

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408	
1. FROM (Agency or establishment) Environmental Protection Agency	
2. MAJOR SUBDIVISION Air and Radiation	
3. MINOR SUBDIVISION	
4. NAME OF PERSON WITH WHOM TO CONFER Rachel Van Wingen	5. TELEPHONE (202) 260-9709

LEAVE BLANK (NARA use only)	
JOB NUMBER N1-412-99-10	
DATE RECEIVED 10-13-98	
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
DATE 8-10-00	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</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 9 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required;  is attached; or  has been requested

DATE 9/24/98	SIGNATURE OF AGENCY REPRESENTATIVE <i>Rachel Van Wingen</i> Rachel Van Wingen	TITLE Agency Records Officer
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7 ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See attached U.S. EPA Records Control Schedules 549A, 550A, and 587A.		

*copy to: agency, NWME 8/16/00 clb*

DRAFT OF 8/19/99

U.S. EPA RECORDS SCHEDULE

1) **SERIES TITLE:** Allowance Tracking System (ATS)

**PROGRAM:** Air

**EPA SERIES NO:** 549

**AGENCY FILE CODE:** AIRP 549

**NARA DISPOSAL AUTHORITY:** N1-412-99-10/1  
(Use this number to retire records to the FRC)

**APPLICABILITY:** Agency-wide

DRAFT

IDENTIFYING INFORMATION:

**DESCRIPTION:** The Allowance Tracking System (ATS) is a computer-based information system used to track the creation, transfer, and ultimate use of authorizations to emit sulfur dioxide in the form of "allowances". Allowances may be bought, sold, or transferred at any time by utilities, other affected companies, and other organizations or individuals. The ATS tracks the issuance of allowances; the holdings of allowances in accounts; the holdings of allowances in various allowance reserves, such as the EPA Auction and Sale Reserve and the Conservation and Renewable Energy Reserve; the deduction of allowances for compliance purposes; and the transfer of allowances between accounts.

**ARRANGEMENT:** Not applicable.

**TYPE OF RECORDS:**  
Reports, printouts, data files

**SPECIFIC RESTRICTIONS:**

**MEDIUM:**  
Electronic, paper, forms

**VITAL RECORD:**  
No

**FUNCTIONS SUPPORTED:**  
Compliance activities

**SPECIFIC LEGAL REQUIREMENTS:**  
1990 Clean Air Act Amendments, Section 403  
40 CFR 73

**EPA SERIES NO. 549**

**DISPOSITION INFORMATION:**

**FINAL DISPOSITION:**

- a. Electronic software system: Disposable
- b. Input
- c. Electronic data: Disposable
- d. Output and Reports:
- e. Supporting documentation: Disposable

**TRANSFER TO FRC PERMITTED:**

- No
- See Disposition Instructions.
- No
- See Disposition Instructions.
- Yes

**DRAFT**

**FILE BREAK INSTRUCTIONS:**

- a. Break file when superseded by routine software updates or system is terminated.
- b. Break file according to instructions for EPA 171 - Input/Source Records.
- c. Break file when superseded.
- d. File with appropriate case files or related records. Follow file break instructions for related records.
- e. Break file when superseded or upon completion of phase in system life cycle. Bring forward active materials.

**DISPOSITION INSTRUCTIONS:**

- a. Delete when superseded by routine software program updates and quality assurance check completed or when no longer needed.
- b. Follow instructions for EPA 171A - Input/Source Records.
- c. Maintain individual records up to 20 years then delete when no longer needed.
- d. Follow disposition instructions for related record.
- e. Keep inactive materials in office up to 2 years after file break, then retire to FRC. Destroy when 15 years old.

**APPLICATION GUIDANCE:**

**REASONS FOR DISPOSITION:** ATS is used to monitor compliance with the acid rain program and ensure the 50 percent reduction in sulfur dioxide emissions mandated by law. It is EPA's official record of who holds allowances, the date of allowance transfers, the allowances transferred, and the allowances retired to offset emissions. Such information is essential to the proper functioning of the allowance trading market.

**AGENCY-WIDE GUIDANCE:** Software (item a) and data (item c) may be stored at the NCC according to NCC procedures.

**EPA SERIES NO. 549**

Related systems include the Emissions Tracking System (ETS) scheduled as EPA 550 and the Program Tracking System (PTS) scheduled as EPA 587. The National Allowance Data Base (NADB) and the Supplemental Data File (SDF) which are used to calculate allowances are scheduled as EPA 063 - Electronic Models and Expert Systems.

**PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:**

CUSTODIAL INFORMATION:

**CONTROLLING UNIT:**

**Name:** Air and Radiation, Office of Atmospheric Programs

**Location:** Judiciary Square

**Inclusive Dates:** 1993-

**Volume on Hand (Feet):**

**Annual Accumulation:**  
(feet or inches)

**CONTACT POINT:**

**Name:** Alexander Salpeter

**Mail Code:** 6204J

**Telephone:** 202-564-9157

**Office:** Acid Rain Division

**Room:** 4307

**DRAFT**

CONTROL INFORMATION:

**RELATED ITEMS:** EPA 063, EPA 171, EPA 550, EPA 587

**PREVIOUSLY APPROVED BY  
NARA SCHEDULE NOS:**

<b>Approval Date EPA</b>	<b>Approval Date NARA</b>	<b>Entry Date</b>	<b>Last Modified</b>
9/24/98		8/22/95	9/19/99

DRAFT OF 9/8/98

U.S. EPA RECORDS CONTROL SCHEDULE

2) **SERIES TITLE:** Emissions Tracking System (ETS)

**PROGRAM:** Air

**EPA SERIES NO:** 550A

**AGENCY FILE CODE:** AIRP 550

**NARA SCHEDULE NO.** Pending  
(Use this number to retire records to the FRC)

DRAFT

**APPLICABILITY:** Agency-wide

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** The Emissions Tracking System (ETS) is a computer-based information system used to track the sulfur dioxide, carbon dioxide, and nitrogen oxides emissions from approximately 2,300 existing utilities and all future utilities under the acid rain program. Owners and operators of utilities must install a Continuous Emissions Monitoring System (CEMS) and send the collected data electronically to EPA on a quarterly basis. Hard copy compliance certifications for each quarterly report signed by the utility's representative are also submitted. Data are compared with allowance holdings to ensure the utility is in compliance with the program.

**ARRANGEMENT:**

**TYPE OF RECORDS:**  
Reports, printouts, data files

**SPECIFIC RESTRICTIONS:**

**MEDIUM:**  
Electronic, paper, forms

**VITAL RECORD:**  
No

**FUNCTIONS SUPPORTED:**  
Compliance activities

**SPECIFIC LEGAL REQUIREMENTS:**  
1990 Clean Air Act Amendments, Section 412  
40 CFR 75

EPA SERIES NO. 550A

**DISPOSITION INFORMATION:**

**FINAL DISPOSITION:**

a. Electronic software system: Disposable

b. Input:

c. Electronic data: Permanent

d. Output and Reports:

e. Supporting documentation:  
~~XXXXXXXXXX~~

**TRANSFER TO FRC PERMITTED:**

No

See Disposition Instructions.

No

See Disposition Instructions.

Yes

DRAFT

**FILE BREAK INSTRUCTIONS:**

a. Break file when superseded by routine software updates or system is terminated, or no longer needed.

b. Break file according to instructions for EPA 171A - Input/Source Records.

c. Break file when superseded.

d. File with appropriate case files or related records. Follow file break instructions for related records.

e. Break file when superseded or upon completion of phase in system life cycle. Bring forward active materials.

**DISPOSITION INSTRUCTIONS:**

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

b. Follow ~~disposition~~ instructions for EPA 171A - Input/Source Records.

c. Transfer an ASCII or EBCDIC flat file as specified in 36 CFR 1228.188<sup>270</sup> annually to the National Archives.

d. Follow disposition instructions for related record.

e. Transfer those records necessary to document how the system captures, manipulates, and outputs data to the National Archives as specified in 36 CFR 1228.188. This documentation would be transferred along with the electronic data flat file (item c).

**APPLICATION GUIDANCE:**

**REASONS FOR DISPOSITION:** ETS is used to monitor compliance with the acid rain program and ensure reductions in sulfur dioxide, nitrogen oxides, and carbon dioxide emissions mandated by law. It also serves as a repository of emissions data for the utility industry. The data may help states design programs for compliance with the National Ambient Air Quality Standards (NAAQS) provisions of the Clean Air Act for sulfur dioxide, ozone, and particulate matter. The carbon dioxide data will also provide a valuable database for assessing the nation's progress in stabilizing greenhouse gases.

**AGENCY-WIDE GUIDANCE:** Software (item a) and data (item c) may be stored at the NCC according to NCC procedures.

Related systems include the Allowances Tracking System (ATS) scheduled as EPA 549A and the Program Tracking System (PTS) scheduled as EPA 587A.

**PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:**

EPA SERIES NO. 550A

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

Name: Air and Radiation  
Location: Judiciary Square  
Inclusive Dates: 1993-  
Volume on Hand (Feet):  
Annual Accumulation:  
(feet or inches)

CONTACT POINT:

Name: Michele Wockenfuss  
Mail Code: 6204J  
Telephone: 202-564-9103  
Office: Acid Rain Division  
Room: 4405F

DRAFT

CONTROL INFORMATION:

RELATED ITEMS: EPA 171A, EPA 549A, EPA 587A

PREVIOUSLY APPROVED BY  
NARA SCHEDULE NOS:

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Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		8/22/95	9/8/98

DRAFT OF 8/24/98

U.S. EPA RECORDS CONTROL SCHEDULE

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3) **SERIES TITLE:** Program Tracking System (PTS)

**PROGRAM:** Air

**EPA SERIES NO:** 587A

**AGENCY FILE CODE:** AIRP 587

**NARA SCHEDULE NO.** Pending  
(Use this number to retire records to the FRC)

**APPLICABILITY:** Agency-wide

IDENTIFYING INFORMATION:

**DESCRIPTION:** The Program Tracking System (PTS) includes programmatic information on acid rain such as tracking data, utility reporting data, operating status, dispatch system information, quality assurance information as well as information captured from emissions monitoring plans.

**ARRANGEMENT:** Not applicable.

**TYPE OF RECORDS:**  
Reports, printouts, data files

**SPECIFIC RESTRICTIONS:**

**MEDIUM:**  
Electronic, paper

**VITAL RECORD:**  
No

**FUNCTIONS SUPPORTED:**  
Compliance activities

**SPECIFIC LEGAL REQUIREMENTS:**  
Clean Air Act, as amended  
40 CFR 75

Withdrawn  
5-2-00  
YKW

**EPA SERIES NO. 587A**

DRAFT

DISPOSITION INFORMATION:

**FINAL DISPOSITION:**

**TRANSFER TO FRC PERMITTED:**

- |   |                               |
|---|-------------------------------|
| a. Electronic software systems:<br>Disposable | No                            |
| b. Input:                                     | See Disposition Instructions. |
| c. Electronic data: Disposable                | No                            |
| d. Output and reports:                        | See Disposition Instructions. |
| e. Supporting documentation:<br>Disposable    | Yes                           |

**FILE BREAK INSTRUCTIONS:**

- a. Break file when superseded by routine software updates or system is terminated, or when no longer needed.
- b. Break file according to instructions for EPA 171A - Input-Source Records.
- c. Break file when superseded.
- d. File with appropriate case files or related records. Follow file break instructions for related records.
- e. Break file when superseded or upon completion of phase in system life cycle. Bring forward active materials.

**DISPOSITION INSTRUCTIONS:**

- a. Delete when superseded by routine software program updates and quality assurance check completed, or when no longer needed.
- b. Follow ~~disposition~~ instructions for EPA 171A - Input/Source Records.
- c. Maintain individual records up to 20 years, then delete when no longer needed.
- d. Follow instructions for related records.
- e. Keep inactive materials in office up to 2 years after file break, then retire to FRC. Destroy when 15 years old.

APPLICATION GUIDANCE:

**REASONS FOR DISPOSITION:** PTS is used to monitor compliance documentation submitted pursuant to the requirements of the Clean Air Act, as amended.

**AGENCY-WIDE GUIDANCE:** Software (item a) and data (item c) may be stored at the NCC according to NCC procedures.

Related systems include the Allowance Tracking System (ATS) scheduled as EPA 549A and the Emissions Tracking System (ETS) scheduled as EPA 550A.

**PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:**

EPA SERIES NO. 587A

DRAFT

CUSTODIAL INFORMATION:

**CONTROLLING UNIT:**

**Name:** Air and Radiation, Office  
of Atmospheric Programs

**Location:** Judiciary Square

**Inclusive Dates:**

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(feet or inches)

CONTROL INFORMATION:

**RELATED ITEMS:** EPA 171A, EPA 549A, EPA 550A

**PREVIOUSLY APPROVED BY**  
**NARA SCHEDULE NOS:**

**CONTACT POINT:**

**Name:** Kirk Nabors

**Mail Code:** 6204J

**Telephone:** 202-564-9171

**Office:** Acid Rain Division

**Room:**

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		4/1/97	8/24/98