

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>NI-412-07-68</i>	
To NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>8/1/2007</i>	
1 FROM (Agency or establishment)  U.S. Environmental Protection Agency		<b>NOTIFICATION TO AGENCY</b>  In accordance with the provisions of 44 USC 3303a, the disposition request, including amendments, is approved except for items that may be marked A disposition not approved or A withdrawn in column 10	
2 MAJOR SUBDIVISION  Office of the Administrator			
3 MINOR SUBDIVISION  Agency-wide and Headquarters			
4 NAME OF PERSON WITH WHOM TO CONFER  John B. Ellis	5 TELEPHONE  202-566-1643	DATE <i>1-13-09</i>	ARCHIVIST OF THE UNITED STATES <i>Adrienne Thomas</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>41</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,  <input checked="" type="checkbox"/> is not required, <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested			
DATE <i>7/26/07</i>	SIGNATURE OF AGENCY REPRESENTATIVE John B. Ellis <i>John B. Ellis</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7 Item No	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
ADMINISTRATIVE LAW JUDGES			
1	EPA 508 Administrative Law Judge's Case Files	NC1-412-85-2/5	
2	EPA 509 Administrative Law Judge's Case File Index	NC1-412-85-2/6	
3	EPA 510 Administrative Law Judge's Repository File	NC1-412-85-2/7	
ADMINISTRATOR AND DEPUTY ADMINISTRATOR			
4	EPA 519 Federal register Documents Signed by the Administrator or the Deputy Administrator	NC1-412-85-11/4	
CIVIL RIGHTS			
5	EPA 497 Discrimination Complaints - External	N1-412-03-21	
CONGRESSIONAL AND INTERGOVERNMENTAL RELATIONS			
6	EPA 525 Congressional Committees File	N1-412-87-2/7	

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (continued)		JOB NUMBER	
	CONGRESSIONAL AND INTERGOVERNMENTAL RELATIONS (Cont'd)		
7.	EPA 526 State Territories and Interstate Group File	N1-412-87-2/8	
8.	EPA 527 Grants File- Congressional Data Transfer	N1-412-87-2/9	
9.	EPA 528 Legislative History File	N1-412-87-2/12	
10.	EPA 529 Agency Proposed Legislation File	N1-412-87-2/13	
11.	EPA 530 Weekly Legislative Reports	N1-412-87-2/14	
12.	EPA 531 Enrolled Bill Reports	N1-412-87-2/15	
13.	EPA 532 EPA Congressional Hearing Testimony	N1-412-87-2/16	
	PUBLIC AFFIARS		
14.	EPA 081 Public Awareness Files	N1-412-94-2/13	
15.	EPA 536 Public Affairs Project Files	N1-412-87-5/14	
	Policy, Economics, and Innovation		
16.	EPA 190 Program Policy Planning File	N1-412-87-4/12	
17.	EPA 192 Program and Program Activity Evaluation Work Files	N1-412-87-4/17	
18.	EPA 193 Program and Program Activity Evaluation Reports	N1-412-87-4/18	
19.	EPA 194 Annual Headquarters Operating Guidance Paper and Regional Guidance Plan	N1-412-87-4/19	
20.	EPA 195 Agency Program Plans Review Files	N1-412-87-4/21	

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

# EPA Records Schedule 081

**Status:** Draft, 01/31/2008

**Title:** Public Awareness Files

**Program:** Public Affairs

**Applicability:** Agency-wide

**Function:** 305-109-02-04 - Provide Public Information, Education and Outreach

## **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.

- N1-412-07-68/14

## **Description:**

Includes records used to produce outreach materials for the public or Congress produced by program and regional offices. 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.

## **Disposition Instructions:**

### **Item a(1):** Official dissemination products - Nonelectronic

Includes documents posted to EPA's Internet News Room by Headquarters and Regional Offices of Public Affairs, including press or news releases, fact sheets, and related documents.

- **Permanent**
- Close inactive records at end of year.
- Transfer to the National Archives 10 years after file closure.

### **Item a(2):** Official dissemination products - Electronic

Includes documents posted to EPA's Internet News Room by Headquarters and Regional Offices of Public Affairs, including press or news releases, fact sheets, and related documents.

- **Permanent**
- Close inactive records at end of year.
- Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids as specified in 36 CFR 1228.270 or standards applicable at the time.

**Item a(3):** Official dissemination products - Electronic copy of records transferred to the National Archives

Includes documents posted to EPA's Internet News Room by Headquarters and Regional Offices of Public Affairs, including press or news releases, fact sheets, and related documents.

~~• Disposable~~ *Temp*

- Close file upon transfer to the National Archives.
- Delete after electronic record copy is successfully transferred to the National Archives.

**Item b:** Background or working papers

~~• Disposable~~ *Temp*

- Close inactive records at end of year.
- Destroy 3 years after file closure.

#### **Guidance:**

Staff in the Headquarters Office of Public Affairs electronically distributes the final release and ensures its inclusion in the EPA newsroom database covered by EPA 537.

The retention applies to records produced for or by the headquarters Office of 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 Public Affairs, see EPA 250. Reports to Congress are addressed in EPA 155 and EPA 309 for information requests and acknowledgments. See EPA 258 for final deliverables and reports. See EPA 535 for public printer files and EPA 254 for communication and distribution strategy files.

Copies incorporated into other files (e.g., briefing books) are to be retained according to the disposition instructions for the records they support. Distribution copies are non-record materials and covered by EPA 008.

**Reasons for Disposition:**

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

The following changes were made in the 01/31/2008 version:

- Divided item a into three subitems, a(1)-(3).
- Revised the titles of disposition items a(1)-(3).
- Revised the disposition instruction for item a(3).

Item c for electronic copies created with word processing and electronic mail applications was deleted 08/15/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Multiple units

**Related Schedules:**

EPA 008, EPA 155, EPA 250, EPA 254, EPA 258, EPA 309, EPA 535, EPA 537

**Previous NARA Disposal Authority:**

NC-412-75-9/12, NC1-412-76-1/I/7 and 8, NC1-412-83-1/III/9, NC1-412-85-19/5 and 6,  
N1-412-87-5/8, N1-412-94-2/13

**Entry:** 06/08/1992

**EPA Approval:** 07/26/2007

**NARA Approval:** Pending

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

# EPA Records Schedule 190

**Status:** Draft, 01/31/2008

**Title:** Program Policy Planning File

**Program:** Policy, Economics, and Innovation

**Applicability:** Headquarters

**Function:** 304-104-02 - Program Planning/Design

## **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.

- N1-412-07-68/16

## **Description:**

File contains the documents relating to the work and output of the office. Program activities include formulating policies and plans in areas which cross-cut program functions, and developing and analyzing key policy and legislative issues. Records consist of correspondence and reports on energy situations and impact on environmental programs, comments on pending and proposed legislation, issue papers on construction grants program, copies of regulations, speeches, testimony for congressional hearings, investigation and project reports.

## **Disposition Instructions:**

### **Item a(1):** Record copy - Nonelectronic

- **Permanent**
- Close inactive records at end of year.
- Transfer to the National Archives in 5 year blocks 20 years after file closure.

### **Item a(2):** Record copy - Electronic

- **Permanent**
- Close inactive records at end of year.
- Transfer to the National Archives 5 years after file closure, with any related documentation and

external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time.

**Item a(3):** Electronic copy of records transferred to the National Archives.

• ~~Disposable~~ *Temp*

- Close file upon transfer to the National Archives.
- Delete after electronic record copy is successfully transferred to the National Archives.

**Guidance:**

**Reasons for Disposition:**

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

The following changes were made in the 01/31/2008 version:

- Divided item a into three subitems, a(1)-(3).
- Revised the titles of disposition items a(1)-(3).
- Revised the disposition instructions for item a(3).

Item b for electronic copies created with word processing and electronic mail applications was deleted 08/16/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of the Administrator, Office of Policy, Economics, and Innovation

- **Contact:**
- **Telephone:**

**Related Schedules:**

**Previous NARA Disposal Authority:**

N1-412-87-4/12

**Entry:** 02/26/1992

**EPA Approval:** 07/26/2007

**NARA Approval:** Pending

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 192

**Status:** Development, 07/31/2007

**Title:** Program and Program Activity Evaluation Work Files

**Program:** Policy, Economics, and Innovation

**Applicability:** Headquarters

**Function:** 301-092 - Program Evaluation

### 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:

Contains documents pertaining to the review and analysis of and reports on EPA programs and program group activities. Records consist of request to make study, samples of program group documents, interview and investigation notes, program group's handbooks and reports, review summary notes, draft of evaluation report.

### Disposition Instructions:

**Item a:** Record copy

~~• Disposable~~ *Temp*

- Close inactive records upon completion of report.
- Destroy 1 year after file closure.

### Guidance:

Final reports are scheduled as EPA 193.

### Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item b for electronic copies created with word processing and electronic mail applications was deleted 08/16/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of the Administrator, Office of Policy, Economics, and Innovation

- **Contact:**
- **Telephone:**

**Related Schedules:**

EPA 193

**Previous NARA Disposal Authority:**

N1-412-87-4/17

**Entry:** 02/26/1992

**EPA Approval:** Pending

**NARA Approval:** Pending

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 193

**Status:** Development, 07/31/2007

**Title:** Program and Program Activity Evaluation Reports

**Program:** Policy, Economics, and Innovation

**Applicability:** Headquarters

**Function:** 301-092 - Program Evaluation

## 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:

Contains final reports resulting from the study and analysis of EPA programs and program activities.

## Disposition Instructions:

**Item a:** Record copy

~~• Disposable~~ *Temp*

- Close inactive records upon completion of report.
- Destroy 5 years after file closure.

## Guidance:

Working papers are scheduled as EPA 192.

## Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item b for electronic copies created with word processing and electronic mail applications was deleted 08/16/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of the Administrator, Office of Policy, Economics, and Innovation

- **Contact:**
- **Telephone:**

**Related Schedules:**

EPA 192

**Previous NARA Disposal Authority:**

N1-412-87-4/18

**Entry:** 02/27/1992

**EPA Approval:** Pending

**NARA Approval:** Pending

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

# EPA Records Schedule 194

**Status:** Draft, 01/31/2008

**Title:** Annual Headquarters Operating Guidance Paper and Regional Guidance Plan

**Program:** Policy, Economics, and Innovation

**Applicability:** Headquarters

**Function:** 301-093 - Program Monitoring

**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.

- N1-412-07-68/19

## **Description:**

Consists of the overall plan covering the objectives of the Agency, the priority and strategy for their attainment, the group assigned task responsibility, and the anticipated date of completion. Plan represents the prime product of the Management by Objective process, and the collective strategy studies for implementing environmental legislation. Separate write-ups are made for Headquarters and Regions.

## **Disposition Instructions:**

**Item a(1):** Record copy - Nonelectronic

- **Permanent**
- Close inactive records upon completion of plan.
- Transfer to the National Archives in 5 year blocks 20 years after file closure.

**Item a(2):** Record copy - Electronic

- **Permanent**
- Close inactive records upon completion of plan.
- Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time.

**Item a(3):** Electronic copy of records transferred to the National Archives

- ~~Disposable~~ *Temp*
- Close file upon transfer to the National Archives.
- Delete after electronic record copy is successfully transferred to the National Archives.

**Guidance:**

Disposition is for the record copy maintained in the Office of Policy, Economics, and Innovation at Headquarters. Copies of these records maintained by submitting offices are to be maintained as part of their program development files covered by EPA 145. All other copies can be destroyed when no longer needed. Agency program plans review files are scheduled as EPA 195.

**Reasons for Disposition:**

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

The following changes were made in the 01/31/2008 version:

- Divided item a into three subitems, a(1)-(3).
- Revised titles of disposition items a(1)-(3).
- Revised the disposition instruction for item a(3).

Item b for electronic copies created with word processing and electronic mail applications was deleted 08/16/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of the Administrator, Office of Policy, Economics, and Innovation

- **Contact:**
- **Telephone:**

**Related Schedules:**

EPA 145, EPA 195

**Previous NARA Disposal Authority:**

N1-412-87-4/19

**Entry:** 02/27/1992

**EPA Approval:** 07/26/2007

**NARA Approval:** Pending

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 195

**Status:** Development, 07/31/2007

**Title:** Agency Program Plans Review Files

**Program:** Policy, Economics, and Innovation

**Applicability:** Headquarters

**Function:** 301-093 - Program Monitoring

**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:

Contains record copies of headquarters and regional office program plans/goals and requests for changes to the plans. Plans show status of each Agency program objectives for coming fiscal year. Records consist of copy of program plan, change request, evaluation of plans, and correspondence and other related supporting papers. Also, includes regional guidance reports and revisions.

## Disposition Instructions:

**Item a:** Record copy

~~Disposible~~ Temp

- Close inactive records at end of fiscal year.
- Destroy 10 years after file closure.

## Guidance:

This disposition applies to the record copies of reports maintained in the Office of Policy, Economics, and Innovation at Headquarters. Copies of these records maintained by submitting offices are retained as part of their program management files, covered by EPA 006. All other copies should be destroyed when no longer needed. The annual headquarters operating guidance paper and regional guidance plan is covered by EPA 194.

## Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item b for electronic copies created with word processing and electronic mail applications was deleted 08/16/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of the Administrator, Office of Policy, Economics, and Innovation

- **Contact:**
- **Telephone:**

**Related Schedules:**

EPA 006, EPA 194

**Previous NARA Disposal Authority:**

NC1-412-77-3/1, N1-412-87-4/21

**Entry:** 02/27/1992

**EPA Approval:** Pending

**NARA Approval:** Pending

**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 497

**Status:** Development, 07/31/2007

**Title:** Discrimination Complaints - External

**Program:** Civil Rights

**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). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

### **Description:**

Records relate to the civil rights violations filed by individuals or groups who allege that their civil rights have been violated by EPA-funded entities. The records include complaints, correspondence, reports, exhibits, notices, depositions, transcripts, and other related documents.

### **Disposition Instructions:**

**Item a:** Record copy

~~• Disposable~~ *Temp*

- Close inactive records when final decision is written.
- Destroy 10 years after file closure.

### **Guidance:**

Environmental Appeals Board case files are covered under EPA 083.

Legal citations include:

- Civil Rights Act of 1964, as amended, 42 U.S.C. Sec. 2000d et seq.
- Rehabilitation Act of 1973, as amended, Sec. 504
- Federal Water Pollution Control Act Amendments of 1972
- 40 CFR Part 7

**Reasons for Disposition:**

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item b for electronic copies created with word processing and electronic mail applications deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Multiple units

**Related Schedules:**

EPA 083

**Previous NARA Disposal Authority:**

N1-412-03-21

**Entry:** 03/26/1997

**EPA Approval:** Pending

**NARA Approval:** Pending

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

# EPA Records Schedule 508

**Status:** Draft, 01/31/2008

**Title:** Administrative Law Judge's Case Files

**Program:** Administrative Law Judge

**Applicability:** Agency-wide

**Function:** 317-260 - Mission Program Support

## 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.

- N1-412-07-68/1

## Description:

Includes case records relating to formal adjudications before the Administrative Law Judge, under the Administrative Procedure Act. Cases consist of hearings concerning various environmental legislation including the Federal Water Pollution Control Act, the Federal Insecticide, Fungicide, and Rodenticide Act, NPDES permits, Civil Penalty cases, and others. Records consist of administrative documents arranging hearings, public notices of hearings, prehearing transcripts, orders, transcripts of hearings, all exhibits entered, and other related records.

## Disposition Instructions:

**Item a(1):** Record copy of routine cases

~~• Disposable~~ *Temp*

- Close inactive records upon completion or termination of case.
- Destroy 20 years after file closure.

**Item a(2)(a):** Record copy of landmark cases - Nonelectronic

- **Permanent**
- Close inactive records upon completion or termination of case.
- Transfer to the National Archives 20 years after file closure.

**Item a(2)(b):** Record copy of landmark cases - Electronic

- **Permanent**
- Close inactive records upon completion or termination of case.
- Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time.

**Item a(2)(c):** Record copy of landmark cases - Electronic copy of records transferred to the National Archives

~~• Disposable~~ *Temp*

- Close file upon transfer to the National Archives.
- Delete after electronic record copy is successfully transferred to the National Archives.

**Item b(1):** All other copies of routine cases

~~• Disposable~~ *Temp*

- Close inactive records upon completion or termination of case.
- Destroy 5 years after file closure.

**Item b(2):** All other copies of landmark cases

~~• Disposable~~ *Temp*

- Close inactive records upon completion or termination of case.
- Destroy 10 years after file closure.

**Guidance:**

Landmark cases include cases resulting in a legal precedent which establishes or affirms Agency policy with respect to environmental actions of national importance, such as the banning of a hazardous substance or other actions affecting EPA's relationship with an entire industry or a major pollution source. These cases will usually have been adjudicated by a Federal appellate court.

The Administrative Law Judge's case file index is scheduled as EPA 509. A copy of the index is to be sent to the National Archives along with the landmark cases (item a(2)). The repository file is scheduled as EPA 510. Regional Presiding Officer case files, formerly covered by EPA 231, have been combined with item a(2) of this schedule.

**Reasons for Disposition:**

The disposition instructions have been rewritten as media neutral to allow for maintaining the record

copy in EPA's electronic recordkeeping system. The retention has not changed.

The following changes were made in the 01/31/2008 version:

- Divided item a into three subitems, a(2)(a)-(c).
- Revised the titles of disposition items a(2)(a)-(c).
- Revised the disposition instruction for item a(2)(c).

Item c for electronic copies created with word processing and electronic mail applications deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of the Administrator, Administrative Law Judges

- **Contact:**
- **Telephone:**

**Related Schedules:**

EPA 509, EPA 510

**Previous NARA Disposal Authority:**

NC1-412-76-1/IV/6 (TN28/D4/6), NC1-412-77-2/1, NC1-412-85-20/8, NC1-412-85-2/5

**Entry:** 06/16/1993

**EPA Approval:** 07/26/2007

**NARA Approval:** Pending

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

## EPA Records Schedule 509

**Status:** Draft, 01/31/2008

**Title:** Administrative Law Judge's Case File Index

**Program:** Administrative Law Judge

**Applicability:** Agency-wide

**Function:** 317-260 - Mission Program Support

### **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.

- N1-412-07-68/2

### **Description:**

Consists of index of case records of the Administrative Law Judges.

### **Disposition Instructions:**

**Item a(1):** Record copy - Nonelectronic

- **Permanent**
- Transfer to the National Archives with the landmark case files 20 years after file closure.

**Item a(2):** Record copy - Electronic

- **Permanent**
- Transfer to the National Archives with the landmark case files 5 years after file closure, as specified in 36 CFR 1228.270 or standards applicable at the time.

**Item a(3):** Electronic copy of records transferred to the National Archives

~~• Disposable~~ *Temp*

- Close file upon transfer to the National Archives.
- Delete after electronic record copy is successfully transferred to the National Archives.

**Guidance:**

Administrative Law Judge's case files are scheduled as EPA 508. See EPA 510 for the repository file.

A copy of the index is sent to the National Archives along with landmark cases covered in EPA 508, item a(2).

**Reasons for Disposition:**

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

The following changes were made in the 01/31/2008 version:

- Divided item a into three subitems, a(1)-(3).
- Revised the titles of disposition items a(1)-(3).
- Revised the disposition instruction for item a(3).

**Custodians:**

Office of the Administrator, Administrative Law Judge

- **Contact:**
- **Telephone:**

**Related Schedules:**

EPA 508, EPA 510

**Previous NARA Disposal Authority:**

NC1-412-77-2/2, NC1-412-85-2/6

**Entry:** 06/16/1993

**EPA Approval:** 07/26/2007

**NARA Approval:** Pending

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 510

**Status:** Development, 07/31/2007

**Title:** Administrative Law Judge's Repository File

**Program:** Administrative Law Judge

**Applicability:** Agency-wide

**Function:** 317-260 - Mission Program Support

### 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:

Consists of copies of background documents to case files submitted by witnesses or other parties that are not part of the official case record.

### Disposition Instructions:

**Item a:** Record copy

~~• Disposable~~ Temp

- Close inactive records upon completion or termination of case.
- Return to submitting party after file closure.

### Guidance:

Administrative Law Judge's case files are scheduled as EPA 508 and the case file index as EPA 509.

### Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item b for electronic copies created with word processing and electronic mail applications deleted

08/22/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of the Administrator, Administrative Law Judge

- **Contact:**
- **Telephone:**

**Related Schedules:**

EPA 508, EPA 509

**Previous NARA Disposal Authority:**

NC1-412-77-2/3, NC1-412-85-2/7

**Entry:** 06/16/1993

**EPA Approval:** Pending

**NARA Approval:** Pending

**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 519

**Status:** Development, 07/31/2007

**Title:** Federal Register Documents Signed by the Administrator or the Deputy Administrator

**Program:** Administrator and Deputy Administrator

**Applicability:** Headquarters

**Function:** 306-115 - Rule Publication

## **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:**

Includes copies of correspondence and memoranda to and from top officials of the EPA and the Administrator and Deputy Administrator relating to authorizing signing of notices for publication in the Federal Register. Includes control sheets indicating authorizations of signature or signature pen, signatures, and supporting documents.

Excludes: Federal Register documents not signed by the Administrator or Deputy Administrator scheduled as EPA 356.

## **Disposition Instructions:**

**Item a:** Record copy

• ~~Disposable~~ *Temp*

- Close inactive records at end of year.
- Destroy 7 years after file closure.

## **Guidance:**

Copies of these documents incorporated into other files are to be retained according to the instructions for the records they support.

Federal Register notices published by other offices are covered in EPA 356.

**Reasons for Disposition:**

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item b for electronic copies created with word processing and electronic mail applications deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of the Administrator, Executive Secretariat

- **Contact:** Patricia Porter
- **Telephone:** 202-564-7949

**Related Schedules:**

EPA 356

**Previous NARA Disposal Authority:**

NC1-412-78-6/4, NC1-412-85-11/4

**Entry:** 07/09/1993

**EPA Approval:** Pending

**NARA Approval:** Pending

**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 525

**Status:** Development, 07/31/2007

**Title:** Congressional Committees File

**Program:** Congressional and Intergovernmental Relations

**Applicability:** Headquarters

**Function:** 303-097 - Legislative Tracking

### **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:**

Contains documents and data relating to the makeup, character, status, mission, and activities of Congressional committees. Records consist of membership and staff lists, operational descriptions, statements made to committees, summary of actions, schedules, hearing reports, press releases, legislative calendars, and responses to committee requests.

Excludes: EPA testimony to Congress scheduled as EPA 532 for the Office of Congressional and Intergovernmental Relations and EPA 140 for other offices.

### **Disposition Instructions:**

**Item a:** Record copy

~~• Disposable~~ *Temp*

- Close inactive records at the end of Congressional session.
- Destroy 2 years after file closure.

### **Guidance:**

Copies of EPA testimony to Congress maintained by the Office of Congressional and Intergovernmental Relations is covered by EPA 532. The office originating the testimony is responsible for maintaining it in accordance with EPA 140.

**Reasons for Disposition:**

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item b for electronic copies created with word processing and electronic mail applications deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of the Administrator, Office of Congressional and Intergovernmental Relations

- **Contact:**
- **Telephone:**

**Related Schedules:**

EPA 140, EPA 532

**Previous NARA Disposal Authority:**

NC-412-75-10/2, N1-412-87-2/7

**Entry:** 07/14/1993

**EPA Approval:** Pending

**NARA Approval:** Pending

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 526

**Status:** Development, 07/31/2007

**Title:** State Territories and Interstate Group File

**Program:** Congressional and Intergovernmental Relations

**Applicability:** Headquarters

**Function:** 303-099 - Proposal Development

### 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:

Contains documents and data relating to environmental improvement and pollution control by states and state combines. Records consist of lists and descriptions of political leaders, reports on participation in EPA programs, EPA regional reports and evaluations, extracts from the Congressional Record, special studies and reports, news clips, state legislative activity reports, and reports on and by special commissions and citizen groups.

### Disposition Instructions:

**Item a:** Record copy

~~• Disposable~~ Temp

- Close inactive records at end of year.
- Destroy 2 years after file closure.

### Guidance:

#### Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item b for electronic copies created with word processing and electronic mail applications deleted

08/22/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of the Administrator, Office of Congressional and Intergovernmental Relations

- **Contact:**
- **Telephone:**

**Related Schedules:**

**Previous NARA Disposal Authority:**

NC-412-75-10/3, N1-412-87-2/8

**Entry:** 07/14/1993

**EPA Approval:** Pending

**NARA Approval:** Pending

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

## **EPA Records Schedule 527**

**Status:** Draft, 01/31/2008

**Title:** Grants File - Congressional Data Transfer

**Program:** Congressional and Intergovernmental Relations

**Applicability:** Headquarters

**Function:** 303-100 - Congressional Liaison Operations

### **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.

- N1-412-07-68/8

### **Description:**

Contains documentation and data relating to EPA grants made to states, municipalities, counties, interstate groups, and institutions within states. Records consist of notification of grant awards, notification of grant increases, letters to Congressmen about grant awards or increases, letters from Congressmen and state officials regarding release of funds or system of allotting funds, news clips, extracts from the Congressional Record, and summary of grant payments.

### **Disposition Instructions:**

#### **Item a(1): Record copy - Nonelectronic**

- **Permanent**
- Close inactive records at end of year.
- Transfer to the National Archives 20 years after file closure.

#### **Item a(2): Record copy - Electronic**

- **Permanent**
- Close inactive records at end of year.
- Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228 or standards applicable at the time.

**Item a(3):** Electronic copy of records transferred to the National Archives

~~• Disposable~~ *Temp*

- Close file upon transfer to the National Archives.
- Delete after electronic record copy is successfully transferred to the National Archives.

**Guidance:****Reasons for Disposition:**

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

The following changes were made in the 01/31/2008 version:

- Divided item a into three subitems, a(1)-(3).
- Revised the titles of disposition items a(1)-(3).
- Revised the disposition instruction for item a(3).

Item b for electronic copies created with word processing and electronic mail applications deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of the Administrator, Office of Congressional and Intergovernmental Relations

- **Contact:**
- **Telephone:**

**Related Schedules:****Previous NARA Disposal Authority:**

NC-412-75-10/4, N1-412-87-2/9

**Entry:** 07/14/1993

**EPA Approval:** 07/26/2007

**NARA Approval:** Pending

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

## EPA Records Schedule 528

**Status:** Draft, 01/31/2008

**Title:** Legislative History File

**Program:** Congressional and Intergovernmental Relations

**Applicability:** Headquarters

**Function:** 303-097 - Legislative Tracking

### **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.

- N1-412-07-68/9

### **Description:**

Contains documents and data relating to environmental and applied type legislation for which Congress or Office of Management and Budget (OMB) requests information and/or position statements from EPA. Documents also concern legislation formulated, developed, sponsored, and/or promoted by EPA. Records consist of requests from Congress/OMB for information, EPA statements and comments, bills, acts, clips from the Congressional Record, news clips, bill comparisons, copies of related and companion bills, committee reports, international and interagency notes, and memos. File also used for maintaining original or record copies of testimony provided by EPA at congressional hearings and EPA reports on enrolled bills (report to OMB stating EPA's attitude and position on bill).

### **Disposition Instructions:**

#### **Item a(1): Record copy - Nonelectronic**

- **Permanent**
- Close inactive records at the end of Congressional session.
- Transfer to the National Archives 20 years after file closure.

#### **Item a(2): Record copy - Electronic**

- **Permanent**
- Close inactive records at the end of Congressional session.

- Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time.

**Item a(3):** Electronic copy of records transferred to the National Archives

- ~~Disposable~~

*Temp*

- Close file upon transfer to the National Archives.
- Delete after electronic record copy is successfully transferred to the National Archives.

**Guidance:**

Documents are transferred to the legislative history file from the following: EPA 531 for enrolled bill reports and EPA 532 for congressional hearing testimony.

**Reasons for Disposition:**

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

The following changes were made in the 01/31/2008 version:

- Divided item a into three subitems, a(1)-(3).
- Revised the titles of disposition items a(1)-(3).
- Revised the disposition instruction for item a(3).

Item b for electronic copies created with word processing and electronic mail applications deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of the Administrator, Office of Congressional and Intergovernmental Relations

- **Contact:**
- **Telephone:**

**Related Schedules:**

EPA 531, EPA 532

**Previous NARA Disposal Authority:**

NC-412-75-10/8, N1-412-87-2/12

**Entry:** 07/14/1993

**EPA Approval:** 07/26/2007

**NARA Approval: Pending**

**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 529

**Status:** Development, 07/31/2007

**Title:** Agency Proposed Legislation File

**Program:** Congressional and Intergovernmental Relations

**Applicability:** Headquarters

**Function:** 303-099 - Proposal Development

### 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:

Contains documents and data relating to legislation formulated and proposed by government agencies and executive units and circulated within EPA for evaluation and comment. Records consist of Office of Management and Budget (OMB) requests for comments, draft bills, letters, forwarding draft to House or Senate, extracts from the Congressional Record, comments and evaluations.

### Disposition Instructions:

**Item a:** Record copy

~~• Disposable~~ *Temp*

- Close inactive records at end of Congressional session.
- Destroy 10 years after file closure.

### Guidance:

### Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item b for electronic copies created with word processing and electronic mail applications deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of the Administrator, Office of Congressional and Intergovernmental Relations

- **Contact:**
- **Telephone:**

**Related Schedules:**

**Previous NARA Disposal Authority:**

NC-412-75-10/9, N1-412-87-2/13

**Entry:** 07/14/1993

**EPA Approval:** Pending

**NARA Approval:** Pending

**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 530

**Status:** Development, 07/31/2007

**Title:** Weekly Legislative Reports

**Program:** Congressional and Intergovernmental Relations

**Applicability:** Headquarters

**Function:** 303-097 - Legislative Tracking

### **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:**

Reports include major provisions, issues, status, and expectation of EPA bills, and non-EPA bills with an environmental impact and scheduled for congressional action. Also, covers scheduled committee hearings, persons testifying, and subject of testimony.

### **Disposition Instructions:**

**Item a:** Record copy

~~• Disposable~~ Temp

- Close inactive records at end of Congressional session.
- Destroy 1 year after file closure.

### **Guidance:**

### **Reasons for Disposition:**

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item b for electronic copies created with word processing and electronic mail applications deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of the Administrator, Office of Congressional and Intergovernmental Relations

- **Contact:**
- **Telephone:**

**Related Schedules:**

**Previous NARA Disposal Authority:**

NC-412-75-10/10, N1-412-87-2/14

**Entry:** 07/14/1993

**EPA Approval:** Pending

**NARA Approval:** Pending

**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 531

**Status:** Development, 07/31/2007

**Title:** Enrolled Bill Reports

**Program:** Congressional and Intergovernmental Relations

**Applicability:** Headquarters

**Function:** 303-097 - Legislative Tracking

## **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:**

Contains position reports by EPA program managers on bills almost immediately after passage by Congress.

## **Disposition Instructions:**

### **Item a:** Record copy

- **Permanent**
- Close inactive records at end of month.
- Transfer to the legislative history file 1 month after file closure.

## **Guidance:**

The legislative history file is scheduled as EPA 528.

## **Reasons for Disposition:**

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item b for electronic copies created with word processing and electronic mail applications deleted

08/22/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of the Administrator, Office of Congressional and Intergovernmental Relations

- **Contact:**
- **Telephone:**

**Related Schedules:**

EPA 528

**Previous NARA Disposal Authority:**

NC-412-75-10/11, N1-412-87-2/15

**Entry:** 07/14/1993

**EPA Approval:** Pending

**NARA Approval:** Pending

**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 532**

**Status:** Development, 07/31/2007

**Title:** EPA Congressional Hearing Testimony

**Program:** Congressional and Intergovernmental Relations

**Applicability:** Headquarters

**Function:** 303-098 - Legislative Testimony

**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:**

Contains statements regarding the position of EPA relative to existing or proposed bills, application and enforcement of laws, research and technological development, and similar matters concerning Agency policy.

### **Disposition Instructions:**

**Item a:** Record copy

- **Permanent**
- Close inactive records after presentation to committee.
- Transfer to the legislative history file after file closure.

### **Guidance:**

This schedule covers copies of congressional testimony maintained by the Office of Congressional and Intergovernmental Relations. Copies of congressional testimony and expert testimony related to non-EPA issues maintained by other offices are covered in EPA 140. The legislative history file is scheduled as EPA 528.

### **Reasons for Disposition:**

The disposition instructions have been rewritten as media neutral to allow for maintaining the record

copy in EPA's electronic recordkeeping system. The retention has not changed

Item b for electronic copies created with word processing and electronic mail applications deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of the Administrator, Office of Congressional and Intergovernmental Relations

- **Contact:**
- **Telephone:**

**Related Schedules:**

EPA 140, EPA 528

**Previous NARA Disposal Authority:**

NC-412-75-10/12, N1-412-87-2/16

**Entry:** 07/14/1993

**EPA Approval:** Pending

**NARA Approval:** Pending

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 536

**Status:** Development, 07/31/2007

**Title:** Public Affairs Project Files

**Program:** Public Affairs

**Applicability:** Agency-wide

**Function:** 305-109-02-04 - Provide Public Information, Education and Outreach

### 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:

Contains documents and other material prepared for the purpose of assisting EPA officials in presentations such as Congressional hearings, program reviews, technical briefings, public lectures, publications, exhibits, and in-house activities.

### Disposition Instructions:

#### Item a(1): Original artwork - Special projects

Includes artwork used in Congressional hearings, budget presentations, summary review conferences, technical briefings, presentations to the public such as speeches, releases to news media, educational briefs, and exhibits.

~~• Disposable~~ Temp

- Close inactive records after project or program is completed.
- Destroy 3 years after file closure.

#### Item a(2): Original artwork - Routine projects

Includes artwork used in administrative and routine in-house activities.

~~• Disposable~~ Temp

- Close inactive records after project or program is completed.
- Destroy 1 year after file closure.

**Item b:** Slides and viewgraphs used by program, staff, and project offices for presentations

• ~~Disposable~~ *Temp*

- Close inactive records at end of year.
- Destroy 1 year after file closure.

**Item c:** Designs and engineering drawings for fabrication of display models and exhibits

• ~~Disposable~~ *Temp*

- Close inactive records when no longer needed or obsolete.
- Destroy 3 years after file closure.

**Guidance:**

See EPA 250 for publications and promotional items.

**Reasons for Disposition:**

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

**Custodians:**

Multiple units

**Related Schedules:**

EPA 250

**Previous NARA Disposal Authority:**

NC-412-75-2/VII/1, N1-412-87-5/14

**Entry:** 07/21/1993

**EPA Approval:** Pending

**NARA Approval:** Pending