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EPA Records Schedule 235

Status: Final, 10/31/2009

Title: Compliance Activity Tracking System (CATS)

Program: Pesticides

Applicability: Region 4

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.

- N1-412-00-3

Description:

The Compliance Activity Tracking System (CATS) is a program used to track routine, for cause, and secondary inspections on the state level; track data pertinent to case development; and generate report forms such as the 5700-33H. The states may enter and keep track of all inspections made, samples taken, cases developed and enforcement actions imposed. All data can be stored and reviewed at the user's discretion. The state agencies are able to send all data pertaining to their inspections, as well as apply to the region for federal grants. Through CATS the states can reference inspections made in other states that may pertain to inspections in their own. In addition, each state has a state-specific database, unique to each state, which can be used to track compliance and enforcement actions not covered by the cooperative agreement. A cumulative master data base of information, including site name, product name, action type, inspection type, product name, active ingredients, and responsible parties for cases in all states is kept in the regional system.

Disposition Instructions:

Item a: Electronic software program

- **Disposable**
- Destroy when no longer needed to ensure access to, and use of, the electronic records throughout their authorized retention period.

Item b: Input

- **Disposable**
- Follow instructions for EPA 171.

Item c: Electronic data

- **Permanent**
- Close every 5 years.
- Transfer closed out records to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: Output and reports

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

Item e: System documentation

- **Permanent**
- Transfer those records necessary to document how the system captures, manipulates, and outputs data to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Documentation is transferred along with the electronic data (item c).

Guidance:

Grants are scheduled as EPA 003 (except Superfund site-specific). Regional enforcement and compliance records are covered in EPA 207 and EPA 211, respectively.

Reasons for Disposition:

The following changes were made in the 06/30/2008 version:

- Revised disposition instructions for item a.
- Deleted annual transfer for disposition item c since records are closed out every 5 years.
- Revised name of disposition item e.
- Updated contact information.

This system supports operations required by statute and regulations for compliance, enforcement, and grants.

Custodians:

Region 4, Air, Pesticides and Toxics Division, Pesticides and Toxic Substances Branch

- **Contact:** Richard Corbett
- **Telephone:** 404-562-9008

Related Schedules:

EPA 003, EPA 171, EPA 207, EPA 211

Previous NARA Disposal Authority:

Entry: 10/06/1994

EPA Approval: 04/28/1995

NARA Approval: 07/06/2000