

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-412-99-010

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Description:

This schedule is superseded by N1-412-05-008.

Date Reported: 08/31/2020

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY*(See Instructions on reverse)*TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 204081. FROM (Agency or establishment)
Environmental Protection Agency2. MAJOR SUBDIVISION
Air and Radiation

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
Rachel Van Wingen5. TELEPHONE
(202) 260-9709

LEAVE BLANK (NARA use only)

JOB NUMBER
N1-412-99-10DATE 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 ARCHIVIST OF THE UNITED STATES

8-10-00 *John W. Paul*

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

Rachel Van Wingen

TITLE

Agency Records Officer

7.
ITEM
NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR
SUPERSEDED
JOB CITATION10. 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 Sarpeter

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:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
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

TRANSFER TO FRC PERMITTED:

No

b. Input:

See Disposition Instructions.

c. Electronic data: Permanent

No

d. Output and Reports:

See Disposition Instructions.

e. Supporting documentation:

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 1228.188²⁷⁰ 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)

CONTROL INFORMATION:

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

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

CONTACT POINT:

Name: Michele Wockenfuss

Mail Code: 6204J

Telephone: 202-564-9103

Office: Acid Rain Division

Room: 4405F

DRAFT

Approval
Date EPA

Approval
Date NARA

Entry
Date
8/22/95

Last
Modified
9/8/98

DRAFT OF 8/24/98

U.S. EPA RECORDS CONTROL SCHEDULE

DRAFT

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

DISPOSITION INFORMATION:

FINAL DISPOSITION:

TRANSFER TO FRC PERMITTED:

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

Volume on Hand (Feet):

Annual Accumulation:
(feet or inches)

CONTROL INFORMATION:

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

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

CONTACT POINT:

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Telephone: 202-564-9171

Office: Acid Rain Division

Room:

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