

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-412-97-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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.

Item 1 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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item 2 was superseded by N1-412-07-069 schedule 658

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408	
1. FROM (Agency or establishment) U.S. Environmental Protection Agency	
2. MAJOR SUBDIVISION Office of Enforcement and Compliance Assurance	
3. MINOR SUBDIVISION	
4. NAME OF PERSON WITH WHOM TO CONFER Michael L. Miller	5. TELEPHONE 202-260-5911

LEAVE BLANK (NARA use only)	
JOB NUMBER N1-412-97-1	
DATE RECEIVED 1-21-97	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
DATE 4-7-97	ARCHIVIST OF THE UNITED STATES John W. Paul

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 3 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 12/18/96	SIGNATURE OF AGENCY REPRESENTATIVE Michael L. Miller	TITLE Agency Records Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
419A 658H			

APR 28 1997 *MAN*

copy to: NWDD, NWRW
NWRE

EPA Records Schedule 419

Status: Final, 09/30/2007

Title: Permit Compliance System (PCS)

Program: Enforcement and Compliance Assurance

Applicability: Agency-wide

Function: 108-025-02-02-02 - Issue Water Discharge Permits

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.

- N1-412-97-1/1

Description:

The Permit Compliance System (PCS) is a computerized management information system for tracking permits, compliance, and enforcement status for the National Pollution Discharge Elimination System (NPDES) program. The system tracks information about wastewater treatment facilities discharging into navigable waters. Information includes facility characteristics, discharge characteristics, compliance schedules, permit conditions, inspections, and enforcement actions. Facilities report their compliance and status information by submitting Compliance Schedule Reports and Discharge Monitoring Reports (DMR) to regions or delegated states, which enter the information into the system. Inspection and enforcement information is collected and entered by regions and/or delegated states.

Disposition Instructions:

Item a: Electronic software program

- **Disposable**
- For each major version change, maintain current version on tapes or cartridges in accordance with NTSD's directives and procedures. For any routine software updates, delete software after quality assurance check is performed.

Item b: Input

- **Disposable**
- Follow instructions for EPA 171 - Input and Source Records.

Item c: Electronic data

- **Permanent**
- Close when superseded
- Transfer data every 2 years to the National Archives as specified in 36 CFR 1228.270 or standards applicable at the time.

Item d: Output and reports

- **Varies**
- File with related records and follow instructions for the related records.

Item e: Supporting documentation

- **Permanent**
- Transfer those records necessary to document how the system captures, manipulates, and outputs data to the National Archives as specified in 36 CFR 1228.270 or standards applicable at the time. Documentation is transferred along with the electronic data (item c).

Guidance:

The Enforcement Planning, Targeting and Data Division of the Office of Enforcement and Compliance Assurance is responsible for implementing the disposition for items a, c, and e. Records covered under items b and d are to be filed with the related records and retained according to the disposition instructions for the records they support.

Permits are scheduled as EPA 205 (except RCRA) and EPA 478 for RCRA. Regional compliance and enforcement records are covered in EPA 211 and EPA 207, respectively. A subset of this system, the Industrial Facilities Discharge (IFD) File, is scheduled as EPA 444.

Reasons for Disposition:

This item is a major system supporting operations required by statute and regulations for permitting, compliance, and enforcement. The system was previously appraised as permanent by the National Archives.

Custodians:

Office of Enforcement and Compliance Assurance, Office of Compliance, Enforcement Planning, Targeting and Data Division

- **Contact:** Mike Mundell
- **Telephone:** 202-564-7069

Related Schedules:

EPA 171, EPA 205, EPA 207, EPA 211, EPA 444, EPA 478

Previous NARA Disposal Authority:

NC1-412-81-13/8

Entry: 12/28/1992

EPA Approval: 12/18/1996

NARA Approval: 04/07/1997

DRAFT OF 2/10/97

U.S. EPA RECORDS CONTROL SCHEDULE

2) SERIES TITLE: Audit Resolution

PROGRAM: Resources Systems

EPA SERIES NO: 658H

NARA SCHEDULE NO. N1-412-97-1/2
(Use this number to retire records to the FRC)

APPLICABILITY: Headquarters

IDENTIFYING INFORMATION:

DESCRIPTION: Includes records used to document the Agency's audit resolution process. Records consist of Agency directives and guidance, special analyses and reports on the audit resolution process, status reports on unresolved audits by office, decisions of the Audit Resolution Board, and related materials.

ARRANGEMENT:

TYPE OF RECORDS:
Case files

SPECIFIC RESTRICTIONS:

MEDIUM:
Paper

VITAL RECORD:

FUNCTIONS SUPPORTED:
Program management and oversight

SPECIFIC LEGAL REQUIREMENTS:

EPA SERIES NO. 658H

DISPOSITION INFORMATION:

FINAL DISPOSITION:
Permanent

TRANSFER TO FRC PERMITTED:
Yes

FILE BREAK INSTRUCTIONS: Break file when audit resolution is completed.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office 3 years, then retire to FRC. Transfer to the National Archives when 20 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Retention has been changed from 18 to 20 years to be consistent with other Agency transfer instructions.

AGENCY-WIDE GUIDANCE:

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

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: NC1-412-85-1/5

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		8/9/95	2/10/97