

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>N1-412-07-36</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>1-9-2007</i>	
1. FROM (Agency or establishment)  <b>U.S. Environmental Protection Agency</b>		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 Adisposition not approved or Awithdrawn in column 10.	
2. MAJOR SUBDIVISION  <b>All Programs, with exceptions</b>			
3. MINOR SUBDIVISION  <b>Regions</b>			
4. NAME OF PERSON WITH WHOM TO CONFER  <b>John B. Ellis</b>	5. TELEPHONE  <b>202-566-1643</b>	DATE <i>5/16/07</i>	ARCHIVIST OF THE UNITED STATES <i>Allen Warriner</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 ___ 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,  <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>12/20/06</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>John B. Ellis</i> John B. Ellis	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 GRS OR SUPERSEDED JOB CITATION	10.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)

Administrative Records – Permits

N1-412-98-4

*21 copies sent to agency, NARA, and NARA, NR*

This schedule is in development. It may not be used to retire or destroy records. If you have any questions, please contact the Records Help Desk.

# EPA Records Schedule 210

**Status:** Development, 12/11/2006

**Title:** Administrative Records - Permits

**Program:** All Programs, with exceptions

**Applicability:** Regions

**Function:** 204-079 - Permits and Licensing

**NARA Disposal Authority:**

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

**Description:**

The administrative record is required for issuance of draft and final permits for Prevention of Significant Deterioration (PSD), Resource Conservation and Recovery Act (RCRA), National Pollutant Discharge Elimination System (NPDES), and Underground Injection Control (UIC), when EPA is the permitting authority. The record includes the permit application, draft permit or notice of intent to deny, statement of basis and documentation, the environmental impact statement (NPDES only), comments received during the public comment period, public hearing transcripts and related documentation, and the final permit.

**Disposition Instructions:**

**Item a:** Record copy - RCRA land disposal

- Disposable
- Close inactive records at issuance of administrative record. Destroy 30 years after file closure.

**Item b:** Record copy - UIC and UIC exemptions

- Disposable
- Close inactive records at issuance of administrative record. Destroy 30 years after file closure.

**Item c:** Record copy - NPDES minor permits

- Disposable
- Close inactive records at issuance of administrative record. Destroy 10 years after file closure.

**Item d:** Record copy - All other permits, including NPDES except minors, pretreatment, ocean dumping, section 404 dredging and fill, PSD, and TSCA PCB disposal

- Disposable
- Close inactive records at issuance of administrative record. Destroy 10 years after file closure.

**Guidance:**

This schedule applies to all programs except Superfund. See EPA 019 for Administrative Records - Superfund Site-Specific.

If records are duplicates of records maintained in the permitting files (EPA 205 and EPA 478), follow disposition instructions in this schedule. However, if the administrative records are the record copy of the permit documents, follow disposition instructions for the appropriate permit schedule; i.e., EPA 205 - Permit Files (All Programs except RCRA), or EPA 478 - RCRA Generators, Transporters, and TSD Facilities Files.

Administrative Records Pursuant to the Administrative Procedure Act are scheduled as EPA 294.

Drafts and working papers may be destroyed after issuance of the final permit.

Compliance Files and Enforcement Files are scheduled as EPA 211 and EPA 207, respectively. See EPA 206 for RCRA Corrective Actions.

**Reasons for Disposition:**

The disposition instructions have been rewritten in media neutral language to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention is unchanged.

Item e for electronic copies created with word processing and electronic mail applications was deleted 08/17/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Multiple units

**Related Schedules:**

EPA 019, EPA 205, EPA 206, EPA 207, EPA 211, EPA 294, EPA 478

**Previous NARA Disposal Authority:**

N1-412-98-4

**Entry:** 02/24/1992

**EPA Approval:** Pending

**NARA Approval:** Pending



# *National Archives and Records Administration*

8601 Adelphi Road College Park, Maryland 20740-6001

Date : April 24, 2007

Reply to

Attn of : Leslie Watson, NWML

Subject : Appraisal of Job No. N1-412-07-36

To : Director, NWML

The United States Environmental Protection Agency (EPA) requests authority to extend the application of the previously approved schedule to electronic records. The paper recordkeeping copies of permits and licensing documents were previously approved as temporary. The agency is preparing to implement its Enterprise Content Management System (ECMS), which will have capabilities for creating, controlling, and disposing (including transfer to the National Archives) of records. The schedule, as stated in its opening description, is media neutral so that the disposition instructions can be applied to the record copies in any format.

## **Background**

EPA's mission is to protect human health and to safeguard the natural environment (air, water, and land) upon which life depends. For 30 years, EPA has been working for a cleaner, healthier environment for the American people. EPA provides leadership in the nation's environmental science, research, education and assessment efforts. EPA works closely with other federal agencies, state and local governments, and Indian tribes to develop and enforce regulations under existing environmental laws. EPA is responsible for researching and setting national standards for a variety of environmental programs and delegates to states and tribes responsible for issuing permits, and monitoring and enforcing compliance.

## **Records**

The schedule covers records that have been previously appraised in textual format. EPA proposes to extend the disposition to electronic records maintained in ECMS. The retention standards remain the same as previously approved. The research value of the records covered by this job is not sufficiently enhanced in electronic form to warrant permanent retention. The schedule covers the following records:

- EPA 210 – Administrative Records - Permits (N1-412-98-4)

The administrative record is required for issuance of draft and final permits for Prevention of Significant Deterioration (PSD), Resource Conservation and Recovery Act (RCRA), National

Pollutant Discharge Elimination System (NPDES), and Underground Injection Control (UIC), when EPA is the permitting authority. The records include the permit application, draft permit or notice of intent to deny, statement of basis and documentation, the environmental impact statement (NPDES only), comments received during the public comment period, public hearing transcripts and related documentation, and the final permit. The primary series for permits are schedules 478 for RCRA (Resource Conservation and Recovery Act) and 205 for all other permit programs. Records covered by schedule 210 are generally a subset of documents from the permits collected for administrative or judicial review. If, for some reason, the administrative record is not made up of duplicates, the guidance in schedule 210 includes instructions to use either schedule 205 or 478 for retention purposes. Therefore, these records do not have sufficient value to warrant permanent retention and are disposable 30 years after the files have been closed for RCRA land disposal and UIC and UIC exemptions. NPDES minor permits and all other permits are disposable 10 years after the files have been closed.

### **Media Neutrality**

EPA is in the process of implementing its Enterprise Content Management System (ECMS). EPA plans to begin implementing ECMS in FY 07. The first stage of implementation involves capturing e-mail in the system. The capture of all other types of records is scheduled to begin in FY 08. This later phase will include electronic records other than e-mail and textual records scanned into the system.

EPA is using Documentum records storage software for ECMS. To help manage ECMS records, EPA is mapping the electronic records to its new EPA File Structure, based on OMB's business reference model. The file structure in turn is tied to the agency's records schedules, which will enable the agency to apply any schedule changes to the associated records in ECMS

EPA recognizes that some paper and nontextual records will not be entered into ECMS electronically. EPA will track such records through metadata entered into the system. In other words, ECMS will manage not only electronic records, but also paper and nontextual records maintained physically outside the system. The EPA records officer has stated that the proposed records management software for ECMS will be compliant with DOD 5015.2.

### **Conclusion**

The retention periods for these records meet the operational and administrative needs of the agency and are sufficient to ensure government accountability, and protect the legal rights of the citizen. The research value of the records covered by this job is not sufficiently enhanced in electronic form to warrant permanent retention. NARA stakeholder reviewing units have concurred with the recommended disposition instructions. I recommend approval of this records schedule.



LESLIE WATSON  
Life Cycle Management Division, WG3