applicator Survey), State studies, U.S. Geologic Survey studies, EPA data bases, and other sources.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Case files

SPECIFIC RESTRICTIONS:

MEDIUM:
Paper

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Regulatory development

SPECIFIC LEGAL REQUIREMENTS:
Executive Order 12866

EPA SERIES NO. 332H

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. Record copy: Permanent

TRANSFER TO FRC PERMITTED:

Yes

b. Other copies: Disposable

No

FILE BREAK INSTRUCTIONS: Break file annually.

DISPOSITION INSTRUCTIONS:

a. Keep inactive materials in office 5 years after file break, then retire to FRC. Transfer to the National Archives when 15 years old.

b. Destroy when reference use is exhausted.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Disposition previously approved by the National Archives for one program only. Applicability has been expanded to all programs Agency-wide.

AGENCY-WIDE GUIDANCE: These records may be part of an Agency docket. If so, they are covered under EPA 150A - Rulemaking Dockets.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT: Multiple units

CONTACT POINT:

Name:

Name:

Location:

Mail Code:

Inclusive Dates:

Telephone:

Volume on Hand (Feet):

Office:

Annual Accumulation:
(feet or inches)

Room:

CONTROL INFORMATION:

RELATED ITEMS:

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-85-24/21

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		8/27/92	10/26/94