

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-412-94-002

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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

All other items remain 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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item 1 was superseded by N1-412-06-006 schedule 003

Item 1 was superseded by N1-412-07-001 132

Item 2 was superseded by N1-412-07-001 005

Item 3 was superseded by N1-412-06-006 schedule 006 and N1-412-07-034

Item 3 was superseded by N1-412-07-001 259

Item 7 was superseded by N1-412-09-011

Item 11 was superseded by N1-412-09-007

Item 13 was superseded by N1-412-07-068 schedule 081

Item 14 was superseded by N1-412-07-001 schedule 082

Item 16 was superseded by N1-412-07-002 item 2

Item 16 was superseded by N1-412-07-002 item 2

Item 18 was superseded by N1-412-06-006 schedule 127

Item 20 was superseded by N1-412-07-002 item 5

Item 20 was superseded by N1-412-08-016

Item 23 was superseded by N1-412-07-002 item 6

Item 24 was superseded by N1-412-04-004

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Item 25 was superseded by N1-412-07-001 schedule 154

Item 26 was superseded by N1-412-07-002 item 7

Item 31 was superseded by N1-412-06-006 schedule 202

Item 33 was superseded by N1-412-07-002 item 8

Item 34 was superseded by N1-412-07-059 item 3

Item 43 was superseded by N1-412-07-002 item 11

Item 44 was superseded by N1-412-06-006 schedule 459

Item 45 was superseded by N1-412-07-007

Item 47 was superseded by N1-412-07-002 item 13

Item 48 was superseded by N1-412-07-001 schedule 533

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		DO NOT WRITE IN THESE SPACES DO NOT WRITE IN THESE SPACES	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED 10-19-93	
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 "disposition not approved" or "withdrawn" in column 10	
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 11-27-96	ARCHIVIST OF THE UNITED STATES <i>John W. Carl</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>192</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, <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <input type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input checked="" type="checkbox"/> has been requested. </div>			
DATE 10/7/93	SIGNATURE OF AGENCY REPRESENTATIVE <i>Michael L. Miller</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)
	Schedule submission includes items covering Agency-wide, Headquarters-wide, Regional, and Superfund and RCRA records. Superseded job citations listed on individual items.		

**LISTING OF AGENCYWIDE SCHEDULES
BY
EPA SERIES NUMBER**

EPA DISPOSITION SCHEDULES

Date: 07/29/93

SERIES	APP.	PROGRAM	TITLE
001A	AW	Superfund	Grants and Other Program Support Agreements - Superfund Site Specific
1 003A	AW	All, except Superfund Site Specific	Grants and Other Program Support Agreements
2 005A	AW	All	Special Studies
3 006A	AW	All	Program Management Files
4 007A	AW	All	Directives and Policy Guidance Documents Issued by Specific Programs and Regions
008A	AW	All	Technical Reference Material
012A	AW	Superfund	Federal Agency Hazardous Waste Compliance Site Files
013A	AW	Superfund	Removal Site Files - Superfund Site Specific
014A	AW	Superfund	Remedial Site Files - Superfund Site Specific
018A	AW	Superfund	Sampling and Analytical Data Files - Superfund Site Specific
020A	AW	Superfund	Contract Management Records - Superfund Site Specific
024A	AW	Superfund	Cost Recovery Records
025A	AW	Superfund	Enforcement Actions - Superfund Site Specific
030A	AW	All	Freedom of Information Act (FOIA) Request Files Maintained by FOIA Officers
031A	AW	All	Freedom of Information Act (FOIA) Administrative Files and Reports
032A	AW	General Counsel	Freedom of Information Act (FOIA) Appeals Files
033A	AW	All	Freedom of Information Act (FOIA) Control Files
034A	AW	All	Freedom of Information Act (FOIA) Request Files - Copies Maintained by FOIA Coordinator and Program Offices
050A	AW	Superfund	Comprehensive Environmental Response, Compensation, and Liability Information System (CERCLIS)

EPA DISPOSITION SCHEDULES

Date: 07/29/93

	SERIES	APP.	PROGRAM	TITLE
	052A	AW	Superfund	Superfund Cost Recovery Image Processing System (SCRIPS)
5	053A	AW	All	Financial Management System (FMS)
6	054A	AW	All	Integrated Financial Management System (IFMS)
7	055A	AW	All	Integrated Contracts Management System (ICMS)
8	056A	AW	All	Accidental Release Information Program (ARIP)
9	057A	AW	All	Environmental Review Tracking System (ERP/ERTS)
10	058A	AW	All	Federal Facilities Information System (FFIS)
	059A	AW	Superfund	Oil and Hazardous Materials Technical Assistance Data System (OHMTADS)
	060A	AW	Superfund	Emergency Response Notification System (ERNS)
	061A	AW	Superfund	Continuous Release Emergency Response Notification System (CR-ERNS)
11	062A	AW	All	Lab Automation System (LBAU) (Sample Management System)
12	063A	AW	All	Electronic Models and Expert Systems
	064A	AW	Superfund	CLP Analytical Results Data Base (CARD)
	065A	AW	Superfund	Sample Tracking and Invoice Payment System (TIP)
	067A	AW	Superfund	CLP Statistical Data Base (STAT)
13	081A	AW	All	Public Awareness Files
14	082A	AW	All	Response to Audit, Evaluation, and Investigation
	084A	AW	Superfund	Case-Specific Decisions on Indemnification Requests from States for Response Action Contractors (RACs)
	085A	AW	Superfund	Administrative Decision Records
	086A	AW	Superfund	National Contingency Plan (NCP) Product Files
	087A	AW	Superfund	Claims Against the Fund
15	088A	AW	All	Bibliographic and Reference Systems

EPA DISPOSITION SCHEDULES

Date: 07/29/93

SERIES	APP.	PROGRAM	TITLE
089A	AW	All	Information Tracking Systems
090A	AW	All	Administrative Support Data Bases
091A	AW	Superfund	CERCLA Section 103 Notifications
16 105A	AW	All	Management Studies
109A	AW	All	EPA Forms
110A	AW	All	Office Administrative Files
17 111A	AW	All	Schedules and Logs of Daily Activities
112A	AW	All	Privacy Act Requests Files
113A	AW	All	Privacy Act Administrative Files and Reports
115A	AW	All	Privacy Act Amendment Case Files
116A	AW	All	Privacy Act Accounting of Disclosure Files
117A	AW	All	Privacy Act Control Files
120A	AW	All	Reading or Chron Files
121A	AW	All	Travel Expense Files (Originating Office Copies)
122A	AW	All	Personnel Reference Files
123A	AW	All	Employee Training Files (Originating Office Copies)
124A	AW	All	Requests/Requisitions for Supplies or Service
125A	AW	All	Office Equipment Service Contracts File
18 127 127A	AW	All	General Correspondence Files
19 132 132A	AW	All	Congressional Correspondence
20 135 135A	AW	All	Environmental Impact Statement (EIS) Review and Comment Files
21 140 140A	AW	All	Speeches
22 141 141A	AW	All	Controlled and Major Correspondence
23 149 149A	AW	All	Regulations, Standards, and Guidelines
24 150 150A	AW	All	Rulemaking Dockets

EPA DISPOSITION SCHEDULES ✓
Date: 07/29/93

	SERIES	APP.	PROGRAM	TITLE
25 24	154A	AW	All	Legislation
26 25	155A	AW	All	Reports to Congress and/or the President
	162A	AW	All	Word Processing Files
	164A	AW	All	Electronic Spreadsheets
	166A	AW	All	Suspense Files
	167A	AW	All	Transitory Files
	168A	AW	All	Tracking and Control Records
	169A	AW	All	Finding Aids or Indexes
	170A	AW	All	Files/Records Used to Create and Maintain Master Files
	171A	AW	All	Input/Source Records
	172A	AW	All	Master Files (Including Master Files That Are Components of Data Base Management Systems) Relating to Administrative Functions
	173A	AW	All	Data Files Consisting of Summarized Information
	174A	AW	All	Records Consisting of Extracted Information
	175A	AW	All	Print Files
	176A	AW	All	Technical Reformat Files
	177A	AW	All	Security Backup Files
	178A	AW	All	Electronic Finding Aids or Indexes
	179A	AW	All	Special Purpose Programs
27 26	181A	AW	All	Federal Advisory Committee/Board Records
	182A	AW	All	Meeting Arrangement Records
28 27	186A	AW	All	Inter-Agency Committee Records
	187A	AW	All	Intra-Agency and Internal Committee Records
	188A	AW	All	EPA Steering Committee Meeting Files
	194A	AW	All	Annual Headquarters Operating Guidance Paper and Regional Guidance Plan

EPA DISPOSITION SCHEDULES

Date: 07/29/93

	SERIES	APP.	PROGRAM	TITLE
	195A	AW	All	Agency Program Plans Review Files
29 28	196A	AW	All	Strategic Targeted Activities for Results System (STARS)
30 29	200A	AW	All	Training Material
	201A	AW	RCRA	RCRA Solid Waste Management Plans
31 30	202A	AW	All, except Superfund Site Specific	Contract Management Records
32 31	203A	AW	All	State Oversight Files
33 32	204A	AW	All	State Program Authorization/Approval Files
34 33	217A	AW	Air	State Implementation Plans (SIPs)
	232A	AW	Water	Waste Water Construction Grants
35 34	249A	AW	All	Artwork and Camera Ready Copy
36 35	250A	AW	All	Publications and Promotional Items
	251A	AW	RCRA	Biennial Report System (BRS)
	252A	AW	RCRA	Resource Conservation and Recovery Information System (RCRIS)
37 36	258A	AW	All	Final Deliverables Resulting From Contractor Studies and Services
38 37	259A	AW	All	Ombudsman Files
39 38	263A	AW	Administrator	Freedom of Information Action Tracking System (FOIMATS)
	274A	AW	All	Unsuccessful Grant Application Files
	275A	AW	All	Unsuccessful Bids and Proposals
	276A	AW	All	Time and Attendance Records
40 39	304A	AW	All	Systems Documentation
	305A	AW	All	Requests for ADP Hardware and Software
	306A	AW	All	Information/Computer Center Management Records
	307A	AW	All	Records Disposition Files
41 40	309A	AW	All	Public Inquiries Files

EPA DISPOSITION SCHEDULES

Date: 07/29/93

	SERIES	APP.	PROGRAM	TITLE
42 41	310A	AW	All	Telephone Reports
	311A	AW	All	Telecommunications Service Requests (TSRs)
43 42	334A	AW	All	Manuscripts of Articles Written by EPA Personnel
44 43	459A	AW	All	Conferences, Seminars, Associations, and Societies Files
45 44	480A	AW	Oil	Enforcement Actions - Oil Spill Site Specific
46 45	481A	AW	Oil	Removal Records - Oil Spill Site Specific
	512A	AW	All	Applications for Employment - Persons Not Hired
47 46	518A	AW	All	Rulemaking Committees
48 47	533A	AW	All	Environmental Awards
49 48	535A	AW	All	Printing Arrangements for Publications, Articles, and Promotional Items

**LISTING OF AGENCYWIDE SCHEDULES
BY
SERIES TITLE**

EPA DISPOSITION SCHEDULES BY SERIES TITLE

Date: 07/29/93

TITLE	SERIES	APP.	PROGRAM
Accidental Release Information Program (ARIP)	056A	AW	All
Administrative Decision Records	085A	AW	Superfund
Administrative Support Data Bases	090A	AW	All
Agency Program Plans Review Files	195A	AW	All
Annual Headquarters Operating Guidance Paper and Regional Guidance Plan	194A	AW	All
Applications for Employment - Persons Not Hired	512A	AW	All
Artwork and Camera Ready Copy	249A	AW	All
Bibliographic and Reference Systems	088A	AW	All
Biennial Report System (BRS)	251A	AW	RCRA
Case-Specific Decisions on Indemnification Requests from States for Response Action Contractors (RACs)	084A	AW	Superfund
CERCLA Section 103 Notifications	091A	AW	Superfund
Claims Against the Fund	087A	AW	Superfund
CLP Analytical Results Data Base (CARD)	064A	AW	Superfund
CLP Statistical Data Base (STAT)	067A	AW	Superfund
Comprehensive Environmental Response, Compensation, and Liability Information System (CERCLIS)	050A	AW	Superfund
Conferences, Seminars, Associations, and Societies Files	459A	AW	All
Congressional Correspondence	132A	AW	All
Continuous Release Emergency Response Notification System (CR-ERNS)	061A	AW	Superfund
Contract Management Records	202A	AW	All, except Superfund Site Specific
Contract Management Records - Superfund Site Specific	020A	AW	Superfund
Controlled and Major Correspondence	141A	AW	All

EPA DISPOSITION SCHEDULES BY SERIES TITLE

Date: 07/29/93

TITLE	SERIES	APP.	PROGRAM
Cost Recovery Records	024A	AW	Superfund
Data Files Consisting of Summarized Information	173A	AW	All
Directives and Policy Guidance Documents Issued by Specific Programs and Regions	007A	AW	All
Electronic Finding Aids or Indexes	178A	AW	All
Electronic Models and Expert Systems	063A	AW	All
Electronic Spreadsheets	164A	AW	All
Emergency Response Notification System (ERNS)	060A	AW	Superfund
Employee Training Files (Originating Office Copies)	123A	AW	All
Enforcement Actions - Oil Spill Site Specific	480A	AW	All
Enforcement Actions - Superfund Site Specific	025A	AW	Superfund
Environmental Awards	533A	AW	All
Environmental Impact Statement (EIS) Review and Comment Files	135A	AW	All
Environmental Review Tracking System (ERP/ERTS)	057A	AW	All
EPA Forms	109A	AW	All
EPA Steering Committee Meeting Files	188A	AW	All
Federal Advisory Committee/Board Records	181A	AW	All
Federal Agency Hazardous Waste Compliance Site Files	012A	AW	Superfund
Federal Facilities Information System (FFIS)	058A	AW	All
Files/Records Used to Create and Maintain Master Files	170A	AW	All
Final Deliverables Resulting From Contractor Studies and Services	258A	AW	All
Financial Management System (FMS)	053A	AW	All
Finding Aids or Indexes	169A	AW	All

EPA DISPOSITION SCHEDULES BY SERIES TITLE
Date: 07/29/93

TITLE	SERIES	APP.	PROGRAM
Freedom of Information Act (FOIA) Administrative Files and Reports	031A	AW	All
Freedom of Information Act (FOIA) Appeals Files	032A	AW	General Counsel
Freedom of Information Act (FOIA) Control Files	033A	AW	All
Freedom of Information Act (FOIA) Request Files - Copies Maintained by FOIA Coordinators and Program Offices	034A	AW	All
Freedom of Information Act (FOIA) Request Files Maintained by FOIA Officers	030A	AW	All
Freedom of Information Action Tracking System (FOIMATS)	263A	AW	Administrator
General Correspondence Files	127A	AW	All
Grants and Other Program Support Agreements	003A	AW	All, except Superfund Site Specific
Grants and Other Program Support Agreements - Superfund Site Specific	001A	AW	Superfund
Information/Computer Center Management Records	306A	AW	All
Information Tracking Systems	089A	AW	All
Input/Source Records	171A	AW	All
Integrated Contracts Management System (ICMS)	055A	AW	All
Integrated Financial Management System (IFMS)	054A	AW	All
Inter-Agency Committee Records	186A	AW	All
Intra-Agency and Internal Committee Records	187A	AW	All
Lab Automation System (LBAU) (Sample Management System)	062A	AW	All
Legislation	154A	AW	All
Management Studies	105A	AW	All
Manuscripts of Articles Written by EPA Personnel	334A	AW	All

EPA DISPOSITION SCHEDULES BY SERIES TITLE

Date: 07/29/93

TITLE	SERIES	APP.	PROGRAM
Master Files (Including Master Files That Are Components of Data Base Management Systems) Relating to Administrative Functions	172A	AW	All
Meeting Arrangement Records	182A	AW	All
National Contingency Plan (NCP) Product Files	086A	AW	Superfund
Office Administrative Files	110A	AW	All
Office Equipment Service Contracts File	125A	AW	All
Oil and Hazardous Materials Technical Assistance Data System (OHMTADS)	059A	AW	Superfund
Ombudsman Files	259A	AW	All
Personnel Reference Files	122A	AW	All
Print Files	175A	AW	All
Printing Arrangements for Publications, Articles, and Promotional Items	535A	AW	All
Privacy Act Accounting of Disclosure Files	116A	AW	All
Privacy Act Administrative Files and Reports	113A	AW	All
Privacy Act Amendment Case Files	115A	AW	All
Privacy Act Control Files	117A	AW	All
Privacy Act Requests Files	112A	AW	All
Program Management Files	006A	AW	All
Public Awareness Files	081A	AW	All
Public Inquiries Files	309A	AW	All
Publications and Promotional Items	250A	AW	All
RCRA Solid Waste Management Plans	201A	AW	RCRA
Reading or Chron Files	120A	AW	All
Records Consisting of Extracted Information	174A	AW	All
Records Disposition Files	307A	AW	All
Regulations, Standards, and Guidelines	149A	AW	All

EPA DISPOSITION SCHEDULES BY SERIES TITLE

Date: 07/29/93

TITLE	SERIES	APP.	PROGRAM
Remedial Site Files - Superfund Site Specific	014A	AW	Superfund
Removal Records - Oil Spill Site Specific	481A	AW	Oil
Removal Site Files - Superfund Site Specific	013A	AW	Superfund
Reports to Congress and/or the President	155A	AW	All
Requests for ADP Hardware and Software	305A	AW	All
Requests/Requisitions for Supplies or Services	124A	AW	All
Resource Conservation and Recovery Information System (RCRIS)	252A	AW	RCRA
Response to Audit, Evaluation, and Investigation	082A	AW	All
Rulemaking Committees	518A	AW	All
Rulemaking Dockets	150A	AW	All
Sample Tracking and Invoice Payment System (TIP)	065A	AW	Superfund
Sampling and Analytical Data Files - Superfund Site Specific	018A	AW	Superfund
Schedules and Logs of Daily Activities	111A	AW	All
Security Backup Files	177A	AW	All
Special Purpose Programs	179A	AW	All
Special Studies	005A	AW	All
Speeches	140A	AW	All
State Implementation Plans (SIPs)	217A	AW	Air
State Oversight Files	203A	AW	All
State Program Authorization/Approval Files	204A	AW	All
Strategic Targeted Activities for Results System (STARS)	196A	AW	All
Superfund Cost Recovery Image Processing System (SCRIPS)	052A	AW	Superfund
Suspense Files	166A	AW	All

EPA DISPOSITION SCHEDULES BY SERIES TITLE
Date: 07/29/93

TITLE	SERIES	APP.	PROGRAM
Systems Documentation	304A	AW	All
Technical Reference Material	008A	AW	All
Technical Reformat Files	176A	AW	All
Telecommunications Service Requests (TSRs)	311A	AW	All
Telephone Reports	310A	AW	All
Time and Attendance Records	276A	AW	All
Tracking and Control Records	168A	AW	All
Training Material	200A	AW	All
Transitory Files	167A	AW	All
Travel Expense Files (Originating Office Copies)	121A	AW	All
Unsuccessful Bids and Proposals	275A	AW	All
Unsuccessful Grant Application Files	274A	AW	All
Waste Water Construction Grants	232A	AW	Water
Word Processing Files	162A	AW	All

DRAFT OF 3/26/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Grants and Other Program Support Agreements

PROGRAM: All Programs, except Superfund Site Specific and Wastewater Construction and State Revolving Fund Grants

EPA SERIES NO: 003A

NARA SCHEDULE NO. N1-412-94-2/1
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Includes records that document all types of agreements with other Federal, State, or local government agencies, universities and other institutions to which EPA is a party, and which support EPA's environmental programs (other than Superfund site specific and wastewater construction grants). Specific types of agreements include assistance agreements, grants, cooperative agreements, Interagency Agreements, and other types of program support agreements administered by Headquarters or EPA regions and which provide for research, demonstration projects, training, fellowships, investigation, surveys, studies, or other types of program support activities.

Includes:

Supporting documentation - Specific types of records include documentation of significant actions and decisions, justifications, cost estimates, scopes of work, correspondence, applications, pre-award reviews, funding decisions, award documentation, commitment notices, transmittal correspondence, agreements, agreement oversight activities, non-compliance/dispute documentation, audit records, closeout documentation for completed agreements, and reports and evaluations resulting from agreements.

Excludes: Final products and deliverables, Superfund site specific grants, and agreements and wastewater construction grants which are scheduled separately.

ARRANGEMENT: Arranged by agreement.

TYPE OF RECORDS:
Case file

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Microfilm, paper, forms,
electronic

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
Varies according to program
40 CFR 30, 31, 35, Subparts A, H, P, 40, 45-47

EPA SERIES NO. 003A

DISPOSITION INFORMATION:

FINAL DISPOSITION:
Disposable

TRANSFER TO FRC PERMITTED:
Yes

FILE BREAK INSTRUCTIONS: Break files immediately after closeout of the agreement.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office at least 1 year after file break, then retire to FRC. Destroy 7 years after file break.

If record copy is in microform, break file upon completion of microform quality assurance check. Retire one silver and one diazo copy to the FRC along with finding aids and indexes. Destroy 7 years after file break. Retain one or more sets for office use. Destroy any Agency microform copies when superseded or no longer needed.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: The retention period for supporting documentation has been extended because the records are needed in the event of a claim against the Agency. The statute of limitation on such claims is 7 years. Final products and deliverables are covered in EPA 258A.

AGENCY-WIDE GUIDANCE: Final products and deliverables are permanent records and are scheduled as EPA 258A.

Agreement closeout is when the Agency determines all administrative actions and required work is completed (submission of the final expenditure report, SF 269 - Financial Status Report, by the recipient) or when the agreement is terminated or annulled and any disputes settled. Final closeout documentation may consist only of an internal Agency memo.

The Grants Administrator (also called the Grants Management Officer), Grant Project Officer, and Financial Management Officer are responsible for the record copies of grant agreement records and implementing the disposition. Records can include unique program files maintained by the grant project officer or client or technical representative. All other copies may be destroyed when no longer needed.

The following offices and managers are responsible for maintaining a complete record set and dispositioning documents as designated below:

Grants Management Officer (Grants Specialist) - Record copy of applications; reviews and amendments related to the application; administrative review checklist; certifications; agreements and any amendments; award documentation; requests for deviations; stop work orders; documentation relating to termination actions, disputes and appeals, annulments and audits; legal opinions; financial status reports; and increases and decreases; correspondence and other related documents.

Program Office (Project Officer) - Record copy of documents used for day-to-day technical direction of the grant or interagency agreement such as draft and final products and deliverables; work plans and progress reports; draft documents and comments provided or other records of technical direction. Copies of applications, awards, amendments and other administrative and financial documents.

Financial Management Officer - Record copy of reimbursement requests, payment vouchers, payment files, federal cash transaction reports; copies of financial status report and other related documents.

See EPA 274A for Unsuccessful Grant Application Files. This item does not include Superfund site specific grants which are scheduled as EPA 001A or

EPA SERIES NO. 003A

Waste Water Construction and State Revolving Fund Grants which are covered in EPA 232A. Contracts are covered under EPA 020A, EPA 055A, EPA 202A, and EPA 258A. The Grants Information and Control System is scheduled as EPA 575A.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION: Previous schedule items combined into this schedule were for the following programs: Federal Activities, Water, Solid Waste, Emergency and Remedial Response, Toxic Substances, Mobile Source, Air and Hazardous Waste, Regional Administrator, Research and Development, Pesticides, Radiation, and Information and Resources Management. 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 001A, EPA 020A, EPA 055A, EPA 202A, EPA 232A, EPA 258A
, EPA 274A, EPA 575A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-75-6/1, NC1-412-76-1/III/14 and 20,
NC1-412-76-9/25, NC1-412-77-1/8 and 9, NC1-412-77-4/1, NC1-412-77-5/11,
NC1-412-78-10/6b, NC1-412-82-12/11, NC1-412-85-6/8 and 15,
NC1-412-85-7/8, NC1-412-85-12/6, NC1-412-85-14/7, NC1-412-85-17/2,
NC1-412-85-18/2, NC1-412-85-19/4, NC1-412-85-23/4a, NC1-412-85-25/5a and b,
NC1-412-85-26/I/4, N1-412-86-1/8, N1-412-86-3/7

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		3/20/91	3/26/96

DRAFT OF 3/26/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Special Studies

PROGRAM: All Programs

EPA SERIES NO: 005A

NARA SCHEDULE NO. N1-412-94-2/2

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Contains supporting files relating to the development of special studies and surveys produced in house by individuals, committees or task forces. Examples of such studies include topics such as environmental levels of toxic substances, coastal zone management, or economic benefits and impacts of pesticides.

Excludes final studies and surveys, and studies and surveys covered by other program specific schedules such as those for site specific Superfund studies, contract and grant final products and deliverables, and management studies which are scheduled separately.

ARRANGEMENT: Arranged by subject/study.

TYPE OF RECORDS:

Reports, data, case files

SPECIFIC RESTRICTIONS:

None

MEDIUM:

Paper, photographs, publications,
maps and architectural materials,
electronic

VITAL RECORD:

No

FUNCTIONS SUPPORTED:

Program operations

SPECIFIC LEGAL REQUIREMENTS:

None

EPA SERIES NO. 005A

DISPOSITION INFORMATION:

FINAL DISPOSITION:
Disposable

TRANSFER TO FRC PERMITTED:
Yes

FILE BREAK INSTRUCTIONS: Break file upon completion of study.

DISPOSITION INSTRUCTIONS:

Retain in office at least 1 year after file break, then retire to FRC.
Destroy 7 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This combines a number of special studies items into an Agency-wide disposition and provides consistent retention across programs. Final studies and surveys are covered by EPA 258A.

AGENCY-WIDE GUIDANCE: Final studies and surveys are scheduled as EPA 258A.

If copies of studies are incorporated into other series such as Superfund site files, that disposition takes precedence. Reference (nonrecord) and information copies may be destroyed when no longer needed.

Contract records are covered in EPA 020A (Superfund site specific), EPA 055A, EPA 202A, and EPA 258A. Grants and Other Program Agreements are found in EPA 001A (Superfund site specific) and EPA 003A (all programs except Superfund site specific). Management studies are scheduled as EPA 105A and pilot projects as EPA 099A.

If electronic records such as word processing, tracking systems, or similar files are used to manage the studies, they must be retained for the length of time specified in this schedule. However, data bases specifically established as part of a special study need to be scheduled separately and are not covered by this schedule.

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: EPA 001A, EPA 003A, EPA 020A, EPA 055A, EPA 099A, EPA 105A, EPA 202A, EPA 258A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-76-1/II/20, NC1-412-76-1/V/23, NC1-412-76-3/5b, NC1-412-78-10/12b, NC1-412-85-24/20a and b

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		3/20/91	3/26/96

DRAFT OF 10/17/95

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Program Management Files

PROGRAM: All Programs

EPA SERIES NO: 006A

NARA SCHEDULE NO. N1-412-94-2/3

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Includes records which relate to the on-going management of programs and routine projects within programs. Types of files include both mission and operational programs and may be maintained by one or more organizational unit. Specific types of records include correspondence, memoranda, and reports relating to general policy and program matters, interagency activity, research and other similar materials. Also includes project control files showing assignments, progress, and completion of projects.

There are two types of files:

a. Program management files held by offices of EPA Administrators, Deputy Administrators, Assistant and Associate Administrators, Office of General Counsel, Office of Inspector General, Regional Administrators, Deputy Regional Administrators, and Division Directors.

b. Program management files held by offices of Branch Chiefs and other personnel.

Excludes policy statements and directives, contract records, and organization and program development records which are scheduled separately, as well as records covered by the NARA General Records Schedules.

ARRANGEMENT: Arranged by subject.

TYPE OF RECORDS:Correspondence/subject files,
Reports**SPECIFIC RESTRICTIONS:**

None

MEDIUM:Paper, publications, forms,
electronic**VITAL RECORD:**

No

FUNCTIONS SUPPORTED:

Program management

SPECIFIC LEGAL REQUIREMENTS:

None

EPA SERIES NO. 006A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

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

DISPOSITION INSTRUCTIONS:

a. Keep inactive files in office at least 1 year after file break, then retire to the FRC. Destroy 10 years after file break.

b. Keep inactive files in office at least 1 year after file break, then retire to FRC. Destroy 5 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item combines a number of items previously approved for disposal and standardizes retention.

AGENCY-WIDE GUIDANCE: This schedule item gives the retention for program management files only. Also includes routine project control documents such as personnel assignments and periodic progress reports maintained by branch and section personnel and planning documents such as SCAP (Superfund Comprehensive Accomplishment Plan) reports. Such records should be incorporated into the branch or section files prior to retirement.

General administrative and housekeeping records are scheduled under EPA 110A. There are specific EPA and NARA schedules to cover records such as budget, personnel, property, etc. Records documenting the program development of the Agency should be pulled and retired in accordance with EPA 126R and 143H. See EPA 127A for General Correspondence, EPA 141A for Controlled and Major Correspondence, and EPA 140A for Speeches and Congressional Testimony. Management Studies are scheduled as EPA 105A.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION: Previous schedule items combined into this schedule were for the following programs: Organization and Management, Federal Activities, General Counsel, Resources Systems, Administrative Law Judge, Regional Operations, Intergovernmental Liaison, Procurement/Contracts, Water, Solid Waste, Safety, Emergency and Remedial Response, Toxic Substances, Enforcement and Compliance Monitoring, Mobile Source, Air Quality Planning and Standards, International Activities, Air and Hazardous Waste, Regional Administrator and Staff, Environmental Services, Research and Development, Research and Development Laboratories, Pesticides, Facilities and Support Services, Financial Management, Personnel, Radiation, Information and Resource Management, Inspector General, Legislative, Planning and Evaluation and Program Reporting, and Public Affairs. 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:

EPA SERIES NO. 006A

CONTROL INFORMATION:

RELATED ITEMS: EPA 105A, EPA 110A, EPA 126R, EPA 127A, EPA 140A, EPA 141A, 143H

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC174-118/3, NC1-412-76-1/I/3 and 10, NC1-412-76-1/II/22, NC1-412-76-1/IV/11, NC1-412-76-1/V/11, NC1-412-76-3/1a, NC1-412-77-5/10, NC1-412-78-2/1, NC1-412-83-3/1, NC1-412-84-1/3, NC1-412-84-2/1, NC1-412-85-1/1 and 6, NC1-412-85-2/3, NC1-412-85-3/4, NC1-412-85-4/7, 8 and 10, NC1-412-85-5/3, NC1-412-85-6/4 and 30, NC1-412-85-7/4, NC1-412-85-8/2, NC1-412-85-10/4, NC1-412-85-12/4, NC1-412-85-13/4, NC1-412-85-14/4, NC1-412-85-16/4, NC1-412-85-17/1, NC1-412-85-21/3, NC1-412-85-22/10 and 24b, NC1-412-85-23/1 and 4b, NC1-412-85-24/52, NC1-412-85-25/40, NC1-412-85-26/I/2 and 26/II/2, NC1-412-85-27/I/2, NC1-412-85-28/2, N1-412-86-1/4, N1-412-86-3/4, N1-412-87-2/4, N1-412-87-4/4, N1-412-87-5/4

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		3/20/91	10/17/95

DRAFT OF 3/26/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Directives and Policy Guidance Documents Issued by Specific Programs and Regions

PROGRAM: All Programs

EPA SERIES NO: 007A

NARA SCHEDULE NO. N1-412-94-2/4
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Includes all records which document EPA's major policy decisions and program operational procedures originated within each program and Regional office providing the mandates for overall and specific program direction and action. Records consist of official policy decisions, delegations of authority, memos which set policy or issue guidance, operating guidance, procedures manuals, other procedural materials, technical resource documents, regulatory interpretation and implementation documents, and mandates for action. These collections of materials may be in the form of a program directives system or a program compendium with finding aids and indexes.

There are two types of records:

- a. Published directives and guidance
 - (1) Record set
 - (2) Reference set or office copy
 - (3) Background materials and drafts
- b. Unpublished directives and guidance.

ARRANGEMENT: Arrangement varies. Directives are arranged numerically by directive number as published in the Code of Federal Regulations.

TYPE OF RECORDS:
Case files

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper, publications, forms,
electronic

VITAL RECORD:

FUNCTIONS SUPPORTED:
Program direction

SPECIFIC LEGAL REQUIREMENTS:
Varies by statute

EPA SERIES NO. 007A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

- a(1). Permanent
- (2). Disposable
- (3). Permanent

TRANSFER TO FRC PERMITTED:

- Yes
- No
- Yes

- b. Disposable

Yes

FILE BREAK INSTRUCTIONS:

- a. Break file upon issuance or publication of directive or guidance.
- b. Break file upon decision to not publish directive or guidance.

DISPOSITION INSTRUCTIONS:

a(1). Retire to FRC upon publication or when superseded. Transfer to NARA in 5 year blocks, 20 years after file break.

(2). Destroy when no longer needed or superseded.

(3). Retire to FRC upon publication or when superseded. Transfer to NARA in 5 year blocks, 20 years after file break.

b. Keep inactive materials in office 3 years after file break, then retire to FRC. Destroy 10 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item documents the major functions, organization, policies, and operation of the Agency. These records were previously appraised by the National Archives as permanent.

AGENCY-WIDE GUIDANCE: Agency-wide Directives issued by the Management and Organization Division are covered in EPA 108A. This disposition covers all directives, guidance documents, and compendiums at the point of origin. The office that issues the guidance or directive is responsible for implementing the disposition and ensuring that a permanent record is maintained either in issuing office or a central facility (e.g., records center, central program office). For example, if a regional program develops a directive or guidance document which is issued program-wide (e.g., Superfund presumptive remedy documents), the regional program office is responsible for implementing the disposition.

Programs should maintain an on-site reference set of current directives to support litigation and ongoing activities. Reference sets are covered under item a(2).

Programs should determine what background materials and drafts are necessary and retire them with the directives and guidance. Background materials and drafts are covered under item a(3).

Information copies maintained by programs other than the issuing one should be destroyed when superseded or no longer needed.

If electronic records such as data bases, spreadsheets, or similar files replace or augment paper records described in this schedule, they must be retained for the length of time specified in the schedule.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION: Previous schedule items combined into this schedule were for the following programs: Organization and Management, Water, Solid Waste, Administrator and Deputy Administrator, and Office Management. Specific item numbers are cited below.

EPA SERIES NO. 007A

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 108H

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC174-118/4, NC1-412-77-/12, NC1-412-78-6/7,
NC1-412-82-8/26, N1-412-86-2/15

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		3/29/91	3/26/96

EPA Records Schedule 053

H 5

Status: Final, 02/12/2007

Title: Financial Management System (FMS)

Program: Financial Management

Applicability: Headquarters

Function: 402-124 - Accounting

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.

- N1-412-94-2/5

Description:

Financial Management System (FMS) is the predecessor to the Integrated Financial Management System (IFMS) as EPA's official accounting and financial reporting system. FMS was replaced by IFMS in 1989. Certain functions, however, such as SPUR (Software Package Unique Reports) reporting and the validation of various accounts not currently handled by IFMS remain active.

Disposition Instructions:

Item a: Electronic software program

- **Disposable**
- Delete when superseded by routine software updates and quality assurance check completed or when no longer needed

Item b: Input

- **Varies**
- Follow instructions for EPA 171 - Input and Source Records

Item c: Electronic data

- **Disposable**
- Maintain individual records 6 years and 3 months after final payment, then delete when no longer needed unless related to the Superfund program cost recovery efforts (see Agency-wide Guidance)

Item d: Output and reports

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

Item e: Supporting documentation

- **Disposable**
- Close when system is discontinued
- Destroy when 15 years old

Guidance:

The Financial Management System is under the control of the Office of the Chief Financial Officer, Office of Financial Management, Financial Systems Staff. The system manager is responsible for implementing the disposition according to items a, c and e. All related records held or produced in all appropriate offices should be destroyed under items b and d.

Records related to Superfund cost recovery should be handled according to the disposition instructions for EPA 024.

The Integrated Financial Management System is scheduled as EPA 054.

Reasons for Disposition:

Records must be held for cost recovery and audit purposes.

Custodians:

Office of the Chief Financial Officer, Office of Financial Management, Financial Systems Staff

- **Contact:** Mark Bolyard
- **Telephone:** 202-564-4968

Related Schedules:

EPA 024, EPA 054

Previous NARA Disposal Authority:

Entry: 05/14/1992

EPA Approval: 10/07/1993

NARA Approval: 11/27/1996

EPA Records Schedule 054

74

Status: Final, 02/12/2007

Title: Integrated Financial Management System (IFMS)

Program: Financial Management

Applicability: Headquarters

Function: 402-124 - Accounting

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.

- N1-412-94-2/6

Description:

The Integrated Financial Management System (IFMS) was designed expressly for government financial accounting and supports Government Accounting Office (GAO) Title 2 requirements, Office of Management and Budget (OMB) internal control requirements, and OMB's A-127 initiatives. IFMS performs funds control from commitments through payment, updates all ledgers and tables as transactions are processed, provides a standard means of data entry, edit and inquiry, and provides a single set of reference and control files. It is the official accounting system of the Agency.

IFMS includes the following subsystems: Contract Payment System (CPS), Management Accounting Reporting System (MARS), Special Package for Unique Reports (SPUR).

Disposition Instructions:

Item a: Electronic software program

- **Disposable**
- Delete when superseded by routine software updates and quality assurance completed, or when no longer needed.

Item b: Input

- **Varies**
- Follow instructions for EPA 171 - Input and Source Records

Item c: Electronic data

- **Disposable**

- Maintain individual records 6 years and 3 months after final payment, then delete when no longer needed unless related to the Superfund program cost recovery efforts (see Agency-wide Guidance)

Item d: Output and reports

- **Varies**

- File with related records and follow instructions for the related records

Item e: Supporting documentation

- **Disposable**

- Close when system is discontinued
- Destroy when 15 years old

Guidance:

The Integrated Financial Management System is under the control of the Office of the Chief Financial Officer, Office of Financial Management, Financial Systems Staff. The system manager is responsible for implementing the disposition according to items a, c and e. All related records held or produced in all appropriate offices should be destroyed under items b and d.

Records related to Superfund cost recovery should be handled according to the disposition instructions for EPA 024.

The predecessor system, Financial Management System (FMS) is scheduled as EPA 053.

Reasons for Disposition:

Records must be kept for cost recovery and audit purposes.

Custodians:

Office of the Chief Financial Officer, Office of Financial Management, Financial Systems Staff

- **Contact:** Mark Bolyard
- **Telephone:** 202-564-4968

Related Schedules:

EPA 024, EPA 053

Previous NARA Disposal Authority:

Entry: 05/14/1992

EPA Approval: 10/07/1993

NARA Approval: 11/27/1996

EPA SERIES NO. 055A

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Integrated Contracts Management System (ICMS)

PROGRAM: All Programs

EPA SERIES NO: 055A

NARA SCHEDULE NO. N1-412-94-2/7

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: The Integrated Contracts Management System (ICMS) will provide comprehensive procurement and contract management life-cycle support from acquisition initiation through contract close-out. It will interface with other EPA systems to successfully utilize their capabilities. ICMS will improve and streamline administrative processes, control, planning, monitoring, financial accountability, and contract work assignment performance. ICMS is presently in the development stage.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:

Case files, reports, forms

SPECIFIC RESTRICTIONS:

Privacy Act

Confidential Business Information

MEDIUM:

Electronic, paper, forms

VITAL RECORD:

Yes

FUNCTIONS SUPPORTED:

Program operations

SPECIFIC LEGAL REQUIREMENTS:

None

EPA SERIES NO. 055A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. Electronic software program:
Disposable

TRANSFER TO FRC PERMITTED:

No

b. Input: Disposable

Dependent on related records.

c. Electronic data: Disposable

No

d. Output and reports:
Disposable

Dependent on related records.

e. Supporting documentation:
Disposable

Yes

FILE BREAK INSTRUCTIONS:

a. Break file when superseded by routine software updates.

b. Break file according to instructions for related records.

c. Break file when information electronically submitted to the national data base and a backup has been made.

d. Break file according to instructions for related records.

e. Break file when system is discontinued.

DISPOSITION INSTRUCTIONS:

a. Delete when superseded by routine software updates and quality assurance completed or when no longer needed.

b. Follow disposition instructions for related records.

c. Maintain individual records 6 years and 3 months after final payment, then delete when no longer needed unless related to Superfund contract management (see Agency-wide Guidance).

d. Follow disposition instructions for related records.

e. Hold for up to 2 years after file break, then retire to FRC. Destroy when 15 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Records required for cost recovery and/or audit purposes.

AGENCY-WIDE GUIDANCE: Not a current system - still under development. See EPA 020A Superfund site-specific contract records. See EPA 202A for contracts for programs other than Superfund site specific.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

Name: OARM/OAM/PTOD

CONTACT POINT:

Name: David Cline

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7

EPA SERIES NO. 055A

Location: EPA Headquarters

Mail Code: 3802F

Inclusive Dates:

Telephone: 202-260-1677

Volume on Hand (Feet):

Office: OAM/PTOD

Annual Accumulation:
(feet or inches)

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 020A, EPA 202A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS:

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		5/14/92	7/14/95

EPA Records Schedule 056

 8

Status: Final, 02/12/2007

Title: Accidental Release Information Program (ARIP)

Program: Emergency Prevention, Preparedness and Response

Applicability: Agency-wide

Function: 104-008-01 - EPA Emergency Prevention

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.

- N1-412-94-2/8

Description:

The Accidental Release Information Program (ARIP) is a non-regulatory approach to foster improvements in overall chemical process safety. Information collected through ARIP is used to establish a national data base and clearinghouse about the causes of accidental chemical releases and ways to prevent them from recurring. This data base is used to study and develop program initiatives, to focus attention on releases, and to foster the use of accidental release prevention activities and technologies. Data analyses findings are disseminated and shared among all those with responsibility to prevent accidental releases.

EPA uses Emergency Response Notification System (ERNS) data on fixed facilities to select releases for an ARIP questionnaire. The questionnaire focuses on several areas of accident prevention including hazard assessments, training, emergency response, public notification procedures, mitigation techniques, and prevention equipment and controls. EPA Regions send out and receive the questionnaires, and forward the completed questionnaire to EPA Headquarters to be entered into the national data base.

Disposition Instructions:

Item a: Electronic software programs

- **Disposable**
- Maintain current version in accordance with NTSD directives and procedures. Delete when superseded or obsolete.

Item b: Input

- **Disposable**
- Close when information from questionnaires has been submitted for data entry.

- Destroy 10 years after file closure

Item c: Electronic data

- **Permanent**
- Close file at the end of each fiscal year
- Transfer to the National Archives annually as specified in 36 CFR 1228.270 or standards applicable at the time

Item d: Output and reports

- **Varies**
- Follow instructions for related records or for EPA 175 - Print Files, whichever has the longer retention.

Item e: Supporting documentation

- **Permanent**
- Close file when each major version is discontinued.
- Transfer those records necessary to document how the system captures, manipulates, and outputs data annually to the National Archives, as specified in 36 CFR 1228.270 or standards applicable at the time. Transfer this documentation along with the annual transfer of the electronic data flat file (item c) for the fiscal year in which the major version change occurred.

Guidance:

The ARIP System is under the control of the Office of Emergency Preparedness, Prevention and Response (OEPPR) of the Office of Solid Waste and Emergency Response (OSWER) who is directly responsible for implementing the disposition according to series items a, b, c, and e. All related output records held or produced in all appropriate offices should be handled according to disposition instructions outlined in series item d or, where appropriate, EPA 175 - Print Files.

Copies of questionnaires held by the Regions or contractors may be destroyed when no longer needed, provided a copy has been submitted to OEPPR.

Reasons for Disposition:

ARIP assists regulatory impact analyses as an educational tool in support of the Clean Air Act and the Accidental Release Prevention Program. In addition, it provides ongoing regulatory, enforcement, and response needs support. Questionnaires are kept for narrative information not encoded into the data base. ARIP also assists in verifying ERNS information and is used to validate information in the ERNS data base. However, ARIP provides information verified by the facilities which is not included in ERNS.

Custodians:

Office of Solid Waste and Emergency Response, Emergency Preparedness, Prevention and Response

- **Contact:** David Chung
- **Telephone:** 202-564-8942

Related Schedules:

EPA 010, EPA 013, EPA 014, EPA 060, EPA 061, EPA 175

Previous NARA Disposal Authority:

Entry: 05/14/1992

EPA Approval: 10/07/1993

NARA Approval: 11/27/1996

- Close at end of fiscal year.
- Keep 3 years, then delete

Item d: Output and reports

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

Item e: Supporting documentation

- **Disposable**
- Close when system is discontinued
- Destroy when 15 years old

Guidance:

The Office of Federal Activities (OFA) 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.

National Environmental Policy Act (NEPA) preparation files are scheduled as EPA 134 and 309 review and comments files as EPA 135

Reasons for Disposition:

Records used to track high-level information regarding permanent EIS records scheduled separately

Custodians:

Office of Enforcement and Compliance Assurance, Office of Federal Activities, NEPA Compliance Div

- **Contact:** Marilyn Henderson
- **Telephone:** 202-564-7153

Related Schedules:

EPA 134, EPA 135

Previous NARA Disposal Authority:

Entry: 05/21/1992

EPA Approval: 10/07/1993

NARA Approval: 11/27/1996

EPA Records Schedule 058

Status: Final, 02/12/2007

Title: Federal Facilities Information System (FFIS)

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), 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.

- N1-412-94-2/10

Description:

The Federal Facility Information System (FFIS) serves as a vehicle for assuring compliance of Federal facilities, including the preparation of OMB Circular A-106 reporting requirements, and provides a multi-media framework for enforcement overview. FFIS assists EPA in reviewing all Federal agencies' Environmental Plans (Form 3500-7) for the next planned fiscal year. Agencies update the system at least twice a year. EPA issues its A-106 report to the Office of Management and Budget (OMB) each year.

In addition, FFIS provides capabilities to logically relate a unique facility to the numerous program areas in many media. The basic unit is the facility record which carries general information describing an individual facility of interest to EPA.

Disposition Instructions:

Item a: Electronic software program

- **Disposable**
- Delete when superseded by routine software updates and quality assurance completed. When each version is discontinued, maintain current version in accordance with NTSD directives and procedures.

Item b: Input

- **Varies**
- Follow instructions for EPA 171 - Input and Source Records

Item c: Electronic data

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

Item d(1): A-106 report

- **Disposable**
- Destroy 10 years after submission to OMB

Item d(2): All other reports

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

Item e: Supporting documentation

- **Permanent**
- Close when system discontinued.
- 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
This documentation is transferred along with the electronic data (item c)

Guidance:

The Office of Federal Facilities Enforcement (OFFE) in the Office of Enforcement and Compliance Assurance(OECA) is responsible for implementing the disposition for items a, c, d, and e

Records produced in support of the various budget and reporting functions associated with FFIS may be retained with the related records and retired according to the applicable accompanying record series

See EPA 012 for federal agency hazardous waste compliance sites (also known as federal facilities files) and EPA 137 for federal facilities monitoring for Regional programs. Reports maintained by the Headquarters Office of Federal Activities showing the status of pollution abatement effort by federal agencies, including those submitted under OMB Circular A-106 are scheduled as EPA 515 for the Federal Facilities Data System

Records containing sensitive information must be shredded or otherwise definitively to protect confidentiality

Each creating Agency is responsible for the maintenance and disposition of its environmental plan and supporting documentation

Reasons for Disposition:

Information regarding unique facilities must be kept to support the legal requirements involved in property transfers

Custodians:

Office of Enforcement and Compliance Assurance, Federal Facilities Enforcement Office

- **Contact:** Don Franklin
- **Telephone:** 202-564-2463

Related Schedules:

EPA 012, EPA 137, EPA 515

Previous NARA Disposal Authority:

NC1-412-77-1/21

Entry: 05/14/1992

EPA Approval: 10/07/1993

NARA Approval: 11/27/1996

EPA Records Schedule 062

Status: Final, 03/30/2007

Title: Lab Automation System (LBAU) (Sample Management System)

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), 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.

- N1-412-94-2/11

Description:

The Lab Automation System (LBAU), more commonly known as the Sample Management System, tracks enforcement action sample data for the Office of Enforcement and Compliance Assurance at the National Enforcement Investigation Center (NEIC) (nearly sixty percent of which are RCRA or Superfund related). This system provides control of sample analysis through interaction with laboratory analysis equipment. An analysis of spectra data for identification and concentration levels of elements is performed and then tracked by this system. Data elements include sample data, who took the sample and where, contents of the sample and what was asked to be done, who analyzed the sample, and when. A hard copy case file is kept from which much of this information is extracted. Analytical results are rarely entered into the electronic system although they are summarized in a report memo and kept in the case file.

Disposition Instructions:

Item a: Electronic software system

- **Disposable**
- Delete when superseded by routine software updates

Item b: Input

- **Varies**
- Follow instructions for EPA 171 - Input and Source Records

Item c: Electronic data

- **Disposable**

- Keep at least 1 year, then delete when no longer needed

Item d: Output and reports

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

Item e: Supporting documentation

- **Disposable**
- Destroy when 15 years old

Guidance:

The Laboratory Services Division (LSD) of NEIC in the Office of Enforcement and Compliance Assurance (OECA) is responsible for implementing the disposition for items a, c and e. All related input and output records held or produced in other offices are to be retained according to the disposition instructions for EPA 018 for Superfund site-specific sampling and analytical data or EPA 223 for other program sampling and analytical data.

Enforcement actions are scheduled as EPA 025 for Superfund site-specific and EPA 207 for other programs

Reasons for Disposition:

System only used as a tool to track samples and generate information filed in the case file. Retention is sufficient for audit purposes.

Custodians:

Office of Enforcement and Compliance Assurance, Laboratory Services Division

- **Contact:** John Lee
- **Telephone:** 303-236-5132

Related Schedules:

EPA 018, EPA 025, EPA 207, EPA 223

Previous NARA Disposal Authority:

Entry: 05/14/1992

EPA Approval: 10/07/1993

NARA Approval: 11/27/1996

EPA Records Schedule 063

#12

Status: Final, 05/31/2007

Title: Electronic Models and Expert Systems

Program: All Programs

Applicability: Agency-wide

Function: 316-258-04 - Monitoring/Modeling Methods Development

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

- N1-412-94-2/12

Description:

Includes a broad range of PC-based computer models and expert systems used in the evaluation, scoring, or interpretation of information or data in support of the Agency's mission. Some systems are designed for use by the public, State programs, or others outside EPA as well as EPA staff. Models allow user to enter data concerning a specific event, case, site, chemical, pesticide, or other entity, and conduct analysis or evaluation, or develop estimates. Expert systems are used to guide users through a process and assist them in reaching a decision, complete an application or other process. There are no legal requirements to create or maintain these systems.

Disposition Instructions:

Item a: Electronic system software

- **Disposable**
- Delete when superseded by routine software program updates and quality assurance check completed or when no longer needed

Item b: Input

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

Item c: Electronic data

- **Disposable**

- Keep individual records for at least 2 years after completion of action and then delete when no longer needed

Item d: Output and reports

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

Item e: Supporting documentation

- **Disposable**
- Delete when superseded or obsolete, or upon authorized deletion of the system, according to the instructions in EPA 304, item a

Guidance:

Specific systems covered by this schedule are identified below

System users should be sure to document results of analyses completely. Complete documentation may require results, input data used, search parameters, software used, or similar information to ensure a complete record suitable for litigation support, if necessary, is maintained.

Software (item a) and data (item c) may be stored at the NCC according to NCC procedures.

Electronic information systems with long-term or permanent retention such as CERCLIS (EPA 050) are scheduled separately. Other disposable systems not requiring specific schedules have been categorized into this schedule or one of the other "generic" schedules.

- EPA 088 - Bibliographic and Reference Systems
- EPA 089 - Information Tracking Systems
- EPA 090 - Administrative Support Data Bases
- EPA 094 - Electronic Bulletin Boards

Electronic records not requiring their own schedules or covered in one of the generic schedules above may be segments or phases of information systems. Examples of this type of schedule include, but are not limited to:

- EPA 164 - Electronic Spreadsheets
- EPA 170 - Files/Records Used to Create and Maintain Master Files
- EPA 304 - Systems Documentation

This schedule item applies to the following systems:

- ADL Migration Exposure Model (AMEM)
- Air Pollutants Exposure Model (APEX)
- Ann Arbor AP-42 Program (APGR)
- AREAL-RTP Regional Air Pollution Study (RAPS)
- AREAL-RTP Northeast Regional Oxidant Study (NEROS)

- Advanced Utility Simulation Model (AUSM)
- Aquatox
- ASIWPCA File
- Assessment Tools for the Evaluation of Risk (ASTER)
- Atmospheric Dispersion of Radionuclides (AIRDOSE-EPA)
- Automated Procurement Documentation System (APDS)
- BEN/ABEL
- Cancer Expert System
- Class I Hazardous Waste Models
- Computer-Aided Data Review and Evaluation (CADRE)
- Computer-Aided Management of Emergency Operations (CAMEO)
- Computer Assisted Program for the Design and Evaluation of Treatment Systems (CAPDET)
- Construction Grants Resource Model (CGPRM)
- Contract Compliance System (CCS)
- Cornell Mixing Zone Expert System (CORMIX)
- Corrective Action Advisor 1/Texas (CAXSL)
- Design Conditions Program (DESCON)
- Design Flow Program (DFLOW)
- Dietary Exposure Evaluation Model (DEEM)
- Dietary Risk Evaluation System (DRES)
- Dose and Risk Assessment Tabulation (DARTAB)
- Dredged Material Tracking System (DMATS)
- Dynamic Hydrolic Model (DYNHYD)
- Dynamic Toxics Wasteload Allocation Model (DYNTOX)
- Ecological Structure Activity Relationships (ECOSAR)
- EMSL-Cinci Performance Evaluation System
- Environmental Sampling Expert Systems - Soil Metals (ESES-SM)
- EPANET
- Equilibrium Metal Speciation Model (MINTEQA2)
- EPA ADP Procurement Expert (ADP-EXPERT)
- EXEC/OP Program for Computer-Aided Synthesis of Wastewater Treatment Systems (EXEC/OP)
- Expert Systems for Location of Facilities in Wetlands (WET ENVIRO)
- Exposure Analysis Modeling Systems (EXAMS-II)
- Factor Information Retrieval Data System (FIRE)
- Final Cover Advisory System (F-COVER)
- Flexible Membrane Liner Advisory Expert System (FLEX)
- Food and Gill Exchange of Toxic Substances (FGETS)
- Green Chemistry Expert System
- Green Cross Solar (GCSOLAR)
- Geostatistics for Waste Management (GEOPACK)
- Geosynthetic Modeling System (GM)
- Grant Allocation Formula
- Graphical Exposure Modeling Systems/PC Graphical Exposure Modeling Systems (GEMS/PCGEM)
- Gridded Model Information Support System (GMISS)
- Headquarters Automated Grant Document System (HAGDS)
- High Level Radioactive Waste Risk Model (WESPDOSE2)
- High Level and Transuranic Radioactive Waste Repository Risk Model (REPRISK)
- Human Exposure Model (HEM)
- Hydrologic Evaluation of Landfill Performance Model (HELP MODEL)
- Hydrologic Simulation Program Fortran (HSPF)

- Hyperventilate: A Software Guidance System Created for Vapor Extraction Applications (HYPERVENT)
- Industrial Combustion Emissions Model (ICE MODEL)
- Interagency Agreement Management System (IAMS)
- Kinetics Model and Ozone Isoleth Plotting Package (OZIPP)
- Land Application/Distribution and Marketing Model for Terrestrial Pathways
- Landfill
- Leachate Collection Advisory Expert System (L-CES)
- Littoral Ecosystem Risk Assessment Model for Prediction of Risk of Chemical Stressors Entering the Aquatic Environment (LERAM)
- Maximum Individual Dose Model (MAXDOSE)
- Mobile Source Emissions Factors Model (MOBILE)
- Model Permit OCPSF (Organic Chemicals, Plastics, Synthetics, and Fibers)
- Modeling Capture Zones of Ground-Water Wells Using Analytic Elements (CZAEM)
- Modular Semi-Analytical Model for the Delineation of Wellhead Protection Areas (WHPA)
- Modular Three-Dimensional Transport Model (MT3D)
- Multi-Chamber Consumer Exposure Model (MCCEM)
- Multimedia Exposure Assessment Model for Evaluating the Land Disposal of Hazardous Wastes (MULTIMED)
- National Allowance Data Base (NADB) and Supplemental Data File (SDF)
- NEIC Light Detection and Ranging System (LIDAR)
- Network Flow and Contaminant Transport Model for Statistical and Deterministic Simulations Using Personal Computers (NEFTRANS)
- Numerical Codes for Delineating Wellhead Protection Areas in Agricultural Regions Based on the Assimilative Capacity Criterion (3DFEMWATER/3DLEWASTE)
- OCFO Reporting and Business Intelligence Tool (ORBIT)
- One-Dimensional Water and Chemical Movement in Unsaturated Soils (CHEMFLO)
- Packed Column Aeration System Design Procedure
- Parameter Estimation System for Aquifer Restoration Models (OASIS)
- Parameter File (PARM)
- Personal Computer Continuous Emissions Monitoring System (PC-CEMS)
- Pesticide Assessment Tool for Rating Investigations of Transport (PATRIOT)
- Pesticide Root Zone Model (PRZM)
- Pesticides Analytical Transport Solution (PESTAN)
- Physiological Data Acquisitions and Storage System (PDAS)
- Prediction of Radiological Effects Resulting from Shallow Trench Operation (PRESTO-EPA, PRESTO-EPA-CPG, PRESTO-EPA-POP)
- PRELIM
- Premixed One-Dimensional Flame Code (PROF)
- Preliminary Assessment Scoring System (PASCORE)
- Preliminary Ranking Evaluation Score (PRESCORE)
- Probabilistic Dilution Model (PDM3)
- Public Health Risk Evaluation Database (PHRED)
- Quantitative Structure Activity Relationships System (QSAR)
- Radio Chemistry Programs for Radiation Calculations (RADIO CHEM)
- Radionuclide Dose Rate/Risk (RADRISK)
- ReachScan with Probabilistic Dilution Model and Endangered Species Database Link
- REG-In-A-Box (REGBOX)
- Region 2 Coastal Profile Reporting System (CPRS)
- Region 2 Latitude/Longitude Digitizing Program (DIGIT)

- Region 3 Chesapeake Bay Watershed Model (WSM)
- Region 3 Three Dimensional Time Variable Water Quality Model (3-DTVM)
- Region 6 Carpool Locator (CARPOOL)
- Region 8 Permit Generator
- Regulatory and Investigative Treatment Zone Model (RITZ)
- Retention Curve Computer Code (RETC)
- Risk of Unsaturated/Saturated Transport and Transformation of Chemical Concentration (RUSTIC)
- RMP*COMP
- Severity Categories Applied to Risk Estimation (SCATRE)
- Simulated Waste Access to Ground Water (SWAG)
- Sludge Incineration Model
- Soil Transport and Fate Database and Model Management System (STF)
- Soil Venting Model (SOILVENT)
- Spatial Analysis System (SAS)
- Storm Water Management Model (SWMM4)
- Stream Quality Model (QUAL2E)
- Superfund Site Selection Support System (SSSSS)
- TANKS Storage Tank Emission Estimation Software (TANKS)
- Terrestrial Environmental Exposure Assessment Model (TEEAM)
- Texas Smart Maps Stopper Expert System
- Toxic Release Inventory - Made Easy (TRI-ME)
- Toxic Substances Research (HETC)
- TRI Environmental Indicators (TRI-EI)
- Two-Dimensional Contaminant Transport Under the Influence of Oxygen Limited Biodegradation in Ground Water (BIOPLUMEII)
- Two-Dimensional Finite Element Program for Multiphase Flow and Multicomponent Transport (MOFAT)
- Urban Airshed Model (UAM)
- Urban Wastewater Toxics Flow Model (TOXFLOW)
- Use Cluster Scoring System
- Vadoze Zone Leaching Model (VLEACH)
- Vegetation Cover Advisory Expert System (VEGCOV)
- Waste Analysis Plan Review Advisor (WAPRA)
- Water Quality Analysis Simulation Program (WASP4)
- Water Quality Analysis System (WQAS)
- Water Supply Simulation Model (WSSM)
- What-If

Reasons for Disposition:

System documentation must be kept to support litigation, cost recovery efforts, and mission-critical decisions and is covered by item e.

Custodians:

Multiple units

Related Schedules:

EPA 088, EPA 089, EPA 090, EPA 094, EPA 164, EPA 170, EPA 171, EPA 304

Previous NARA Disposal Authority:

Entry: 05/14/1992

EPA Approval: 10/07/1993

NARA Approval: 11/27/1996

DRAFT OF 3/26/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Public Awareness Files

PROGRAM: Communications, Education and Public Affairs

EPA SERIES NO: 081A

NARA SCHEDULE NO. N1-412-94-2/13

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Includes records used to produce outreach materials for the public or Congress produced by program offices that are informal in nature. Records consist of background papers, talking points, briefings and briefing books, news clippings, biographical information on EPA officials, documents on program activities, reports on program and policy developments, news releases, fact sheets, and other records used in formulating news or press releases. It also includes conference and symposium materials relating to programs, an element of the program, a particular regulation, or an environmental event. There are two types of records:

a. Press or news releases, fact sheets, and other official dissemination products;

b. Background or working papers.

ARRANGEMENT: Arranged by subject.

TYPE OF RECORDS:

Subject files

SPECIFIC RESTRICTIONS:

None

MEDIUM:

Paper

VITAL RECORD:

FUNCTIONS SUPPORTED:

Public awareness

SPECIFIC LEGAL REQUIREMENTS:

None

EPA SERIES NO. 081A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. Permanent

TRANSFER TO FRC PERMITTED:

Yes

b. Disposable

Yes

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

DISPOSITION INSTRUCTIONS:

a. Keep inactive materials in office 1 years after file break, then retire to FRC. Transfer to the National Archives 10 years after file break.

b. Keep inactive materials in office at least 1 year after file break, then retire to FRC. Destroy 3 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This series incorporates NC1-412-75-9/12 and NC1-412-76-1/I/7 and 8 and has been expanded to address the various types of public and Congressional outreach working materials produced by program offices on a day-to-day basis.

AGENCY-WIDE GUIDANCE: The retention applies to records produced for or by the Office of Communications, Education and Public Affairs or Regional Offices of Public or External Affairs. Informal comments, talking points, and program background materials are frequently forwarded to higher level offices (e.g., Congressional and Legislative Action, Public Affairs) for inclusion in products created for wide distribution. If this is the case, the higher level office is the office of record and is responsible for maintaining and implementing the disposition according to disposition instructions. All other offices may destroy when no longer needed.

Where conference materials, brochures, posters, and other publication items are produced, but not routed through the Office of Communications, Education and Public Affairs, the Government Printing Office, or the EPA printing office, see EPA 250A, item b. See EPA 249A for Artwork and Camera Ready Copy. Reports to Congress are addressed in EPA 155A and EPA 309A for Public Inquiries Files. See EPA 258A - Final Deliverables and Reports. See EPA 535A for Printing Arrangements for Publications, Articles, and Promotional Items and EPA 254H for Communication/Distribution Strategy Files.

Copies of public awareness documents incorporated into other series such as site files should be disposed of in accordance with the related series. This schedule does not cover distribution copies which are non-record materials.

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:

EPA SERIES NO. 081A

CONTROL INFORMATION:

RELATED ITEMS: EPA 155A, EPA 249A, EPA 250A, EPA 254H, EPA 258A, EPA 309A, EPA 535A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-75-9/12, NC1-412-76-1/I/7 and 8

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		6/8/92	3/26/96

From: SANDY YORK 303-840-0464 <YORK.SANDY@epamail.epa.gov>
 To: Susan Elter <susan.elter@arch2.nara.gov>
 Date: 5/22/96 9:44am
 Subject: Re: EPA series 082A -Reply

Oh, you caught me! I goofed up. Here's an updated version.

DRAFT OF 5/22/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Response to Audit, Evaluation, and Investigation

PROGRAM: All Programs

EPA SERIES NO: 082A

NARA SCHEDULE NO. N1-412-94-2/14
 (Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Includes records used to document and track the Agency's response to audit, evaluation, and investigation processes conducted internally (e.g., by Inspector General (IG)), or externally (e.g., by General Accounting Office (GAO)). Audits and evaluations may be initiated by EPA, by an outside agency with oversight over EPA, or it may be requested by Congress. Records relating to these special projects include controlled and follow-through correspondence, conference materials, issue and position papers, responses, work plans, studies, corrective actions, tracking/milestones, and related records such as Corrective Action System (CATS) printouts.

Records related particularly to Federal Managers Financial Integrity Act (FMFIA) include: documentation of internal control objectives and techniques, work plans, status reports on conduct of internal control reviews, correction of reported material weaknesses, and related materials such as the Corrective Action Tracking system (CATS), Event Cycle Documentation, Management Control Plan, Audit Follow-up, Annual Assurance Letter, and internal control review reports and supporting documentation.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
 Case files

SPECIFIC RESTRICTIONS:
 Privacy Act
 Confidential Business Information
 Enforcement Sensitive Information

MEDIUM:
 Paper, electronic, forms

VITAL RECORD:

FUNCTIONS SUPPORTED:
 Program management and oversight

SPECIFIC LEGAL REQUIREMENTS:
 Federal Managers Financial Integrity Act (FMFIA) of 1982

TOP

EPA SERIES NO. 082A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

FILE BREAK INSTRUCTIONS: Break file when corrective action is complete.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office 3 years after file break, then retire to FRC. Destroy 10 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item addresses, combines, and describes a number of items relating to Agency response to various evaluation activities. The retentions of the various items have been combined to provide consistency across records series and to bring retention into line with the value of the records to Agency operations.

AGENCY-WIDE GUIDANCE: This series focuses on the specific response or corrective actions taken by the office subject to the evaluation function, not the audit itself. The record copy of the audit or evaluation will reside with the organization performing the audit (e.g., IG, GAO, Congress).

Program offices are responsible for maintaining and dispositioning the record copy of FMFIA documentation according to the disposition instructions. Internal control coordinators are not responsible for keeping the documentation, only a certification that it exists. All other copies may be destroyed when no longer needed.

Records of Agency directives and guidance created by Office of Management and Budget (OMB) and other offices relating to responses to evaluation/audit should be maintained in the responding office. Copies provided to internal control coordinators and audit liaisons should be kept as reference material and can be discarded when superseded.

Audit resolution records maintained in OARM are scheduled as EPA 658H. Contract Reviews and Audits are scheduled as EPA 184A.

If electronic records such as data bases, spreadsheets, or similar files replace or augment paper records described in this schedule, they must be retained for the length of time specified in the schedule.

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 witnessed disposal for records destroyed by contractors.

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: EPA 658H

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS: NC1-412-85-1/4, NC1-412-86-4/4, GRS 22

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		6/8/92	5/22/96

EPA Records Schedule 088

Status: Final, 05/31/2007

Title: Bibliographic and Reference Systems

Program: All Programs

Applicability: Agency-wide

Function: 305-109 - Official Information Dissemination

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

- N1-412-94-2/15

Description:

Includes a broad range of primarily PC-based systems used to provide ready, user friendly, access to frequently used information. Information may be drawn from other Agency data bases, commercially available data bases, Agency records, publicly available sources, or a combination of sources.

Information is brought together to simplify access and provide specialized support for specific information needs. In no case is the system (a) required by law, (b) necessary to administer a program, or (c) necessary to document program activity. If the information in the system is used for any of the activities a - c above, an information system (automated or manual) is maintained separately to satisfy those requirements. If the system is used as a finding aid to records, it is disposable under either an Agency approved schedule or NARA's General Records Schedules (GRS).

Disposition Instructions:

Item a: Electronic system software

- **Disposable**
- Delete when superseded by routine software program updates and quality assurance check completed or when no longer needed

Item b: Input

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

Item c: Electronic data

- **Disposable**
- Delete individual records 2 years after completion of action and when no longer needed

Item d: Output and reports

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

Item e: Supporting documentation

- **Disposable**
- Delete when superseded or obsolete, or upon authorized deletion of the system, according to instructions in EPA 304, item a

Guidance:

Specific systems covered by this schedule are identified below.

Electronic information systems with long-term or permanent retention such as CERCLIS (EPA 050) are scheduled separately. Other disposable systems not requiring specific schedules have been categorized into this schedule or one of the other "generic" schedules:

- EPA 063 - Electronic Models and Expert Systems
- EPA 089 - Information Tracking Systems
- EPA 090 - Administrative Support Data Bases
- EPA 094 - Electronic Bulletin Boards

Electronic records not requiring their own schedules or covered in one of the generic schedules above may be segments or phases of information systems. Examples of this type of schedule include, but are not limited to:

- EPA 164 - Electronic Spreadsheets
- EPA 170 - Files/Records Used to Create and Maintain Master Files
- EPA 304 - Systems Documentation

This schedule includes, but is not limited to, the following systems:

- 1985 National Acid Precipitation Assessment Program Emission Inventory (NAPAP)
- A National Compendium of Freshwater Fish and Water Temperature Data (FISHTEMP)
- Acute Oral Toxicity for Birds, Mice, Rats (ORALTOX)
- Additives Information System (AIS)
- Aerial Photo Database
- Air Emissions from Treatment Storage and Disposal Facilities for Hazardous Waste (TSDF)
- Airborne Particulate and Precipitation Data (ERD)
- Alternative Treatment Technology Information Center (ATTIC)
- Ann Arbor Certification Information and Fuel Economy Data Base (CIDB)

- AO Finance
- Applicability Determination Index (ADI)
- Aquatic Toxicity Information Retrieval (AQUIRE)
- Automatic Laboratory Evaluation System (ALES)
- Capacity Assurance Planning (CAP) 1989 Database (EPACAP)
- Carcinogen Interaction Hazard Assessment Databases and Softwares (CIHADS)
- Case Study Database System (CSDS)
- Chemical Collection Library System (CCS)
- Chemical Unit Record Estimates Database (CURE)
- Chemicals in Commerce Information System (CICIS)
- Clean Lakes Program Management System (CLPMS)
- Complex Terrain Field Studies Data Base (CTM)
- Confidential Chemicals Identification System (CCID)
- Corrective Action Bibliographic Data Base (CORRECTIVE)
- Criminal Investigation Index (CII)
- Criteria Reference Information Bank (CRIB)
- Database of Sources of Environmental Releases of Dioxin-Like Compounds in the United States
- Discharge Monitoring Report - Quality Assurance Studies (DMR-QA)
- Dose/Duration Toxicology Data Plotting System (D2PLOT)
- Electronic Course Catalogue System (E-CATS)
- Emissions Certification Data Base (ECDB)
- EMSL-Las Vegas Library Book System (VBOK)
- EMSL-Las Vegas Library Inventory (VLIB)
- Enforcement Case Support Expert Resources Inventory System (ERIS)
- Environmental Fate Constants Information System (EFCIS)
- Environmental Financing Information Network (EFIN)
- Environmental Monitoring Methods Index (EMMI)
- EPA Documents on CD-ROM (EPADOC)
- EPA On-Line PC Help System (NDPD)
- EPA Press Releases (EPA PRESS)
- EPCRA Targeting System (ETS)
- Facilities and Company Tracking System (FACTS)
- Federal Facilities Inventory System (FFIS)
- Firm Facility Financial Data Base (F3DB)
- Fuel Economy (LDSFE)
- Fuels Inspection Data Base (FUELDB)
- GENE-TOX Carcinogen Data Base (GENETOX)
- Genetic Activity Profile Data Base
- Green Chemistry Literature Database
- GTD Bioassay System and Database (GTDNIS)
- Hazardous Waste Casefinder (HWC)
- Hazardous Waste Collection Data Base (HWCD)
- Hazardous Waste Data Management System - SAS (PSEUDO-HWD)
- Hazardous Waste Superfund Collection Database (HAZARD)
- Hazardous Waste TSDR Facilities Screening Survey
- Heavy-Duty Engine Certification Data (HDECERT)
- Imports Data Base (IDBS)
- In-Use Technology Assessment (IUTA)
- Indoor Air Reference Bibliography (IARB)
- INFOTERRA International Directory of Sources (INFOTERRA)

- Inhalable Particulate Network (IPMN)
- Innovative/Alternative Pollution Control Technology Facility File Data Base (IADB)
- International Register of Potentially Toxic Chemicals (IRPTC)
- Inventory of Certified Labs (ICL)
- Laboratory Performance Evaluation (NPDES)
- Lake Analysis Management System (LAMS)
- Light-Duty Vehicle/Truck Certification (LDS)
- Listing of Fish and Wildlife Advisories (LFWA) Database
- Microbial Information System (MICRO-IS)
- Models Knowledge Base
- Monitoring Branch Clearinghouse
- Motorcycle Certification Data (MOCERT)
- Municipal Waste - Combustion - Ash Disposal Facilities Data Base (ASH DISPOS)
- National Air Toxics Information Clearinghouse (NATICH)
- National Air and Radiation Environmental Laboratory (NAREL)
- National Asbestos Registry System (NARS)
- National Environmental Publications Information System (NEPIS)
- National Performance Audit Program (NPAP)
- National Records Management Program (NRMP) Records Management Collection
- National Sewage Sludge Survey (NSSS)
- National Utility Reference File (NURF)
- National Water-Use Data System (NWUDS)
- Nationwide Volunteer Monitoring System
- NPL Characterization System
- NPL Information System
- NPL Technical Database
- NRMRL Treatability Database
- OA-RTP Keyword-in-Context Index (KWIC/IBM)
- Occupational Radiation Data Files
- OCEFT/NEIC Master Tracking System
- OGWDW Publications Inventory and Bibliography
- Online Catalog (OLS)
- OPEI Working Paper Inventory
- OPPT Chemical Directory System (CHEMD)
- OSWER Directives System (OSWERDS)
- PCB Activity Database System (PADS)
- Pesticide Information Network (PIN)
- PHYTOTOX Database
- Potentially Responsible Parties System (PRP)
- Program Evaluation Library
- Proximity of Waste Sites to Sensitive Environments (PROXIMITY)
- RACT/BACT/LAER Clearinghouse Information System (BLIS)
- Recall Data Base (RECALLDB)
- Recordkeeping and Reporting Requirements for RCRA Permittees
- Records Management System, Environmental Criteria and and Assessment Office/RTP
- Records of Decision System (RODS)
- Reference File System (REFS)
- Referral List of Waste Water Treatment Related Publications
- Region 1 Research Library for RCRA Database (RLRCRA)
- Region 1 Research Library for RCRA Foundation Grants Database (RLRCRA(2))

- Region 9 Environmental Services Branch-Library System (ESB-LIB)
- Regional Indian Land UST Database (LUST-DE)
- Register of Lists (ROL)
- Reportable Quantities Data Base (RQ DB)
- Risk Reduction Engineering Laboratory - Computerized On-Line Information System (GREL-COLIS)
- RTP Library (LIBR)
- Solid Waste Publications Database
- State Revolving Fund (SRF) National Information Management System
- State Wellhead Protection Delineation Component (SWPDC)
- Summary of State and Federal Drinking Water Standards and Guidelines
- Superfund Chemical Data Matrix (SCDMS)
- Technical Assistance Database (TAD)
- Technical Information Plan (TIP)
- TERRETOX Database
- Tolerance Index System (TIS)
- Toxicologic Interaction Data Base (MIXTOX)
- Unregulated Contaminants Information System
- Vendor Field Analytical and Characterization Technologies System (VFACTS)
- Vendor Information System for Innovative Treatment Technologies (VISITT)
- Water Pollution Lab Performance Evaluation Studies (WP)
- Water Supply Laboratory Performance Evaluation Studies (WS)
- Watershed Information Resource System (WIRS)
- Wetlands and Aquatic Species List
- Wetlands Data Base
- Windows on Waste System (WOW)

Reasons for Disposition:

Conforms to GRS 20 and 23

Custodians:

Multiple units

Related Schedules:

EPA 063, EPA 089, EPA 090, EPA 094, EPA 164, EPA 170, EPA 171, EPA 304

Previous NARA Disposal Authority:

Entry: 09/23/1992

EPA Approval: 10/07/1993

NARA Approval: 11/27/1996

DRAFT OF 3/27/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Management Studies

PROGRAM: All Programs

EPA SERIES NO: 105A

NARA SCHEDULE NO. N1-412-94-2/16

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Consists of staff studies; analyses of administrative policies and procedures; manpower surveys; organization and methods surveys and studies; activity, progress, management improvement, and other reports; and other related records.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:

Case files

SPECIFIC RESTRICTIONS:

None

MEDIUM:

Paper, electronic

VITAL RECORD:

FUNCTIONS SUPPORTED:

Program management

SPECIFIC LEGAL REQUIREMENTS:

Requirements vary

EPA SERIES NO. 105A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Record copy: Permanent

TRANSFER TO FRC PERMITTED:

Yes

FILE BREAK INSTRUCTIONS: Break file after completion of the study or report, or when superseded or cancelled.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office up to 4 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: These records were previously appraised as permanent by the National Archives. They document the organization and function of the Agency.

AGENCY-WIDE GUIDANCE: Disposition covers the record copy of management studies done by the Management and Organization Division of OARM. All other copies in all other units, including those submitted to OARM, should be disposed of when no longer needed.

See EPA 126R and EPA 143H for Program Development Files. Organization Plans are scheduled as EPA 106H. See EPA 005A for other types of Special Studies. Records that document the ongoing management of programs should be disposed of in accordance with EPA 006A.

If electronic records such as word processing, spreadsheets, or similar files replace or augment paper records described in this schedule, they must be retained for the length of time specified in the schedule.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION: Previously scheduled items combined into this schedule were for the following programs: Organization and Management, Regional Operations, Intergovernmental Liaison, Water, Solid Waste, Emergency and Remedial Response, Toxic Substances, Enforcement and Compliance Monitoring, Mobile Source, Air Quality Planning and Standards, International Activities, Regional Administrator and Staff, Research and Development, Pesticides, Radiation, Information and Resources Management, Legislative, and Public Affairs. 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 005A, EPA 006A, EPA 126R, EPA 143H

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC174-118/1 and 2, NC1-412-76-3/1a, NC1-412-76-15/2, NC1-412-77-5/6, 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, NC1-412-85-13/3, NC1-412-85-14/3, NC1-412-85-16/3, NC1-412-85-22/7a, NC1-412-85-24/51, N1-412-86-1/3,

EPA SERIES NO. 105A

N1-412-86-3/3, N1-412-87-2/3, N1-412-87-5/3

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		8/18/91	3/27/96

DRAFT OF 4/3/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Schedules and Logs of Daily Activities

PROGRAM: All Programs

EPA SERIES NO: 111A

NARA SCHEDULE NO. N1-412-94-2/17

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Consists of calendars, appointment books, schedules, logs, diaries and other records documenting meetings, appointments, telephone calls, trips, visits and other activities of Federal employees while serving in an official capacity. There are 3 categories of such records:

- a. Records of high level officials containing substantive information relating to official activities, the substance of which has not been incorporated into memoranda, reports, correspondence or other records included in the official files.
- b. Records of other than high level Federal employees as defined in Agencywide Guidelines below, containing substantive information relating to official activities, the substance of which has not been incorporated into official files.
- c. Routine materials containing no substantive information regarding the daily activities of any Agency officials, or records of any Federal employees containing substantive information, the substance of which has been incorporated into official files.

ARRANGEMENT: Arranged chronologically.

TYPE OF RECORDS:
Schedules of activities

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper, electronic

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Program management

SPECIFIC LEGAL REQUIREMENTS:
None

EPA SERIES NO. 111A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. High level officials: Permanent

TRANSFER TO FRC PERMITTED:

Yes

b. Other Federal employees:

Disposable

No

c. Routine materials: Disposable

No

FILE BREAK INSTRUCTIONS:

a. Break file when official leaves office.

b and c. Break file at end of year.

DISPOSITION INSTRUCTIONS:

a. Keep inactive materials in office current plus 1 additional year after file break, then retire to FRC. Transfer to the National Archives 20 years after file break.

b. Keep inactive materials in office 2 years after file break, then delete or destroy.

c. Destroy when no longer needed.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Generally conforms to GRS 23/5. Records of high level Agency officials were previously appraised as permanent by the National Archives. Retention period for records of high level officials has been changed to be consistent with similar records.

AGENCY-WIDE GUIDANCE: High level officials include the Administrator, Assistant Administrators, Associate Administrators, Regional Administrators, Laboratory Directors, Office Directors, Staff Directors and Staff Assistant to the aforementioned officials such as special assistants, confidential assistants and administrative assistants. Disposition covers both hard copy and electronic files. If schedule of a high level official is maintained electronically, a copy should be printed out and filed as part of the record.

Portions of calendars that do not pertain to official Agency business may be personal papers. Personal items may be redacted prior to submittal. For instructions on determining whether a specific item is a record or a personal paper, see Agency and Federal guidance.

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:

EPA SERIES NO. 111A

CONTROL INFORMATION:
RELATED ITEMS:

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS: GRS 23/5, N1-412-86-2/2

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		8/19/91	4/3/96

EPA SERIES NO. 127A

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: General Correspondence Files

PROGRAM: All Programs

EPA SERIES NO: 127A

NARA SCHEDULE NO. N1-412-94-2/18
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Contains copies of all non-controlled correspondence and memoranda relating to work accomplishments, personnel needs, and other routine activities of the office. Includes incoming letters and enclosures.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Correspondence files

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
None

EPA SERIES NO. 127A

DISPOSITION INFORMATION:

FINAL DISPOSITION:
Disposable

TRANSFER TO FRC PERMITTED:
Yes

FILE BREAK INSTRUCTIONS: Break file at end of year.

DISPOSITION INSTRUCTIONS: Keep inactive files in office at least 1 year after file break, then retire to the FRC. Destroy when 5 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This items combines a number of previously approved items and provides a consistent retention Agency-wide.

AGENCY-WIDE GUIDANCE: This item covers all general or uncontrolled correspondence files in all programs Agency-wide. Controlled correspondence is scheduled as EPA 141A. Records documenting the organization and program development of the Agency are covered in EPA 105A. See EPA 006A for records relating to program management activities. General administrative and housekeeping records, other than correspondence, are scheduled under EPA 110A.

Routine congressional correspondence for which the office arranged or signed the reply when not filed as part of Controlled or Major Correspondence (EPA 141A), may be filed here or in EPA 132A.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION: Previous schedule items combined into this schedule were for the following programs: Federal Activities, General Counsel, Administrative Law Judge, Regional Operations, Intergovernmental Liaison, Water, Solid Waste, Safety, Emergency and Remedial Response, Administrator and Deputy Administrator, Toxic Substances, Enforcement and Compliance Monitoring, Mobile Source, Air Quality Planning and Standards, International Activities, Regional Administrator and Staff, Environmental Services, Research and Development, Pesticides, Assistance and Interagency Agreements, Facilities and Support Services, Financial Management, Personnel, Radiation, Information & Resources Management, Inspector General, Legislative, Planning and Evaluation and Program Reporting, and Public Affairs. 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 105A, EPA 110A, EPA 132A, EPA 141A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-84-1/2, NC1-412-84-2/12, NC1-412-85-2/1, NC1-412-85-3/2, 9, NC1-412-85-4/2, 7, 8 and 10, NC1-412-85-6/2, NC1-412-85-7/2, 5, 7 and 10, NC1-412-85-8/1, NC1-412-85-10/2, 8, 9 and 11, NC1-412-85-11/2, 6b, NC1-412-85-12/2, NC1-412-85-13/2, NC1-412-85-14/2, NC1-412-85-15/1b, NC1-412-85-16/2, NC1-412-85-19/2, NC1-412-85-21/3, NC1-412-85-22/20, 22, NC1-412-85-24/14, NC1-412-85-25/1b, NC1-412-85-26/I/1, NC1-412-85-27/I/1, NC1-412-85-27/III/4, NC1-412-85-28/1, N1-412-86-1/2,

EPA SERIES NO. 127A

N1-412-86-3/2, N1-412-86-4/10, N1-412-87-2/2, N1-412-87-4/2, N1-412-87-5/2

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		8/20/91	3/6/95

DRAFT OF 3/27/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Congressional Correspondence

PROGRAM: All Programs

EPA SERIES NO: 132A

NARA SCHEDULE NO. N1-412-94-2/19
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Contains copies of congressional correspondence received and referred to the program offices for reply. Includes copies of responses and background materials such as letters and memoranda, notes from meetings or telephone calls, transcripts from Congressional inquiries or hearings, testimonies, and public hearing records. Includes correspondence from members of Congress and its committees.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Correspondence files

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Program management

SPECIFIC LEGAL REQUIREMENTS:
None

EPA SERIES NO. 132A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

FILE BREAK INSTRUCTIONS: Break file at end of Congressional session; bring forward active materials.

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

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item combines a number of previously approved items with consistent retentions so all related records are treated uniformly.

AGENCY-WIDE GUIDANCE: This series contains routine inquiries for lower level offices (Headquarters Division and below) and may be used by all programs to destroy Congressional correspondence for which the office arranged or signed the reply when not filed as part of Controlled or Major Correspondence. Significant inquiries should be filed in Controlled or Major Correspondence, EPA 141A. Other public inquiries are covered in EPA 309A.

If congressional correspondence is incorporated into other records series, such as EPA 127A - General Correspondence, or Superfund or RCRA site files, that disposition takes precedence.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION: Previous schedule items combined into this schedule were for the following programs: Federal Activities, Air Quality Planning and Standards, Regional Administrator and Staff, and Legislative. 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 127A, EPA 141A, EPA 309A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-84-1/19, NC1-412-85-15/8, NC1-412-85-19/7, N1-412-87-2/10 and 17

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		8/20/91	3/27/96

DRAFT OF 9/23/96

U. S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Environmental Impact Statement (EIS) Review and Comment Files**PROGRAM:** All Programs**EPA SERIES NO:** 135A**NARA SCHEDULE NO.** N1-412-94-2/20
(Use this number to retire records to the FRC)**APPLICABILITY:** Agency-wide**IDENTIFYING INFORMATION:****DESCRIPTION:** Contains documents used in review and coordination of comments on projects that may impact on the environment. Includes:

- a. 309 review comment file - Includes Agency comments, copy of materials reviewed, and other associated materials.
- b. ~~a.~~ 309 review report - Includes computer-generated data summarizing official 309 reviews.

ARRANGEMENT: Arrangement varies.**TYPE OF RECORDS:**

Case files

SPECIFIC RESTRICTIONS:

None

MEDIUM:

Paper, maps and architectural materials, photographs

VITAL RECORD:**FUNCTIONS SUPPORTED:**

Program operations

SPECIFIC LEGAL REQUIREMENTS:National Environmental Policy Act, as amended, Section 102
Clean Air Act, as amended, Section 309
Executive Order 11514, as amended (by Executive Order 11991)
40 CFR 1502-1504

EPA SERIES NO. 135A**DISPOSITION INFORMATION:****FINAL DISPOSITION:**

a. Permanent

TRANSFER TO FRC PERMITTED:

Yes

b. Disposable

Yes

FILE BREAK INSTRUCTIONS:

a. Break file upon completion of review and final comment issuance.

b. Break file at end of reporting cycle.

DISPOSITION INSTRUCTIONS:

a. Keep inactive materials in office at least 3 years after file break, then retire to FRC. With approval of the FRC, records may be retired to FRC prior to designated time if volume warrants. Transfer to the National Archives 20 years after file break.

b. Keep inactive materials in office 15 years after file break, then destroy. With FRC approval, materials may be retired to FRC if volume warrants.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This series replaces several program specific items and provides consistent retention Agency-wide. Disposition previously approved by the National Archives.

AGENCY-WIDE GUIDANCE: The Office of Federal Activities (OFA) at Headquarters is responsible for maintaining the record copy. All other copies may be destroyed when no longer needed.

Environmental Impact Statements submitted by other agencies are returned to the submitting organization.

Environmental impact statements are logged into the Environmental Review Tracking System (ERP/ERTS) - EPA 057A. EIS Preparation Files are scheduled as EPA 134R.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION: The Comdate report covered by EPA 057A is to be transferred to NARA at the same time as those records covered by item a.

Previous schedule items combined into this schedule were for the following programs: Federal Activities, Water, Toxic Substances, Mobile Source, Air and Hazardous Waste, Research and Development, and Pesticides. 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 057A, EPA 134R

EPA SERIES NO. 135A**PREVIOUSLY APPROVED BY**

NARA SCHEDULE NOS: NC1-412-75-5/9, NC1-412-76-1/II/3, NC1-412-76-9/29, NC1-412-76-15/10, NC1-412-77-5/18, NC1-412-84-1/4 and 5, NC1-412-85-6/29, NC1-412-85-19/9

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		8/21/91	9/23/96

DRAFT OF 3/26/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Speeches and Congressional Testimony

PROGRAM: All Programs

EPA SERIES NO: 140A

NARA SCHEDULE NO. N1-412-94-2/21

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Contains speeches prepared for delivery while representing the Agency at EPA sponsored meetings, and government, civic and professional conferences and meetings.

There are two types of records:

a. Speeches and congressional testimony by EPA Administrators, Deputy Administrators, Assistant and Associate Administrators, Office of General Counsel, Office of Inspector General, Headquarters Office Directors, Regional Administrators, Deputy Regional Administrators, and Immediate Staff.

b. Speeches and congressional testimony by Division Directors and other personnel. The speeches are not necessary to document the Agency or its programs.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Speeches

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Public awareness

SPECIFIC LEGAL REQUIREMENTS:
None

EPA SERIES NO. 140A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a(1). Record Copy: Permanent

TRANSFER TO FRC PERMITTED:

Yes

(2). Information Copies: Disposable No

b. Disposable No

FILE BREAK INSTRUCTIONS: Break file annually.

DISPOSITION INSTRUCTIONS:

a(1). Keep inactive materials in office up to 5 years after file break, then retire to FRC. Transfer to the National Archives 10 after file break.

(2). Destroy when 1 year old or sooner if no longer needed.

b. Destroy 5 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item replaces several program specific items and coverage has been expanded so that all programs are treated in a uniform fashion. Official copies of speeches were appraised as permanent by the National Archives in 1986.

AGENCY-WIDE GUIDANCE: Offices of higher level Agency officials should consider establishing separate files containing copies of speeches to be transferred to the National Archives.

If speeches and testimony are submitted to the Office of Communications, Education, and Public Affairs (OCEPA), they are responsible for the disposition. Otherwise, the originating office is responsible for implementing the disposition.

Manuscripts of articles written by EPA personnel are covered in EPA 334A.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION: Previous schedule items combined into this schedule were for the following programs: General Counsel, Regional Operations, Intergovernmental Liaison, Water, Solid Waste, Safety, Emergency and Remedial Response, Toxic Substances, Enforcement and Compliance Monitoring, Mobile Source, Air Quality Planning and Standards, International Activities, Regional Administrator and Staff Offices, Research and Development, Pesticides, Radiation, Information and Resource Management, Inspector General, Legislative, Planning and Evaluation and Program Reporting, and Public Affairs. 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 334A

EPA SERIES NO. 140A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-76-9/2, NC1-412-84-2/13, NC1-412-85-3/5, NC1-412-85-4/5, NC1-412-85-6/5, NC1-412-85-7/12, NC1-412-85-8/3, NC1-412-85-10/5, NC1-412-85-11/15, NC1-412-85-12/5, NC1-412-85-13/5, NC1-412-85-14/5, NC1-412-85-15/9, NC1-412-85-16/5, NC1-412-85-19/15, NC1-412-85-22/15, NC1-412-85-24/53, N1-412-86-1/5, N1-412-86-3/5, N1-412-86-4/11, N1-412-87-2/5, N1-412-87-4/5, N1-412-87-5/5

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		8/21/91	3/26/96

DRAFT OF 8/2/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Controlled and Major Correspondence

PROGRAM: All Programs

EPA SERIES NO: 141A

NARA SCHEDULE NO. N1-412-94-2/22

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Includes copies of signed controlled and major correspondence. The correspondence significantly documents the program activities and was processed under special handling control procedures because of the importance of the letters or time requirements of replies. Records consist of copies of incoming letters, copies of the responses, and enclosures. Also includes indexes to the correspondence.

There are two types of records:

a. Controlled and major correspondence of the offices of EPA Administrators, Deputy Administrators, Assistant and Associate Administrators, Office of General Counsel, Office of Inspector General, Headquarters Office Directors, and Regional Administrators.

b. Controlled and major correspondence of the offices of Division Directors and other personnel.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Correspondence

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper, electronic

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Program management

SPECIFIC LEGAL REQUIREMENTS:
None

EPA SERIES NO. 141A

DISPOSITION INFORMATION:FINAL DISPOSITION:

a(1). Record copy: Permanent

TRANSFER TO FRC PERMITTED:

Yes

(2). All other copies:
Disposable

No

b. Disposable

Yes

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

DISPOSITION INSTRUCTIONS:

a(1). Keep inactive materials in office 1 year after file break, then retire to FRC. Transfer to National Archives in 5 year blocks, 20 years after file break.

(2). Keep until no longer needed, then destroy.

b. Keep inactive materials in office 1 year after file break, then retire to FRC. Destroy 10 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item replaces several program specific items, and coverage has been expanded so that all programs are treated in a uniform fashion.

AGENCY-WIDE GUIDANCE: If the official copies of controlled correspondence of those listed in part a of the description are returned to the originating program office, they should be filed separately and retired using the disposition for this schedule, part a.

Indexes for permanent controlled and major correspondence files are also permanent records. If the index is paper, enclose a copy of the index together with the correspondence files when the files are transferred to the FRC. If the index is electronic, retire a copy of the index to the National Archives when the correspondence is retired to the FRC. Related electronic indexes are to be transferred as specified in 36 CFR 1228.188.

Routine correspondence and memoranda are scheduled as EPA 127A.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:

Office of the Administrator and Deputy Administrator - Includes former interagency correspondence file and environmental multiple letters file as item a(1). Related electronic indexes are to be transferred in accordance with NARA's requirements for the transfer of electronic records.

Other Programs - Other previous schedule items combined into this schedule were for the following programs: Federal Activities, General Counsel, Regional Operations, Intergovernmental Liaison, Water, Solid Waste, Emergency and Remedial Response, Toxic Substances, Enforcement and Compliance Monitoring, Mobile Source, Air Quality Planning and Standards, International Activities, Research and Development, Pesticides, Radiation, Information and Resource Management, Inspector General, Legislative, Planning and Evaluation and Program Reporting, and Public Affairs. Specific item numbers are cited below.

CUSTODIAL INFORMATION:

CONTROLLING UNIT: Multiple units CONTACT POINT:

Name:

Name:

EPA SERIES NO. 141A

Location:	Mail Code:
Inclusive Dates:	Telephone:
Volume on Hand (Feet):	Office:
Annual Accumulation: (feet or inches)	Room:

CONTROL INFORMATION:**RELATED ITEMS:** EPA 127A**PREVIOUSLY APPROVED BY**

NARA SCHEDULE NOS: NC1-412-76-3/1b, NC1-412-78-6/1, 3 and 6a,
NC1-412-84-1/1, NC1-412-84-2/11, NC1-412-85-3/1, NC1-412-85-4/1,
NC1-412-85-6/1, NC1-412-85-7/1, NC1-412-85-10/1, NC1-412-85-12/1,
NC1-412-85-13/1, NC1-412-85-14/1, NC1-412-85-16/1, NC1-412-85-22/6,
NC1-412-85-24/13, N1-412-86-1/1, N1-412-86-3/1, N1-412-86-4/9,
N1-412-87-2/1 and 11, N1-412-87-4/1, N1-412-87-5/1

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		8/26/91	8/2/96

DRAFT OF 6/17/96

U.S. EPA RECORDS CONTROL SCHEDULE**SERIES TITLE:** Regulations, Standards, and Guidelines**PROGRAM:** All Programs**EPA SERIES NO:** 149A**NARA SCHEDULE NO.** N1-412-94-2/23

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide**IDENTIFYING INFORMATION:**

DESCRIPTION: Files contain information relating to the development, review, and approval of published and unpublished rules and regulations pursuant to environmental legislation passed by Congress. Records include drafts of proposed regulations and guidelines, the final regulations and guidelines, public and internal comments including concurring and dissenting opinions, OMB request for comments, hearing transcripts, meeting minutes, background documents and other technical support material generated during the process to develop and approve the regulation, standard, or guideline, along with current indexes of documents both included and cited as precedent. Files may include confidential business information or other information to which access is restricted.

ARRANGEMENT: Arranged by regulation, standard, or guideline.**TYPE OF RECORDS:**

Case files

SPECIFIC RESTRICTIONS:

Confidential Business Information

Enforcement Sensitive Information

MEDIUM:

Paper, microfilm

VITAL RECORD:

Rights and Interests

FUNCTIONS SUPPORTED:

Regulatory development

SPECIFIC LEGAL REQUIREMENTS:

Administrative Procedures Act and various program statutes

EPA SERIES NO. 149A**DISPOSITION INFORMATION:****FINAL DISPOSITION:****TRANSFER TO FRC PERMITTED:**

- a. Published regulations, standards and guidelines (microform or non-microformed paper): Permanent Yes
- b. Unpublished regulations, standards and guidelines (microform or non-microformed paper): Disposable Yes

FILE BREAK INSTRUCTIONS:

- a. If record is paper, break file upon promulgation of rule or approval of guideline. If record is microformed, break file upon completion of quality assurance check.
- b. If record is paper, break file upon decision to not publish the regulation, standard, or guideline. If record is microformed, break file upon completion of quality assurance check.

DISPOSITION INSTRUCTIONS:

- a. If record is paper, keep inactive materials in office up to 5 years after file break, then retire to the FRC along with indexes. Transfer to the National Archives 20 years after file break.

If record is microform, retire one silver master and one diazo copy to the FRC along with finding aids and indices. Transfer to the National Archives 20 years after file break. Retain one silver and two diazo copies for office use. Destroy paper after quality assurance check is completed. Destroy Agency microform copies when superseded or no longer needed.

- b. If record is paper, keep inactive materials in office up to 3 years after file break, then retire to the FRC. Destroy 10 years after file break.

If record is microform, retire one silver master and one diazo copy to the FRC along with finding aids and indices. Retain one silver and two diazo copies for office use. Keep in office up to 3 years, then transfer to the FRC. Destroy 10 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item combines and extends a number of program specific items from previous schedules and coverage has been extended to create uniform guidance. These records are part of the basic documentation of the Agency's rulemaking function. They form part of the core documentation of the Agency's work and are necessary for adequate and proper documentation of how environmental regulations are developed and approved. When the development of regulations, standards, and guidelines is stopped prior to publication, the information constitutes necessary background of the decision making process and the development of related rules. Existing schedules did not allow for these unpublished records and resulted in the unnecessary permanent retention of disposable material.

AGENCY-WIDE GUIDANCE: This disposition covers all published and unpublished regulations, standards, and guidelines. The issuing office is responsible for implementing the disposition and ensuring that a permanent record is maintained. The official set of these records maintains those items specified in the Administrative Procedures Act and are to be sufficiently complete so that they can serve as the administrative record if necessary.

The official set may be designated in certain programs as held in the rulemaking docket supporting the program, which would then be responsible for ensuring the

EPA SERIES NO. 149A

completeness of the records and for implementing disposition as a permanent record. In such cases, the program sponsoring the regulation need only retain documents (such as those containing sensitive information) not included in the docket file. Background or deliberative material not going to the docket must be retained in the sponsoring office and disposed of in accordance with disposition instructions a.

Reference copies should be destroyed when superseded. Working papers with no significant information should be destroyed when final rule is promulgated.

If records are microformed, it is recommended that the unit retain a silver set as well as diazo sets on site which will simplify making copies. If records are not filmed, use disposition a for the paper copies.

Records series related to development of standards and regulations by States include:

EPA 203A - State Oversight Files
EPA 204A - State Program Authorization/Approval Files
EPA 217A - State Implementation Plans (SIPs)
EPA 676A - Development of Enforcement and Environmental Standards by States
EPA 686H - Development and Enforcement of Air and Water Standards by States

For Administrative Records for permits see EPA 210R; for Superfund see EPA 019R. Administrative Records for other programs are covered in EPA 294A. Dockets are scheduled as EPA 150A. See EPA 154A for Legislation. Rulemaking Committees are covered in EPA 518A.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION: Previous schedule items combined into this schedule were for the following programs: Water, Solid Waste, Emergency & Remedial Response, Toxic Substances, Air Quality Planning and Standards, Environmental Services, Pesticides, Assistance and Interagency Agreements, Radiation, Planning and Evaluation and Program Reporting. 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 019R, EPA 150A, EPA 154A, EPA 203A, EPA 204A, EPA 210R, EPA 217A, EPA 294A, EPA 518A, EPA 676A, EPA 686H

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-75-5/10, NC1-412-76-1/III/8, NC1-412-76-1/V/5, NC1-412-76-3/6, NC1-412-76-4/2, NC1-412-76-8/1 and 9, NC1-412-76-9/22, NC1-412-77-5/9, NC1-412-78-10/7b, NC1-412-78-10/13a and b, NC1-412-82-10/9, NC1-412-82-12/9, NC1-412-84-2/5, NC1-412-85-5/7, NC1-412-85-6/7a, b and c, NC1-412-85-7/13, NC1-412-85-25/3, N1-412-86-1/10

EPA SERIES NO. 149A

Approval Date EPA	Approval Date NARA	Entry Date 3/30/92	Last Modified 6/17/96
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DRAFT OF 4/8/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Rulemaking Dockets

PROGRAM: All Programs

EPA SERIES NO: 150A

NARA SCHEDULE NO. N1-412-94-2/24

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: A "rulemaking docket" is a collection of documents that serves as the basis for EPA rulemaking action. Some statutes refer to a "rulemaking record or docket," and others refer to the "record." Those terms are often used to describe the collection of documents available to the public which reflect the Agency's consideration and promulgation of a rule, or "public docket."

Dockets will include records relating to the development of published rules and regulations affecting the environmental legislation passed by Congress. Records may consist of advance notices of proposed rulemaking, notices of proposed rules, notices of intent to extend or reopen comment periods, interim final rules, final rules, notices of availability, correction notices, background documents (e.g., economic analyses, regulatory flexibility analyses, any contractor reports critical to the rulemaking, and journal articles), ex-parte communications, critical internal correspondence of a factual nature, lists of participants in external group meetings regarding rulemaking, summary minutes of meetings, trip reports, responses to public comments documents, summaries of phone conversations, public hearing transcripts and lists of speakers/attendees, comments received by EPA from the public and other government agencies, and any other material deemed appropriate by the Program Office.

Dockets also consist of Administrative Court Records, which consist of certified court indices, the support materials (generally, materials already included in regulatory dockets) that are undergoing judicial review, and any materials added in response to challenges to Agency rules.

Files include comprehensive indices of all materials placed in the Docket for public review.

ARRANGEMENT: Arrangement varies but usually numerically by docket number.

TYPE OF RECORDS:
Docket, case files

SPECIFIC RESTRICTIONS:
Confidential Business Information
Enforcement Sensitive Information

MEDIUM:
Paper, microfilm

VITAL RECORD:
Yes

FUNCTIONS SUPPORTED:
Regulatory development and public awareness

SPECIFIC LEGAL REQUIREMENTS:
Varies by statute

EPA SERIES NO. 150A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

TRANSFER TO FRC PERMITTED:

- | | |
|--|-----|
| a. Record copy (microform or non-microformed paper): Permanent | Yes |
| b. Paper copy (microformed): Disposable | No |

FILE BREAK INSTRUCTIONS:

a. If record copy is in microform, break file upon completion of microform quality assurance check. If record copy is not microformed, break file after publication of rule.

b. Break file when document has been microformed and checked for quality assurance.

DISPOSITION INSTRUCTIONS:

a. If record copy is in microform, retire one silver copy and one diazo copy to the FRC along with finding aids and indexes. Transfer to the National Archives 20 years after docket is closed. Retain one or more sets for office use. Destroy any Agency microform copies when superseded or no longer needed.

If record copy is not microformed, keep records on site for at least 3 years after the docket is closed, then retire to FRC along with finding aids and indexes. Transfer to the National Archives 20 years after the docket closes.

Note: Only the FRCs in Washington, DC and St. Louis, MO accept permanent microfilm.

b. Hold in office until quality assurance check has been completed on microfilm copy, then destroy.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Constitutes primary documentation of the Agency's rulemaking program and statute requirements for public access.

AGENCY-WIDE GUIDANCE: This item is under the custody of the Rulemaking Docket established for each statute requiring a docket including the Air Docket, Water Docket, Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA) Docket (Pesticides Docket), Resource Conservation and Recovery Act (RCRA) Docket, Superfund Docket, Toxic Substances Docket, Underground Storage Tank (UST) Docket, and the National Contingency Plan/National Priorities List Docket.

The Docket Manager is responsible for implementing the disposition and ensuring that a permanent record is maintained. Regional sets of these docket items may be maintained to support on-going program activity. Regionally maintained docket material and all information copies in either paper or microform can be destroyed when superseded or no longer needed.

Microform copies are to be produced in accordance with standards in 36 CFR 1230.10 and 1230.20. It is recommended that the Docket Manager retain a silver set as well as diazo sets on site which will simplify making copies.

See also EPA 149A, Regulations (published and unpublished), Standards and Guidelines; and EPA 154A, Legislation.

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 witnessed disposal for records destroyed by contractors.

EPA SERIES NO. 150A

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: EPA 149A, EPA 154A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS: NC1-412-85-24/55

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		3/30/92	4/8/96

DRAFT OF 7/8/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Legislation

PROGRAM: All Programs

EPA SERIES NO: 154A

NARA SCHEDULE NO. N1-412-94-2/25

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Contains documents and data relating to legislation formulated and proposed by the EPA and other government agencies and executive units circulated within the Agency for evaluation and comment. Includes Office of Management and Budget (OMB) request for comments, proposed and draft bills, acts, amendments, news clips, extracts from Congressional Record, briefing papers, hearing transcripts and reports, public and internal comments and evaluations and other background information, and related correspondence.

ARRANGEMENT: Arranged by legislation.**TYPE OF RECORDS:**

Case files

SPECIFIC RESTRICTIONS:

Enforcement Sensitive Information

MEDIUM:

Paper

VITAL RECORD:**FUNCTIONS SUPPORTED:**

Program direction

SPECIFIC LEGAL REQUIREMENTS:

None

#25

EPA SERIES NO. 154A**DISPOSITION INFORMATION:****FINAL DISPOSITION:**

Disposable

TRANSFER TO FRC PERMITTED:

Yes

FILE BREAK INSTRUCTIONS: Break file upon final action on legislation.**DISPOSITION INSTRUCTIONS:** Keep inactive materials in office 2 years after file break, then retire to FRC. Destroy 8 years after file break.**APPLICATION GUIDANCE:****REASONS FOR DISPOSITION:** This series replaces several program specific items, and coverage has been expanded so that all programs are treated in a uniform fashion. In most cases the program specific items scheduled these records with a 10 year retention.**AGENCY-WIDE GUIDANCE:** These files are either working papers and review copies of Agency proposed legislation or office copies of Federal legislation circulated for review. The official set of Agency legislative history records is maintained by the Office of Legislative Affairs and scheduled as EPA 528H. See EPA 149A for Regulations, Standards and Guidelines and EPA 150A for Rulemaking Dockets. Information copies of environmental and other legislation held for reference can be destroyed when no longer needed or when superseded.**PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:** Previous schedule items combined into this schedule were for the following programs: Intergovernmental Liaison, Solid Waste, Emergency and Remedial Response, Toxic Substances, Mobile Source, International Activities, Regional Water, and Research and Development. 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 149A, EPA 150A, EPA 258H**PREVIOUSLY APPROVED BY****NARA SCHEDULE NOS:** NC1-412-84-1/14, NC1-412-85-4/11, NC1-412-85-7/14, NC1-412-85-10/13, NC1-412-85-12/12, NC1-412-85-14/8, NC1-412-85-17/12, NC1-412-85-22/8

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/30/92	7/8/96

DRAFT OF 4/8/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Reports to Congress and/or the President

PROGRAM: All Programs

EPA SERIES NO: 155A

NARA SCHEDULE NO. N1-412-94-2/26

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Consists of reports made to Congress and/or the President by EPA in accordance with the mandates of all environmental legislation. Records include reports prepared by EPA Assistant Administrators of the various Headquarters Program Offices. Report presents the objectives and accomplishments of the program, a summary of outstanding environmental problems in order of priority, recommendations for proposed legislation which is necessary in solving these problems, and plans for program activities during the next fiscal year.

ARRANGEMENT: Arrangement is chronological by fiscal year.

TYPE OF RECORDS:

Reports

SPECIFIC RESTRICTIONS:

None

MEDIUM:

Paper

VITAL RECORD:

No

FUNCTIONS SUPPORTED:

Program direction

SPECIFIC LEGAL REQUIREMENTS:

Varies by statute

EPA SERIES NO. 155A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. Final report: Permanent

TRANSFER TO FRC PERMITTED:

Yes

b. Work files: Disposable

Yes

FILE BREAK INSTRUCTIONS: Break file upon transmission to Congress or President.

DISPOSITION INSTRUCTIONS:

a. Keep inactive materials in office up to 5 years after file break, then retire to FRC. Transfer to the National Archives in 5 year blocks 20 years after file break.

b. Keep inactive materials in office up to 2 years after file break, then retire to the FRC. Destroy 6 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item replaces several program specific items and coverage has been expanded so that all programs are treated in a uniform fashion. In most if not all cases the program specific items scheduled the report records as permanent and the work files as disposable. Electronic records such as test files and spreadsheets specifically created to support production of the reports are disposable under NARA General Records Schedule 23.

AGENCY-WIDE GUIDANCE: Office that is responsible for submitting the report is responsible for maintaining the record copy of the report and for ensuring that a permanent record is maintained.

Work files pertaining to the organization, design, construction, evaluation, and revision of the report generated by participating program offices are to be maintained by the program offices involved. These work files will vary according to the participation of the program and may include requests to form work groups, work plans, minutes of work group meetings, initial and corrected drafts of reports or parts of reports, distribution lists, and comments on drafts. All other office and information copies of the final reports and drafts are to be destroyed when no longer needed.

The annual report to the Congressional Joint Committee on Printing is covered by NARA's General Records Schedule 13, item 5.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION: Previous schedule items combined into this schedule were for the following programs: Water, Solid Waste, Emergency and Remedial Response, Facilities and Support Services, and Planning and Evaluation and Program Reporting. 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 SERIES NO. 155A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-76-4/3 and 4, NC1-412-82-8/25, NC1-412-85-6/41, NC1-412-85-10/22, GRS 13/5

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/30/92	4/8/96

27

DRAFT OF 4/8/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Federal Advisory Committee/Board Records

PROGRAM: All Programs

EPA SERIES NO: 181A

NARA SCHEDULE NO. N1-412-94-2/27
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Includes official files and working papers maintained for Federal Advisory Committees and Boards. Includes:

- a. Final minutes or transcripts of meetings, final reports, agendas, and materials provided to Committee/Board members;
- b. Draft minutes or transcripts, draft reports, meeting notices as announced in the Federal Register, and background papers.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Case files

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
Federal Advisory Committee Act, Sections 10 and 13

EPA SERIES NO. 181A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. Permanent

TRANSFER TO FRC PERMITTED:

Yes

b. Disposable

Yes

FILE BREAK INSTRUCTIONS: Break file when committee/board terminated.

DISPOSITION INSTRUCTIONS:

a. Keep inactive materials in office at least 4 years after file break, then retire to FRC. Transfer to the National Archives in 5 year blocks 20 years after file break.

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

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: These records document the functions and organization of the Federal advisory committees/boards established by Congress to advise the Agency on technical matters. Members are independent experts providing advice to the EPA Administrator on scientific and engineering issues and some committee/board activities are specified in various environmental laws. Records document the decisions of the committees/boards which are the basis for Agency policy and regulations.

AGENCYWIDE GUIDANCE: Other committee records are found in the following schedule items:

EPA 182A - Meeting Arrangement Records
EPA 186A - Inter-Agency Committee Records
EPA 187A - Intra-Agency and Internal Committee Records
EPA 188A - EPA Steering Committee Files
EPA 518A - Rulemaking Committees

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION: The requirement to transfer these records to the National Archives is in addition to the requirement to transfer copies of selected documents to the Library of Congress.

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 182A, EPA 186A, EPA 187A, EPA 188A, EPA 518A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-78-2/9, NC1-412-78-5/1, NC1-412-85-6/35,
NC1-412-85-24/50

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		9/30/91	4/8/96

EPA SERIES NO. 186A

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Inter-Agency Committee Records

PROGRAM: All Programs

EPA SERIES NO: 186A

NARA SCHEDULE NO. N1-412-94-2/28

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Includes records of meetings held with other governmental organizations. Consists of meeting agendas, official copies of minutes or transcripts of meetings, copies of official committee reports, and unofficial working papers. Working papers include background papers prepared by consultants and draft reports of studies and other documents made available to or prepared for each committee.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:

Case files

SPECIFIC RESTRICTIONS:

None

MEDIUM:

Paper, electronic

VITAL RECORD:

No

FUNCTIONS SUPPORTED:

Program management

SPECIFIC LEGAL REQUIREMENTS:

None

EPA SERIES NO. 186A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. If EPA is the committee chair:
Permanent

TRANSFER TO FRC PERMITTED:

Yes

b. If EPA is not the committee
chair: Disposable

Yes

FILE BREAK INSTRUCTIONS: Break file when committee is superseded or cancelled.

DISPOSITION INSTRUCTIONS:

a. Keep inactive materials in office 1 year 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.

b. Keep inactive materials in office 1 year after file break, then retire to FRC. Destroy when 5 years old.

Records may be retired to the FRC prior to the designated time if volume warrants.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Inter-Agency committee records when EPA is the committee chair have been changed to permanent to ensure long term retention of inter-agency transactions and communications. Records when EPA is not the committee chair remain as previously approved by the National Archives.

AGENCY-WIDE GUIDANCE: Disposition is to be implemented by committee member or office responsible for maintaining the record copy. Copies incorporated into other records series should be disposed of in accordance with the disposition instructions for the related series. Other meetings (for example, meetings with contractors) should be filed with that series and disposed of in accordance with the disposition instructions for that series. All other copies may be destroyed when no longer needed for reference.

Other committee records can be found in:

EPA 181A - Federal Advisory Committee/Board Records
EPA 182A - Meeting Arrangement Records
EPA 187A - Intra-Agency and Internal Committee Records
EPA 188A - EPA Steering Committee Files
EPA 518A - Rulemaking Committees

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:

EPA SERIES NO. 186A

CONTROL INFORMATION:

RELATED ITEMS: EPA 181A, EPA 182A, EPA 187A, EPA 188A, EPA 518A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-78-5/1, NC1-412-85-4/12, NC1-412-85-6/36,
NC1-412-85-23/10

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		8/12/92	12/16/94

EPA SERIES NO. 196A

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Strategic Targeted Activities for Results System (STARS)

PROGRAM: All Programs

EPA SERIES NO: 196A

NARA SCHEDULE NO. N1-412-94-2/29

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: STARS has been developed to assist the current strategic planning and management process. The system eases the reporting of STARS targets and actual performances against targets. Users may also move data from the main data base to a PC spreadsheet for manipulation and graphics. Headquarters and regional staff using the office computer telecommunications network can access STARS data either interactively or by using batch mode.

ARRANGEMENT:

TYPE OF RECORDS:

Database, reports, input data

SPECIFIC RESTRICTIONS:

MEDIUM:

Electronic, paper

VITAL RECORD:

FUNCTIONS SUPPORTED:

Program management

SPECIFIC LEGAL REQUIREMENTS:

None

EPA SERIES NO. 196A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. Electronic software program:
Disposable

TRANSFER TO FRC PERMITTED:

No

b. Input: Disposable

Dependent on related records

c. Electronic data: Disposable

No

d. Output and reports:
Disposable

Dependent on related records

e. System documentation:
Disposable

Yes

FILE BREAK INSTRUCTIONS:

a. Break file when superseded by routine software updates.

b. Break file according to instructions for related records.

c. Break file when superseded.

d. Break file according to instructions for related records.

e. Break file when system is discontinued.

DISPOSITION INSTRUCTIONS:

a. Delete when superseded by routine software updates and quality assurance completed or when no longer needed.

b. Follow disposition instructions for related records.

c. Maintain individual records at least 2 years after action, then delete when no longer needed.

d. Follow disposition instructions for related records.

e. Hold for up to 2 years, then retire to FRC. Destroy when 15 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Data are important for monitoring program performance, but lack long term value.

AGENCY-WIDE GUIDANCE: Portions of STARS downloaded to PCs are covered by EPA 174A - Records Consisting of Extracted Information.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

Name: Strategic Planning and
Management Division/OPPE
Location:

CONTACT POINT:

Name: Charles Minor

Mail Code: PM-222A

Inclusive Dates:

Telephone: (202) 260-1726

Volume on Hand (Feet):

Office:

EPA SERIES NO. 196A

Annual Accumulation:
(feet or inches)

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 174A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		2/27/92	12/19/94

DRAFT OF 4/8/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Training Material

PROGRAM: All Programs

EPA SERIES NO: 200A

NARA SCHEDULE NO. N1-412-94-2/30

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Contains records used by Agency personnel in planning, preparing, writing, arranging, and conducting training programs for EPA and non-EPA employees, including State and other Federal agency personnel. Records consist of working files generated during training development phase, training workgroup meeting notes, correspondence, training participation surveys and rosters, instructional materials, manuals, and other training aids.

There are two types of records:

a. Routine training materials - These materials are used for personnel and management training unrelated to the mission of the Agency:

- (1) Training course plans and materials, and
- (2) Audiovisuals.

b. Mission-related training materials - These materials are used for training in functions or activities related to the goals of the Agency and its programs:

- (1) Training course plans and materials, and
- (2) Audiovisuals.

Excludes employee training records documenting training received by Agency personnel.

ARRANGEMENT: Arranged by subject and thereunder chronologically.

TYPE OF RECORDS:

Subject files

SPECIFIC RESTRICTIONS:

Confidential Business Information
Privacy Act

MEDIUM:

Paper, publications, video
and sound recordings, slides,
motion pictures, filmstrips,
photographs, transparencies

VITAL RECORD:

No

FUNCTIONS SUPPORTED:

Training

SPECIFIC LEGAL REQUIREMENTS:

None

EPA SERIES NO. 200A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a(1). Record copy: Disposable

(2). Record copy: Disposable

b(1). Record copy: Permanent

(2). Record copy: Permanent

TRANSFER TO FRC PERMITTED:

Yes

No

Yes

No

FILE BREAK INSTRUCTIONS: Break file after course or material is superseded.

DISPOSITION INSTRUCTIONS:

a(1). Keep inactive material in office 1 year after file break, then retire to FRC. Destroy 5 years after file break.

(2). Keep inactive material in office 5 years after file break, then destroy.

b(1). Keep inactive material in office 1 year after file break, then retire to FRC. Transfer to the National Archives in 5 year blocks, 20 years after file break.

(2). Keep inactive material in office 1 year after file break, then transfer to the National Archives per the instructions given in Agency-wide Guidance.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: The retention of item a(1) is based on the stated need of the program offices. Item a(2) is retained for 5 years so as to be consistent with the retention of related item a(1). Records covered in item b cover Agency-sponsored training programs which explain Agency functions or activities essential for the implementation of environmental programs.

AGENCY-WIDE GUIDANCE: This item consists of records generated by all programs in developing and conducting Agency-sponsored training classes. The record copy is to be maintained by the program office given the responsibility of course development. All other copies, including attendee copies, can be destroyed when no longer needed or superseded.

Permanent audiovisual materials are to be transferred directly to the National Archives using the following instructions:

Black and white and color negative photographs - Transfer the original negative, a captioned print, and, for color negative photographs, a duplicate negative, if one exists.

Transparencies and slides - Transfer the original and a duplicate.

Slide sets or filmstrips - Transfer two copies and accompanying audio recordings or scripts, if they exist.

Agency-sponsored motion pictures - Transfer the original negative or color original plus separate sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print or a video recording.

Acquired motion pictures - Transfer two project prints and a video record.

Unedited footage of motion pictures - Transfer the original negative or color original, work print, and an intermediate positive master, if one exists, appropriately arranged, labeled, and described.

EPA SERIES NO. 200A

Video recordings - Transfer the original or earliest generation of recording and a copy.

Sound records - Transfer the master tape, matrix or stamper, and one disc pressing; or, original or earliest generation of each recording and a copy.

Program files for training administered by the Personnel program are scheduled as EPA 571A. Copies of employee training records maintained at the supervisory level are covered in EPA 123A.

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 witnessed disposal for records destroyed by contractors.

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: GRS 1/29, GRS 21, EPA 123A, EPA 571A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-77-1/11, NC1-412-85-6/10, NC1-412-85-8/11, NC1-412-85-15/6, NC1-412-85-17/21, NC1-412-85-18/21

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		4/2/92	4/8/96

DRAFT OF 3/26/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Contract Management Records

PROGRAM: All Programs except Superfund Site Specific

EPA SERIES NO: 202A

NARA SCHEDULE NO. N1-412-94-2/31

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Contract records include all correspondence and related records pertaining to the award, administration, receipt, inspection and payment of any and all contracts, requisitions, purchase orders, leases, and bond and surety agreements to which EPA is a party and which are maintained and used by the Agency or Contracting Officer for contract documentation and for performance and financial monitoring and oversight activities.

Excludes: Superfund contract management records which are site specific, final deliverables, and unsuccessful bids and proposals which are scheduled separately.

ARRANGEMENT: Arranged by contract.

TYPE OF RECORDS:

Contracts

SPECIFIC RESTRICTIONS:

Confidential Business Information
Enforcement Sensitive Information
Privacy Act

MEDIUM:

Paper

VITAL RECORD:

No

FUNCTIONS SUPPORTED:

Administration

SPECIFIC LEGAL REQUIREMENTS:

48 CFR Chapters 1 and 15

EPA SERIES NO. 202A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

FILE BREAK INSTRUCTIONS:

a. Responsible Contracting Officer - Break file upon final payment for the overall contract.

b. Project Officer (PO) - Break file upon filing of final invoice or completion or termination of the delivery order or work assignment.

c. Delivery Order Project Officer (DOPO)/Work Assignment Manager (WAM) - Break file upon filing of final invoice or completion or termination of the delivery order or work assignment.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office at least 1 year after file break, then retire to FRC. Destroy 6 years and 3 months after final payment for the overall contract.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Retention period is set for 6 years and 3 months after final payment which is the time set forth in the Federal Acquisitions Regulations, 48 CFR 4.805.

AGENCY-WIDE GUIDANCE: This series covers oversight of contracts by Headquarters or field offices, except for site-specific Superfund contracts which are scheduled as EPA 020A. Site-specific work assignments, delivery orders, and technical direction documents must be handled in accordance with instructions in EPA 020A or EPA 024A. Determination of whether a Superfund contract is covered by EPA 020A or EPA 202A is made by the Delivery Order Project Officer (DOPO) or Work Assignment Manager (WAM).

Final deliverables are permanent documents and are scheduled as EPA 258A. The Contracts Information System (CIS) is covered in EPA 572A. For Superfund Site-Specific Grants and Other Program Support Agreements, see EPA 001A and EPA 003A for Grants and Other Support Agreements for programs other than Superfund site specific. Waste Water Construction and State Revolving Fund Grants are scheduled as EPA 232A. Contracts for office equipment services are found in EPA 125A. Unsuccessful Bids and Proposals are scheduled as EPA 275A. Routine Procurement Files are covered in EPA 036A and records related to Superfund site-specific funding or payment in EPA 024A - Cost Recovery Records. Contract and Grant Reviews and Audits are scheduled as EPA 184A.

The following officers and managers are responsible for maintaining a complete record set and for dispositioning documents as designated below:

a. Responsible Contracting Officer (CO) - Record copy of RFPs, successful bids and proposals, contract and modifications; copies of financial and payment documents; contract specifications, drawings or manuals incorporated into the contract by reference; performance evaluations, technical and financial progress reports, statements of work (SOWs) and level of effort (LOE) documents; project officer and contract monitor designations; notices to proceed, stop work or correct deficiencies; and related documents.

b. Project Officer (PO) - Supporting documentation of performance evaluations, technical and financial progress reports. Responsible for invoices and invoice approvals when contract uses work assignment managers instead of DOPOs.

c. Delivery Order Project Officers and Work Assignment Managers (DOPOs and WAMs) - Record copy of documents used for day-to-day technical direction of the delivery order or work assignment. Documents include work plans and schedules, amendments and/or modifications, draft deliverables submitted by the contractor,

EPA SERIES NO. 202A

comments provided to the contract or other records of technical direction, contract monitoring logs and communication records, cost estimates, meeting records and notes, evaluation forms, supporting documentation for statements of work (SOWs) and level of effort (LOE) documents, amendments and modifications.

DOPOs maintain invoices and invoice approvals for delivery orders.

Records maintained by Task Managers should be added to the DOPO/WAM records at the closeout of the delivery order or work assignment.

Copies of parts of this series (e.g., statements of work, work plans, etc.) may be kept with the relevant portions of related program records and may be retired according to the disposition requirements governing the series in which these records are filed. Other offices, including the COs, POs, DOPOs, WAMs and Task Managers, may maintain reference copies for which they are not directly responsible and which can be destroyed when no longer needed.

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 witnessed disposal for records destroyed by contractors.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION: Previous schedule items combined into this schedule were for the following programs: Procurement/Contracts, Water, Solid Waste, Emergency and Remedial Response, Toxic Substances, Mobile Source, Research and Development, Research and Development Laboratories, Pesticides, Facilities and Support Services, Radiation, Information and Resources Management, Planning and Evaluation and Program Reporting, and Public Affairs. 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 001A, EPA 003A, EPA 020A, EPA 055A, EPA 125A, EPA 184A, EPA 232A, EPA 258A, EPA 572A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC174-118/V/3, NC1-412-76-4/10, NC1-412-76-9/25, NC1-412-77-5/11, NC1-412-85-5/6, NC1-412-85-6/8, NC1-412-85-7/8, NC1-412-85-10/15, NC1-412-85-12/6, NC1-412-85-14/7, NC1-412-85-23/4a, NC1-412-85-26/I/4, N1-412-86-1/8, N1-412-86-3/7, N1-412-87-4/14, N1-412-87-5/13

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		4/2/92	3/26/96

DRAFT OF 7/8/96

U.S. EPA RECORDS CONTROL SCHEDULE**SERIES TITLE:** State Oversight Files**PROGRAM:** All Programs**EPA SERIES NO:** 203A**NARA SCHEDULE NO.** N1-412-94-2/32

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide**IDENTIFYING INFORMATION:****DESCRIPTION:** Contains records used to oversee State programs which are operated in lieu of a Federal program. Includes reports, inspections, inventories, correspondence, program reviews, and corrective actions of State programs.**ARRANGEMENT:** Arranged by State thereunder chronologically.**TYPE OF RECORDS:**

Case files

SPECIFIC RESTRICTIONS:

None

MEDIUM:

Paper, publications, forms

VITAL RECORD:

No

FUNCTIONS SUPPORTED:

Program oversight

SPECIFIC LEGAL REQUIREMENTS:

Resource Conservation and Recovery Act, as amended, Section 3005

Clean Water Act, as amended, Section 1251

Safe Drinking Water Act, Section 1413

Clean Air Act, as amended, Section 107

Federal Insecticide, Fungicide, and Rodenticide Act, as amended, Section 24

40 CFR 52

40 CFR 123

40 CFR 142

40 CFR 173

40 CFR 233

40 CFR 271

40 CFR 281

EPA SERIES NO. 203A**DISPOSITION INFORMATION:****FINAL DISPOSITION:**

Disposable

TRANSFER TO FRC PERMITTED:

Yes

FILE BREAK INSTRUCTIONS: Break file annually; bring forward active materials.**DISPOSITION INSTRUCTIONS:** Keep inactive files in office 2 years after file break, then retire to FRC unless problems with State program warrant longer retention in office. Destroy 10 years after file break.**APPLICATION GUIDANCE:****REASONS FOR DISPOSITION:** This series contains documentation of EPA's responsibilities for oversight of States. While the oversight of some State delegated programs is fairly routine, other programs can become controversial, especially in the case of poor performance or a politically-charged atmosphere. A 10 year retention would help the Agency document its past position in the event of a programmatic controversy.**AGENCY-WIDE GUIDANCE:** The record copy of these files are held by the Agency (either Headquarters or Regional) office responsible for State oversight. On-site reference sets of these documents may be maintained by offices other than the office of responsibility to support on-going program activities. All other informational and review copies can be destroyed when superseded or no longer needed.

For documents relating to State approval process, see:

EPA 201A - RCRA Solid Waste Management Plans
EPA 204A - State Program Authorization/Approval Files
EPA 206R - RCRA Corrective Actions
EPA 217A - State Implementation Plans

The State and Local Monitoring File for monitoring of State and local air pollution programs are permanent records and are scheduled as EPA 237R.

For Grants and Other Program Assistance Agreements, see EPA 003A for programs other than Superfund and EPA 001A for Superfund.

See EPA 686H for Development and Enforcement of Air and Water Standards by States maintained by the Headquarters Office of Enforcement and Compliance Assurance and EPA 676A for Development of Enforcement and Environmental Standards by States maintained by the Office of General Counsel.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION: Previous schedule items combined into this schedule were for the following programs: Solid Waste, Emergency and Remedial Response, Water, Air and Hazardous Waste, Enforcement, and Environmental Services. 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:**

EPA SERIES NO. 203A**CONTROL INFORMATION:**

RELATED ITEMS: EPA 001A, EPA 003A, EPA 201A, EPA 204A, EPA 206R, EPA 217A, EPA 237R, EPA 676A, EPA 686H

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-85-7/5, NC1-412-85-10/9 and 11, NC1-412-85-17/14 and 19, NC1-412-85-18/12, NC1-412-85-20/9 and 15

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		2/20/92	7/8/96

EPA SERIES NO. 204A

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: State Program Authorization/Approval Files

PROGRAM: All Programs

EPA SERIES NO: 204A

NARA SCHEDULE NO. N1-412-94-2/33

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Records that document the process for authorizing operation of a State program in lieu of a Federal program. Includes interim authorizations. Types of records include the State application with background and supporting documentation, correspondence (non-internal EPA), copies of State statutes and regulations, and documentation of public participation activities. Also includes documents relating to EPA's review, evaluation, and determination of the State program, as well as authorization withdrawals as it applies to the initial program authorization and subsequent revisions.

ARRANGEMENT: Arranged by State thereunder chronologically.

TYPE OF RECORDS:
Case files

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper, publications, forms, microfilm

VITAL RECORD:
Yes

FUNCTIONS SUPPORTED:
Program authorizations and delegations of authority

SPECIFIC LEGAL REQUIREMENTS:

Resource Conservation and Recovery Act, as amended, Sections 3006, 9004
Clean Water Act, as amended, Section 1251
Safe Drinking Water Act, as amended, Sections 1413, 1422, 1428
Clean Air Act, as amended, Sections 112l and 502 (et seq.)
40 CFR 271 40 CFR 145
40 CFR 281 40 CFR 142
40 CFR 145

EPA SERIES NO. 204A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. Record copy: Permanent

b. All other copies: Disposable

TRANSFER TO FRC PERMITTED:

Yes

No

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

DISPOSITION INSTRUCTIONS:

a. Retain inactive materials in office 2 years after file break, then retire to FRC. Transfer to NARA in 5 year blocks when 20 years old.

b. Retain inactive materials in office for at least 2 years after file break, then destroy when no longer needed.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Item 19 of NC1-412-85-18 and item 16 of NC1-412-85-7 have been expanded to include other programs with similar statutory and regulatory requirements. Retention has been changed to permanent because records document the Agency's delegation of responsibility to States to operate programs which is a principal function of EPA. Similar records, such as State Implementation Plans (SIPs) are already scheduled as permanent. Records are also necessary to support the Agency's actions if challenged in court.

AGENCY-WIDE GUIDANCE: Also known as primacy files in Water. Draft State applications may be destroyed after approval of final application. The record copy of these files is held by the Agency (either Headquarters or Regional) office who is responsible for issuing authorization to the State. This responsibility varies by statute and the level of State authorization, but primarily, authorization is the responsibility of the Regional office.

On-site reference sets of these documents may be maintained by offices other than the office of responsibility to support on-going program activities. All other informational and review copies can be destroyed when superseded or no longer needed.

State Implementation Plans for the Air program are covered in EPA 217A. RCRA Solid Waste Management Plans are covered in EPA 201A. Other records related to oversight of State programs are scheduled as EPA 203A, State Oversight Files.

See EPA 686H for Development and Enforcement of Air and Water Standards by States maintained by Headquarters Office of Enforcement and Compliance Assurance and EPA 676A for Development of Enforcement and Environmental Standards by States maintained by the Office of General Counsel.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION: RCRA interim authorizations may be retired when the State receives final authorization.

CUSTODIAL INFORMATION:

CONTROLLING UNIT: Multiple units

CONTACT POINT:

Name:

Name:

Location:

Mail Code:

Inclusive Dates:

Telephone:

Volume on Hand (Feet):

Office:

EPA SERIES NO. 204A

Annual Accumulation:
(feet or inches)

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 201A, EPA 203A, EPA 217R, EPA 676A, EPA 686H

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-84-1/8, NC1-412-85-7/16, NC1-412-85-10/9,
NC1-412-85-18/19 and 29

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		2/24/92	3/8/95

EPA SERIES NO. 217A

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: State Implementation Plans (SIPs)

PROGRAM: Air

EPA SERIES NO: 217A

NARA SCHEDULE NO. N1-412-94-2/34

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Includes records that document the process for approving State plans for the attainment and maintenance of national ambient air quality standards for air quality maintenance areas (AQMAS). Consists of plan and amendments, correspondence, copies of State statutes and regulations, documentation of public participation activities. Also includes documents relating to EPA's review, evaluation, and determination of the State program including technical support documents, Federal Register notices, action memoranda, communications strategies, public comments, review forms, and other documents.

ARRANGEMENT: Arranged by State.

TYPE OF RECORDS:

Case files

SPECIFIC RESTRICTIONS:

None

MEDIUM:

Paper, publications

VITAL RECORD:

Rights and Interests

FUNCTIONS SUPPORTED:

Program authorizations and delegations of authority

SPECIFIC LEGAL REQUIREMENTS:

Clean Air Act, as amended, Sections 110 and 301(d)

40 CFR 51

40 CFR 62

EPA SERIES NO. 217A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. Record copy: Permanent

TRANSFER TO FRC PERMITTED:

Yes

b. All other copies: Disposable Yes

FILE BREAK INSTRUCTIONS: Break file as plans are revised or superseded.
Bring active materials forward.

DISPOSITION INSTRUCTIONS:

a. Keep inactive files in office 1 year after file break, then retire to FRC.
Transfer to National Archives in 5 year blocks when 20 years old.

b. Keep inactive files in office 1 year after file break, then retire to FRC.
Destroy when 15 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Disposition previously approved by the National Archives.

AGENCY-WIDE GUIDANCE: Draft documents may be destroyed by program offices after approval of the final plan. On-site reference sets of documents may be maintained by offices other than the office of responsibility to support on-going activities. All other informational and review copies can be destroyed when superseded or no longer needed.

State Oversight Files are scheduled as EPA 203A. Compliance and enforcement actions are covered in EPA 211R and EPA 207R, respectively. See EPA 216R for Air Quality Management Files for other Regional records pertaining to implementation and management of air quality standards.

See EPA 686H for Development and Enforcement of Air and Water Standards by States maintained by the Headquarters Office of Enforcement and Compliance Assurance and EPA 676A for Development of Enforcement and Environmental Standards by States maintained by the Office of General Counsel.

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: EPA 203A, EPA 207R, EPA 211R, EPA 216R, EPA 676A, EPA 686H

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-85-15/2, NC1-412-85-18/1, NC1-412-85-20/10

Approval Date EPA	Approval Date NARA	Entry Date 4/20/92	Last Modified 12/5/94
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EPA SERIES NO. 249A

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Artwork and Camera Ready Copy

PROGRAM: All Programs

EPA SERIES NO: 249A

NARA SCHEDULE NO. N1-412-94-2/35
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Files consist of originals, mechanicals, or negatives of drawings and photographs used to produce publications and promotional items such as manuals, handbooks, brochures, pamphlets, posters, comic books, buttons, bumper stickers, or other materials. Also includes camera ready copy (i.e., unbound, quality versions that will produce good duplicates). Publications and promotional items are developed for use by Agency staff or for distribution to Regions, States, other government agencies, the regulated community, and the public.

Publications and promotional items are scheduled separately.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:

Artwork

SPECIFIC RESTRICTIONS:

None

MEDIUM:

Paper, photographs, audio visuals

VITAL RECORD:

No

FUNCTIONS SUPPORTED:

Program operations, public awareness, and training

SPECIFIC LEGAL REQUIREMENTS:

None

EPA SERIES NO. 249A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

No

FILE BREAK INSTRUCTIONS: Break file after last printing.

DISPOSITION INSTRUCTIONS: Transfer to NCEPI. Maintain for 10 years, then destroy. If artwork is used to reprint publications, calculate destruction as 10 years from last printing.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item combines several previously scheduled items. Retention has been extended to meet program administrative needs.

AGENCY-WIDE GUIDANCE: See EPA 250A for publications and promotional items, excluding artwork and camera ready copy. Original photographs/slides used in the preparation of layouts are to be retired under NARA General Records Schedule 21.

Printing instructions should be maintained with the artwork to which it relates and retained for the same amount of time.

Transfer procedures: Send materials and an inventory to NCEPI at Building 5, 11029 Kenwood Dr., Cincinnati, OH 45242.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION: Previous schedule items combined into this schedule were for the following programs: Water, Solid Waste, Emergency and Remedial Response, and Public Affairs. 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 250A, GRS 21

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: GRS 21/6, NC1-412-83-1/V/2 and 3, NC1-412-85-7/11, NC1-412-82-12/19, NC1-412-75-9/23

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		9/10/92	9/15/95

DRAFT OF 9/4/96

U.S. EPA RECORDS CONTROL SCHEDULE**SERIES TITLE:** Publications and Promotional Items**PROGRAM:** All Programs**EPA SERIES NO:** 250A**NARA SCHEDULE NO.** N1-412-94-2/36

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide**IDENTIFYING INFORMATION:**

DESCRIPTION: Files consist of general and technical literature and promotional items along with finding aids and indices used to access collections of publications. General and technical literature includes any manuals, handbooks, brochures, or pamphlets developed for use by Agency staff or for distribution to Regions, States, other government agencies, the regulated community, and the public. Promotional items include brochures, pamphlets, posters, comic books, buttons, and bumper stickers.

Excludes artwork and camera ready copy which is scheduled separately.

ARRANGEMENT: Arrangement varies.**TYPE OF RECORDS:**

Publications, working papers

SPECIFIC RESTRICTIONS:

None

MEDIUM:

Paper, photographs, electronic publications, audio visuals

VITAL RECORD:

No

FUNCTIONS SUPPORTED:

General program operations, public awareness, and training

SPECIFIC LEGAL REQUIREMENTS:

None

EPA SERIES NO. 250A**DISPOSITION INFORMATION:****FINAL DISPOSITION:****TRANSFER TO FRC PERMITTED:**

- | | |
|---|-----|
| a. Publication or promotional items depicting Agency mission activities that are either printed by GPO, or the Headquarters print shop, or distributed by NCEPI (microform or non-microformed paper): Permanent | Yes |
| b. Publication or promotional items depicting program mission activities (microform or non-microformed paper) not printed by GPO or the Headquarters print shop, and not distributed by NCEPI: Permanent | Yes |
| c. Routine publications or promotional items: Disposable | Yes |
| d. Distribution copies: Disposable | No |
| e. Working papers and background materials: Disposable | No |

FILE BREAK INSTRUCTIONS:

a and b. If record is microformed, break file upon completion of microform quality assurance check. If record is not microformed, break file upon publication.

c. Break file after publication.

d. Break file when document becomes obsolete or is no longer needed to support program activities.

e. Break file after publication.

DISPOSITION INSTRUCTIONS:

a and b. If record is microformed, retire one silver halide copy and one diazo copy to the WNRC or NPRC along with finding aids and indices. Transfer to the National Archives when most recent record is 20 years old. Retain one silver halide copy and two diazo copies for office use. Destroy Agency microform copies when superseded or no longer needed.

If record is not microformed, keep in office for up to 5 years after file break, then retire to the WNRC or NPRC along with finding aids and indices. Transfer to the National Archives when most recent record is 20 years old.

c. Keep in office for 1 year after file break, then retire to the FRC. Destroy 5 years after file break.

d. Keep in office 3 years after file break, then destroy.

e. Keep in office 2 years after file break, then destroy.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item combines several previously scheduled items which did not adequately identify the need to establish a record set of these promotional and publication records. Previous schedules did not allow for consistency in the permanent retention of those publications that significantly document the Agency's mission being produced by programs other

EPA SERIES NO. 250A

than Public Affairs. Existing disposition for distribution copies is consistent with the proposed retention.

AGENCY-WIDE GUIDANCE: This item relates to all publications developed by all programs. The Government Printing Office, the Headquarters print shop, or NCEPI is responsible for maintaining the record copy, implementing the disposition, and retiring the records to the FRC for item a.

The program office generating the publication and having the publication printed either internally or by some other office or organization (e.g., NTIS) not identified in item a, is responsible for maintaining record copy, implementing the disposition, and transferring the records to the FRC for item b.

Originating units are responsible for implementing item c. All other copies held for distribution or reference can be destroyed when superseded or no longer needed.

Original photographs/slides used in the preparation layouts are to be retired under NARA General Records Schedule 21. See EPA 249A for Artwork and Camera Ready Copy. Other public awareness records should be dispositioned in accordance with EPA 081A, Public Awareness Files. Manuscripts written by EPA personnel are covered in EPA 334A. Printing Arrangements for Publications, Articles, and Promotional Items are scheduled as EPA 535A.

If publications or promotional items are microformed, it is recommended that the office retain a silver halide set as well as diazo sets on site which will simplify making copies. Microform copies are to be produced in accordance with standards in 36 CFR 1230.10 and 1230.20.

If publications or promotional items are on CD-ROM, they must conform to existing standards for transfer to the National Archives.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION: Two copies of posters are to be sent to the National Archives as soon as they are printed. Program staff should contact their Records Liaison Officer for instructions.

Previous schedule items combined into this schedule were for the following programs: Water, Solid Waste, Emergency and Remedial Response, and Public Affairs. 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 081A, EPA 249A, EPA 334A, EPA 535A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: GRS 21/6, NC1-412-75-9/21, NC1-412-76-7/23, NC1-412-82-12/19, NC1-412-83-1/V/2 and 3, NC1-412-85-7/11, N1-412-86-1/15b

EPA SERIES NO. 250A

Approval Date EPA	Approval Date NARA	Entry Date 3/30/92	Last Modified 9/4/96
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DRAFT OF 4/3/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Final Deliverables and Reports

PROGRAM: All Programs

EPA SERIES NO: 258A

NARA SCHEDULE NO. N1-412-94-2/37

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Files consist of the final draft and final deliverables, products, and reports submitted by contractors and grantees to the Agency, or produced in-house by individuals, committees, or task forces. Records include all final drafts or final deliverables resulting from a contracted service or study or purchase orders and transmittal letters; final products and deliverables from a grant; and final reports resulting from special studies and surveys completed within the Agency.

There are two types of records:

- a. Programmatic or mission related, and
- b. Non-programmatic or administrative.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:

Case files

SPECIFIC RESTRICTIONS:

None

MEDIUM:

Paper, publications,
electronic, reports

VITAL RECORD:

No

FUNCTIONS SUPPORTED:

Program operations

SPECIFIC LEGAL REQUIREMENTS:

None

EPA SERIES NO. 258A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. Permanent

TRANSFER TO FRC PERMITTED:

Yes

b. Disposable

Yes

FILE BREAK INSTRUCTIONS: Break file upon completion of the project.

DISPOSITION INSTRUCTIONS:

a(1). All programs except Superfund site specific: Keep inactive materials in office at least 1 year after file break, then retire to FRC. Transfer to the National Archives 20 years after file break.

If record copy is in microform, break file upon completion of microform quality assurance check. Retire one silver and one diazo to the FRC along with finding aids and indexes. Transfer to the National Archives 20 years after the file break. Retain one or more sets for office use. Destroy any Agency microform copies when superseded or no longer needed.

(2). Superfund site specific: Keep inactive materials in office at least 1 year after file break, then retire to FRC. Destroy 30 years after file break.

If record copy is in microform, break file upon completion of microform quality assurance check. Retire one silver and one diazo to the FRC along with finding aids and indexes. Destroy 30 after file break. Retain one or more sets for office use. Destroy any Agency microform copies when superseded or no longer needed.

b. Keep inactive materials in office at least 1 year after file break, then retire to FRC. Destroy 7 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item replaces several program specific items and coverage has been expanded so that all programs except Superfund site specific are treated in a uniform fashion. Records have been separated between programmatic and non-programmatic so only those of long term value will be transferred to the National Archives. Superfund site-specific final deliverables are retained for 30 years to be consistent with related records. Final reports relating to Superfund sites are also found in the Superfund site files which are permanent.

AGENCY-WIDE GUIDANCE: For the purposes of this schedule, programmatic and mission-related refer to the Agency's mission to improve and preserve the environment by protecting human health, ecosystems and the beauty of the environment using the best available science.

Copies of final deliverables may become part of related records supporting program offices and if so, they are to be retired according to the disposition requirements governing that series (e.g., Superfund site files). Information copies can be destroyed when no longer needed.

Draft deliverables, interim products, and other documents for contracts and grants which do not have long term or permanent value should be filed with other contract and grant documentation. See EPA 020A for Contract Management Records - Superfund Site Specific, EPA 202A for Contract Management Records (other than Superfund site specific), EPA 001A for Grants and Other Program Support Agreements - Superfund Site Specific, EPA 003A for Grants and Other Program Support Agreements (other than Superfund Site Specific), and EPA 232A for Waste Water Construction and State Revolving Fund Grants.

Other related series are EPA 005A - Special Studies for studies not covered by other program specific schedules, and EPA 099A - Pilot Projects.

EPA SERIES NO. 258A

Microform copies are to be produced in accordance with standards in 36 CFR 1230.10 and 1230.20. If records are not filmed, apply disposition a to the paper records.

If electronic records such as word processing, tracking systems, or similar files are used to manage the records, they must be retained for the length of time specified in this schedule. However, data bases specifically established as part of a deliverable or report need to be scheduled separately and are not covered by this schedule.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION: Previous schedule items combined into this schedule were for the following programs: Water, Solid Waste, Emergency and Remedial Response, Toxic Substances, Air Quality Planning and Standards, and Radiation. 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 001A, EPA 003A, EPA 005A, EPA 020A, EPA 202A, EPA 232A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-75-6/10, NC1-412-76-1-II/21, NC1-412-76-1/V/21, NC1-412-76-3/4 and 5a, NC1-412-76-8/4, NC1-412-76-15/4, NC1-412-77-1/3, NC1-412-78-10/12a, NC1-412-82-12/11

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		3/30/92	4/3/96

EPA SERIES NO. 259A

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Ombudsman Files

PROGRAM: All Programs

EPA SERIES NO: 259A

NARA SCHEDULE NO. N1-412-94-2/38

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Consists of copies of requests for information or assistance with complaints or problems arising from EPA regulations or "whistle-blower" information on regulatory infractions or issues. Documents include phone notes, referrals, letters, copies of case log forms, action notes, or other records or response or action. There are two categories:

- a. Completed cases - All actions have been taken to resolve the problem, the person(s) notified, and all items on the Ombudsman log sheets completed.
- b. Additional information required cases - Additional information is requested to respond but not received.

ARRANGEMENT: Arranged chronologically thereunder by case number.

TYPE OF RECORDS:

Case files

SPECIFIC RESTRICTIONS:

MEDIUM:

Paper, electronic

VITAL RECORD:

No

FUNCTIONS SUPPORTED:

Program management

SPECIFIC LEGAL REQUIREMENTS:

Resource Conservation and Recovery Act, as amended, Section 2008
Toxic Substances Control Act, as amended, Section 212

EPA SERIES NO. 259A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

No

FILE BREAK INSTRUCTIONS:

- a. Break file when case completed.
- b. Break file 30 days after request for additional information.

DISPOSITION INSTRUCTIONS: Keep in office at least 1 year after file break, then destroy.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Ombudsman offices were established to ensure the public and regulated community receive impartial, knowledgeable, and timely assistance with complaints or problems. This item combines a number of previously approved EPA and NARA General Records Schedule items for public inquiry records. Since EPA Ombudsman offices serve a specific, mission-related function for the program offices they serve and have been established at the Regional and Headquarters offices independent of each other, a separate schedule item is needed to provide Agencywide guidance and to ensure proper handling. The one year retention ensures records are available to document information and actions taken involving "whistle-blower" referrals and actions taken that affect program adjustments to resolve particular problems.

AGENCY-WIDE GUIDANCE: The official record is maintained by the Ombudsman office. All other public inquiry records and responses held by other offices are scheduled as EPA 309A, except those governed by the Freedom of Information Act. See the following schedule items for FOIA files:

EPA 030A - FOIA Request Files
EPA 031A - FOIA Administrative Files and Reports
EPA 032A - FOIA Appeals Files
EPA 033A - FOIA Control Files

Ombudsman referrals to specific site or facility records are to be filed in the community relations files specific to the site or facility (e.g., Superfund Remedial Site Files - EPA 014A) and are covered by the disposition instructions for those records.

If electronic records such as data bases, spreadsheets, or similar files are used to replace or augment paper records described in this schedule, they must be retained for the same length of time as specified in this schedule for the paper records.

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:

EPA SERIES NO. 259A

CONTROL INFORMATION:

RELATED ITEMS: EPA 030A, EPA 031A, EPA 032A, EPA 033A, EPA 309A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: GRS 14/1, 2 and 5, N1-412-86-3/23

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		8/12/92	3/22/95

EPA Records Schedule 263

39

Status: Final, 02/01/2007

Title: Freedom of Information Act (FOIA) Tracking System

Program: Environmental Information

Applicability: Agency-wide

Function: 305-109-02-01 - FOIA

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.

- N1-412-94-2/39

Description:

The Freedom of Information Act (FOIA) Tracking System is an administrative system used by EPA's FOIA offices to electronically store, track and manage FOIA requests and responses. The data from this system is also used for the Agency's annual FOIA activity report to the U.S. Department of Justice.

Disposition Instructions:

Item a: Electronic software program

- **Disposable**
- Maintain current version in accordance with NTSD directives and procedures
- Delete when superseded or obsolete

Item b: Input

- **Disposable**
- Delete when data successfully transferred or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later

Item c: Electronic data

- **Disposable**
- Follow instructions for the related records.

Item d: Output and reports

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

Item e: Supporting documentation

- **Disposable**
- Delete when superseded or obsolete.

Guidance:

This schedule covers both the Freedom of Information Management Tracking System (FOIMATS) and FOIAXpress.

See the following FOIA schedules for disposition instructions for electronic data (item c) and output and reports (item d).

- EPA 029 - Freedom of Information Act (FOIA) Annual Reports
- EPA 030 - Freedom of Information Act (FOIA) Requests Files
- EPA 031 - Freedom of Information Act (FOIA) Administrative Files and Reports
- EPA 032 - Freedom of Information Act (FOIA) Appeals Files
- EPA 033 - Freedom of Information Act (FOIA) Control Files

See EPA 089 - Electronic Tracking Systems for other disposable electronic tracking systems not requiring their own schedule.

Reasons for Disposition:

Disposition for the electronic software program (item a) and output (item d) are consistent with the originally approved schedule. Disposition for input (item b) is consistent with NARA's GRS 20/2. Disposition for electronic data (item c) conforms to NARA's General Records Schedule 14. The disposition for supporting documentation (item e) conforms with GRS 20/11.

Custodians:

Office of Environmental Information, Office of Information Collection, Records, FOIA and Privacy Branch

- **Contact:** Cindy Floyd-Coleman
- **Telephone:** 202-566-1662

Related Schedules:

EPA 029, EPA 030, EPA 031, EPA 032, EPA 033, EPA 089

Previous NARA Disposal Authority:

Entry: 01/04/1993

EPA Approval: 10/07/1993

NARA Approval: 11/27/1996

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EPA SERIES NO. 304A

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Systems Documentation

PROGRAM: All Programs

EPA SERIES NO: 304A

NARA SCHEDULE NO. N1-412-94-2/40

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Contains requirements specifications, requirements analyses, design documents, programming specifications, tests plans, source code, data systems specifications, file specifications, records layouts, data dictionaries, output specifications, final reports, user guides and training documents produced in the course of developing, enhancing, maintaining and supporting EPA program systems. Such documentation is essential to the continuing operation of systems.

There are two types of documentation:

- a. For permanent systems; and
- b. For temporary systems.

ARRANGEMENT: Arranged by system, thereunder by subject.

TYPE OF RECORDS:

Case files

SPECIFIC RESTRICTIONS:

None

MEDIUM:

Paper, electronic

VITAL RECORD:

No

FUNCTIONS SUPPORTED:

Program management

SPECIFIC LEGAL REQUIREMENTS:

None

EPA SERIES NO. 304A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. Permanent

b. Disposable

TRANSFER TO FRC PERMITTED:

No

Yes

FILE BREAK INSTRUCTIONS:

a. Follow file break instructions in specific system schedules.

b. Break file upon completion of phase in system life cycle; bring forward active materials.

DISPOSITION INSTRUCTIONS:

a. Follow disposition instructions in specific system schedules. Transfer with the related electronic data.

b. Keep inactive materials in office at least 1 year after completion of phase in system life cycle, then retire to FRC. Destroy when 15 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: A number of previously approved disposable items have been combined into item b. Disposition for permanent systems is covered in specific systems schedules.

AGENCY-WIDE GUIDANCE: This item applies to documentation for systems not covered in specific system schedules and systems which were not implemented. Documentation necessary for transfer of permanent systems to the National Archives are covered under the specific schedule for those systems. For example, documentation for CERCLIS is covered in EPA 050A. In some cases, systems are included as part of general system schedules, including:

- EPA 063A - Electronic Models and Expert Systems.
- EPA 088A - Bibliographic and Reference Systems
- EPA 089A - Information Tracking Systems
- EPA 090A - Administrative Support Data Bases
- EPA 094A - Electronic Bulletin Boards

Records used for ongoing operation of a system are covered in EPA 006A - Program Management Files. Records used for ongoing operation of information/computer centers are scheduled as EPA 306A.

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: EPA 006A, EPA 063A, EPA 088A, EPA 089A, EPA 090A, EPA 094A, EPA 306A

EPA SERIES NO. 304A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: GRS 20/11a, NC1-412-85-24/41, N1-412-86-3/9, 11 and 12

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		3/4/92	6/13/95

EPA SERIES NO. 309A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

No

FILE BREAK INSTRUCTIONS: Break file after 3 months.

DISPOSITION INSTRUCTIONS: Retain 3 months after all actions are completed, then destroy.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item combines items previously approved by the National Archives and provides for consistent retention, and conforms to NARA's General Records Schedule 14, items 1, 2 and 5.

AGENCY-WIDE GUIDANCE: This item is to be used by organizations such as libraries, public information centers, hotlines, and other units whose mission is to respond to public inquiries.

Public inquiries classified as Freedom of Information Act (FOIA) requests are covered in EPA 030A - EPA 033A. See also EPA 141A for Controlled and Major Correspondence, EPA 132A for Congressional Correspondence, and EPA 259A for Ombudsman Files. Other public awareness files are covered in EPA 081A.

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: EPA 030A, EPA 031A, EPA 032A, EPA 033A, EPA 081A, EPA 132A, EPA 141A, EPA 259A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-83-5/8, NC1-412-85-22/19

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		3/4/92	4/8/96

EPA SERIES NO. 309A

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Public Inquiries Files

PROGRAM: All Programs

EPA SERIES NO: 309A

NARA SCHEDULE NO. GRS 14/1, 2 and 5

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Includes copies of public inquiries requesting various non-technical EPA reference materials and/or answers to various types of environmental problems, with copy of response from the responsible program area in EPA Headquarters and Regions attached, and consumer complaints. Includes referrals of letters from foreign countries to the proper Agency, organization or office for response. Also, includes copies of inquiry control log books/sheets and reports that contain daily and weekly account of inquiries received via mail, telephone and personal appearances.

ARRANGEMENT: Arranged chronologically.

TYPE OF RECORDS:
Correspondence files

SPECIFIC RESTRICTIONS:

MEDIUM:
Paper

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Public awareness

SPECIFIC LEGAL REQUIREMENTS:
None

EPA SERIES NO. 310A

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Telephone Reports

PROGRAM: All Programs

EPA SERIES NO: 310A

NARA SCHEDULE NO. General Records Schedule 3/10
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Summaries of long distance and/or local telephone reports used to indicate authorized use of telephone services as well as to audit expense vouchers.

ARRANGEMENT: Arranged chronologically.

TYPE OF RECORDS:
Reports, data filesSPECIFIC RESTRICTIONS:
NoneMEDIUM:
Paper, electronicVITAL RECORD:
NoFUNCTIONS SUPPORTED:
Program managementSPECIFIC LEGAL REQUIREMENTS:
None

EPA SERIES NO. 310A

DISPOSITION INFORMATION:

FINAL DISPOSITION:
Disposable

TRANSFER TO FRC PERMITTED:
No

FILE BREAK INSTRUCTIONS: Break file at end of fiscal year.

DISPOSITION INSTRUCTIONS:

- a. Data files: Keep inactive materials in office for 3 years after file break, then destroy.
- b. Annotated printouts: Keep inactive materials in office for 3 years after file break, then destroy.
- c. Non-annotated printouts: Destroy when no longer needed for reference.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Disposition has been extended to meet General Accounting Office audit requirements, and conforms to NARA's General Records Schedule 3, item 10.

AGENCY-WIDE GUIDANCE:

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: NC1-412-75-2/IV/4

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
7/23/86	2/3/87	3/4/92	4/8/96

DRAFT OF 3/26/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Manuscripts of Articles Written by EPA Personnel

PROGRAM: All Programs

EPA SERIES NO: 334A

NARA SCHEDULE NO. N1-412-94-2/43

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Records consist of original drafts of articles submitted to professional, trade, and commercial magazines for publication. Records include manuscripts awaiting publication as well as those published. Folder may also contain reprints of published articles. There are two categories of records:

- a. Final drafts, and
- b. Working papers and background materials.

ARRANGEMENT: Arranged alphabetically by surname of author.

TYPE OF RECORDS:
Case files

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
None

EPA SERIES NO. 334A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a(1). Programmatic or mission
related: Permanent

TRANSFER TO FRC PERMITTED:

Yes

(2). Non-programmatic or
non-mission related: Disposable

Yes

b. Disposable

No

FILE BREAK INSTRUCTIONS:

a. Break file at the end of 5 years.

b. Break file upon publication.

DISPOSITION INSTRUCTIONS:

a(1). Keep inactive materials in office up to 5 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.

(2). Keep inactive materials in office up to 2 years after file break, then retire to FRC. Destroy when 10 years old.

b. Keep in office 2 years after publication or when no longer needed for reference, whichever is later, then destroy.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Retention for item a(1) was previously approved for one program by the National Archives. Working papers and background materials have been added and applicability has been expanded to Agency-wide. Retention for mission-related records has been separated from non-mission-related to retain only those records of long term value. Retention for item b is consistent with other related schedule items.

AGENCY-WIDE GUIDANCE: Other Publications and Promotional Items are scheduled as EPA 250A. Presentations are covered in EPA 140A - Speeches.

If articles are submitted to the Office of Communications, Education, and Public Affairs (OCEPA), they are responsible for the disposition. Otherwise, the originating office is responsible for implementing the disposition.

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: EPA 140A, EPA 250A

EPA SERIES NO. 334A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-75-9/2, NC1-412-76-9/75

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		9/1/92	3/26/96

EPA SERIES NO. 459A

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Conferences, Seminars, Associations, and Societies Files

PROGRAM: All Programs

EPA SERIES NO: 459A

NARA SCHEDULE NO. N1-412-94-2/44

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Includes records related to the participation or sponsorship of EPA staff in professional associations, societies, and related groups. Records consist of conference literature, trip reports, meeting agendas and arrangements, evaluations, copies of papers and other materials collected during participation, and other related records.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:

Case files

SPECIFIC RESTRICTIONS:

None

MEDIUM:

Paper

VITAL RECORD:

No

FUNCTIONS SUPPORTED:

Program management

SPECIFIC LEGAL REQUIREMENTS:

None

EPA SERIES NO. 459A

DISPOSITION INFORMATION:

FINAL DISPOSITION:
Disposable

TRANSFER TO FRC PERMITTED:
No

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

DISPOSITION INSTRUCTIONS: Keep inactive materials in office up to 2 years after file break, then destroy.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This combines a number of previously approved program-specific items into one item with Agency-wide applicability. Disposition in most cases was 2 years.

AGENCYWIDE GUIDANCE: Records pertaining to planning, preparing, arranging and conducting training programs are scheduled as EPA 200A. Routine meeting arrangement records are scheduled as EPA 182A. Presentations are covered in EPA 140A - Speeches and Congressional Testimony.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION: Previous schedule items combined into this schedule were for the following programs: Intergovernmental Liaison, Emergency and Remedial Response, Research and Development, Research and Development Laboratories, Radiation, and Information and Resources Management. 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 140A, EPA 182A, EPA 200A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-85-4/12, NC1-412-85-10/10, NC1-412-85-22/17, NC1-412-85-23/12, N1-412-86-1/11, N1-412-86-3/19

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		2/25/93	4/10/95

DRAFT OF 3/26/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Enforcement Actions - Oil Spill Site Specific

PROGRAM: Oil

EPA SERIES NO: 480A

NARA SCHEDULE NO. N1-412-94-2/45

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Includes all cases referred to Office of Regional Counsel or other offices with enforcement authority for actions taken to assess penalties against facilities for failure to maintain proper spill prevention and response plans or for actual oil spills. Includes such actions as inspections, plan reviews, administrative complaints and orders and injunctive relief. Specific types of records include inspection reports, case summaries, compliance status documents, referral packages, attorney work products, State and local enforcement records, facility business and financial records and notices.

ARRANGEMENT: Arranged by site or facility.

TYPE OF RECORDS:

Case files

SPECIFIC RESTRICTIONS:

Privacy Act

Confidential Business Information

Enforcement Sensitive Information

MEDIUM:

Microfilm, paper, photographs,
maps and architectural materials,
forms, video/film

VITAL RECORD:

FUNCTIONS SUPPORTED:

Program operations

SPECIFIC LEGAL REQUIREMENTS:

Federal Water Pollution Control Act, as amended by the Oil Pollution Act of
1990, Section 4301
40 CFR 110

EPA SERIES NO. 480A

DISPOSITION INFORMATION:FINAL DISPOSITION:

Disposable except landmark or
precedent cases which are
permanent

TRANSFER TO FRC PERMITTED:

Yes

FILE BREAK INSTRUCTIONS: Break file upon settlement or closing of case.

DISPOSITION INSTRUCTIONS:

a. No Legal Action Required and Routine Legal Action: Keep inactive materials in office at least 1 year after file break, then retire to FRC. Destroy 30 years after file break.

b. Landmark Cases: Keep inactive materials in office at least 1 year after file break, then retire to FRC. Transfer to National Archives 30 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Records required for enforcement as mandated by statute and regulation.

AGENCYWIDE GUIDANCE: The unit with enforcement authority is responsible for maintaining the record copy and implementing the disposition, including selecting landmark cases for recommendation to the Regional Administrator or the Regional Administrator's delegate. Examples of possible landmark cases would be cases which may have the largest award, or the first case of its kind, or some other special distinction.

Copies of these records may be filed in other series. Some may be filed with site files for historical purposes. All other copies may be destroyed when no longer needed.

Removal Records - Oil Spill Site specific are covered in EPA 481A. Enforcement records for programs other than Oil and Superfund are scheduled as EPA 207R, and Superfund as EPA 025A.

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: EPA 025A, EPA 207R, EPA 481A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		6/2/93	3/26/96

DRAFT OF 8/2/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Removal Records - Oil Spill Site Specific

PROGRAM: Oil

EPA SERIES NO: 481A

NARA SCHEDULE NO. N1-412-94-2/46

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Site-specific records relating to emergency, time-critical and non time-critical removal activities conducted by EPA and non-EPA lead (e.g., PRP, State, Federal Facilities, other) entities in response to an oil spill. Specific types of records include correspondence, memoranda, work plans, financial and technical progress reports, sampling and analysis data, pollution reports (POLREPs), statements of work and other site-specific contract documentation.

ARRANGEMENT: Arranged by site.

TYPE OF RECORDS:

Case files

SPECIFIC RESTRICTIONS:

Confidential Business Information
Enforcement Sensitive Information

MEDIUM:

Paper, photographs, publications,
maps and architectural materials,
forms, video/film

VITAL RECORD:

FUNCTIONS SUPPORTED:

Program operations

SPECIFIC LEGAL REQUIREMENTS:

Federal Water Pollution Control Act, as amended by the Oil Pollution Act of
1990, Sections 4201 and 4306
40 CFR 110

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DISPOSITION INFORMATION:FINAL DISPOSITION:

a. Paper (non-microformed)

or Microform: Disposable

TRANSFER TO FRC PERMITTED:

Yes

b. Paper (microformed):
Disposable

No

c. Microform: Disposable

Yes

FILE BREAK INSTRUCTIONS:

a. Break file upon completion of cost recovery.

b. Break file upon completion of microfilming.

c. Break file upon completion of cost recovery.

DISPOSITION INSTRUCTIONS:

a. Retire to FRC immediately after file break. If volume necessitates, transfer to the FRC prior to designated time. Destroy 30 years after file break.

b. Destroy paper upon completion of quality assurance. ~~Retire microform to FRC immediately after cost recovery. Destroy 30 years after cost recovery.~~

c. Retire microform to FRC immediately after cost recovery. Destroy 30 years file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Records are required as part of the complete documentation of the removal process and for cost recovery support. However, because there is no follow-up monitoring performed by the Agency for stand-alone removal actions, permanent retention is not required. Thirty years retention is sufficient to allow for any follow-up activity. If removal site requires additional action at a later date, the retention is determined by adding thirty years to the date of the later action, not the original removal.

AGENCY-WIDE GUIDANCE: If the removal action becomes part of a remedial action, records are to be reassigned to the remedial site file and the Regional unit responsible for managing the removal process is responsible for maintaining and implementing the disposition in accordance with EPA 014A.

This file may contain copies of documents relating to:

- EPA 001A - Grants and Other Program Support Agreements - Superfund Site Specific
- EPA 018A - Sampling and Analytical Data Files - Superfund Site Specific
- EPA 019A - Administrative Records - Superfund Site Specific
- EPA 020A - Contract Management Records - Superfund Site Specific
- EPA 024A - Cost Recovery Records
- EPA 480A - Enforcement Actions - Oil Spill Site Specific

Reference copies of these files held by all other offices can be destroyed when no longer needed to support current activities.

Microform copies are to be produced in accordance with standards in 36 CFR 1230.10 and 1230.20. It is recommended that the unit retain a silver set as well as diazo sets on site which will simplify making copies.

As required by 36 CFR 1228.58, records with special restrictions such as confidential business information (CBI) or those exempted from disclosure by

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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:

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 480A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		6/3/93	8/2/96

DRAFT OF 4/8/96

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Rulemaking Committees

PROGRAM: All

EPA SERIES NO: 518A

NARA SCHEDULE NO. N1-412-94-2/47

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Includes records of rulemaking committees and work groups. Records consist of meeting notes, organizing charter, reports, and correspondence pertaining to policy matters.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:

Case files

SPECIFIC RESTRICTIONS:

None

MEDIUM:

Paper

VITAL RECORD:

FUNCTIONS SUPPORTED:

Regulatory development

SPECIFIC LEGAL REQUIREMENTS:

None

EPA SERIES NO. 518A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. Published regulations,
standards and guidelines:
Permanent

TRANSFER TO FRC PERMITTED:

Yes

b. Unpublished regulations,
standards and guidelines:
Disposable

Yes

FILE BREAK INSTRUCTIONS: Break file when committee superseded or cancelled.

DISPOSITION INSTRUCTIONS:

a. Keep inactive materials in office up to 5 years after file break, then retire to FRC. Transfer to the National Archives 20 years after file break.

b. Keep inactive materials in office up to 3 years after file break, then retire to FRC. Destroy 10 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item was previously approved as disposable for one program office by the National Archives. Coverage has been extended to Agency-wide and the disposition changed to permanent to be consistent with the related regulatory development records.

AGENCY-WIDE GUIDANCE: Disposition is to be applied by committee chair who designates the official copy of committee records and custodian.

Regulations, Standards, and Guidelines are scheduled as EPA 149A.
Rulemaking Dockets are covered in EPA 150A. Other committee files are:

EPA 181A - Federal Advisory Committee/Board Records
EPA 182A - Meeting Arrangement Records
EPA 186A - Inter-Agency Committee Records
EPA 187A - Intra-Agency and Internal Committee Records
EPA 188A - EPA Steering Committee Files

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: EPA 149A, EPA 150A, EPA 181A, EPA 182A, EPA 186A, EPA 187A,
EPA 188A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-78-10/13c

EPA SERIES NO. 518A

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		7/6/93	4/8/96

EPA SERIES NO. 533A

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Environmental Awards

PROGRAM: All Programs

EPA SERIES NO: 533A

NARA SCHEDULE NO. N1-412-94-2/48

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Contains information relating to the nominations, competitions, or applications for awards to organizations, youth groups, private citizens, students, or other non-EPA individuals for excellence in education, promotion of local environmental awareness, or other environmental achievements. Consists of correspondence, applications or other forms, copies of publications, samples of posters and exhibits, news clippings, and other related documents.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:

Case files

SPECIFIC RESTRICTIONS:

MEDIUM:

Paper, video/film, photographs,
publications, sound recordings,
forms

VITAL RECORD:

FUNCTIONS SUPPORTED:

Public awareness

SPECIFIC LEGAL REQUIREMENTS:

EPA SERIES NO. 533A

DISPOSITION INFORMATION:

FINAL DISPOSITION:
Disposable

TRANSFER TO FRC PERMITTED:
No

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

DISPOSITION INSTRUCTIONS: Keep inactive materials in office up to 3 years, then destroy.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Item 10 of N1-412-87-5 was previously approved by the National Archives. It has been expanded to cover all programs Agency-wide.

AGENCY-WIDE GUIDANCE: The Presidential Environment Merits Award Program (PEMAP) File maintained by Communications, Education and Public Affairs at Headquarters is covered in EPA 534H. EPA employee awards are covered by General Records Schedule 1, items 12 and 13.

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: GRS 1/12, GRS 1/13, EPA 534H

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: N1-412-87-5/10

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		7/20/93	12/13/94

EPA SERIES NO. 535A

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Public Printers Files

PROGRAM: All Programs

EPA SERIES NO: 535A

NARA SCHEDULE NO. General Records Schedule 3/6

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Contains data and supporting documentation for the release and publication or production of manuscripts and promotional items. Records consist of clearance for publication, typed manuscripts, page proofs, color justifications, jacket specifications, distribution approvals, and related documents.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:

Case files

SPECIFIC RESTRICTIONS:

MEDIUM:

Paper

VITAL RECORD:

FUNCTIONS SUPPORTED:

Public awareness

SPECIFIC LEGAL REQUIREMENTS:

EPA SERIES NO. 535A

DISPOSITION INFORMATION:

FINAL DISPOSITION:
Disposable

TRANSFER TO FRC PERMITTED:
No

FILE BREAK INSTRUCTIONS: Break file upon printing or decision not to print publication or article.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office up to 3 years after file break, then destroy.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Item 12 of N1-412-87-5 was previously approved as disposable by the National Archives. It has been expanded to include all programs Agency-wide. Disposition is unchanged and conforms to NARA's General Records Schedule 3, item 6.

AGENCY-WIDE GUIDANCE: Publications and Promotional Items is scheduled as EPA 250A. Original photographs/slides used in the preparation of layouts are to be retired under NARA General Records Schedule 21. See EPA 249A for Artwork and Camera Ready Copy. Instructions for printing artwork is also covered in EPA 249A. Manuscripts written by EPA personnel are covered in EPA 334A. See also EPA 258A for Final Deliverables and Reports.

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: GRS 21, EPA 249A, EPA 250A, EPA 258A, EPA 334A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: N1-412-75-9/23

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		7/20/93	4/8/96