EPA Records Schedules in Final Status

July 2022

Contents

Explanation of EPA Records Schedule Fields 8

EPA Records Schedule 0002 10

EPA Records Schedule 0004 14

EPA Records Schedule 0008 18

EPA Records Schedule 0009 22

EPA Records Schedule 0016 26

EPA Records Schedule 0023 28

EPA Records Schedule 0026 30

EPA Records Schedule 0027 32

EPA Records Schedule 0039 36

EPA Records Schedule 0041 38

EPA Records Schedule 0042 42

EPA Records Schedule 0047 46

EPA Records Schedule 0051 51

EPA Records Schedule 0052 54

EPA Records Schedule 0054 57

EPA Records Schedule 0055 61

EPA Records Schedule 0057 65

EPA Records Schedule 0062 68

EPA Records Schedule 0063 73

EPA Records Schedule 0068 83
EPA Records Schedule 0077 87
EPA Records Schedule 0088 91
EPA Records Schedule 0089 99
EPA Records Schedule 0090 111
EPA Records Schedule 0094 122
EPA Records Schedule 0095 127
EPA Records Schedule 0096 131
EPA Records Schedule 0097 135
EPA Records Schedule 0098 139
EPA Records Schedule 0100 143
EPA Records Schedule 0107 165
EPA Records Schedule 0118 169
EPA Records Schedule 0122 172
EPA Records Schedule 0152 175
EPA Records Schedule 0153 179
EPA Records Schedule 0158 184
EPA Records Schedule 0234 188
EPA Records Schedule 0241 191
EPA Records Schedule 0242 194
EPA Records Schedule 0253 197
EPA Records Schedule 0257 201
EPA Records Schedule 0263 205
EPA Records Schedule 0264 208

EPA Records Schedule 0273 212
EPA Records Schedule 0299 215
EPA Records Schedule 0300 219
EPA Records Schedule 0318 223
EPA Records Schedule 0329 227
EPA Records Schedule 0352 232
EPA Records Schedule 0366 236
EPA Records Schedule 0373 239
EPA Records Schedule 0400 242
EPA Records Schedule 0405 247
EPA Records Schedule 0413 251
EPA Records Schedule 0420 256
EPA Records Schedule 0421 259
EPA Records Schedule 0432 262
EPA Records Schedule 0434 267
EPA Records Schedule 0436 269
EPA Records Schedule 0443 273
EPA Records Schedule 0444 276
EPA Records Schedule 0446 279
EPA Records Schedule 0447 282
EPA Records Schedule 0467 285
EPA Records Schedule 0468 289
EPA Records Schedule 0471 292
EPA Records Schedule 0485 295

EPA Records Schedule 0493 299
EPA Records Schedule 0494 302
EPA Records Schedule 0495 312
EPA Records Schedule 0496 316
EPA Records Schedule 0499 320
EPA Records Schedule 0537 322
EPA Records Schedule 0541 325
EPA Records Schedule 0546 329
EPA Records Schedule 0553 331
EPA Records Schedule 0554 335
EPA Records Schedule 0556 337
EPA Records Schedule 0557 344
EPA Records Schedule 0558 347
EPA Records Schedule 0559 349
EPA Records Schedule 0560 352
EPA Records Schedule 0561 354
EPA Records Schedule 0562 357
EPA Records Schedule 0563 359
EPA Records Schedule 0564 361
EPA Records Schedule 0565 364
EPA Records Schedule 0566 366
EPA Records Schedule 0568 369
EPA Records Schedule 0569 372
EPA Records Schedule 0570 376

EPA Records Schedule 0572 378
EPA Records Schedule 0573 381
EPA Records Schedule 0575 385
EPA Records Schedule 0577 389
EPA Records Schedule 0579 391
EPA Records Schedule 0583 393
EPA Records Schedule 0584 401
EPA Records Schedule 0684 404
EPA Records Schedule 0720 406
EPA Records Schedule 0738 410
EPA Records Schedule 0740 415
EPA Records Schedule 0742 418
EPA Records Schedule 0744 422
EPA Records Schedule 0746 426
EPA Records Schedule 0747 429
EPA Records Schedule 0752 432
EPA Records Schedule 0753 436
EPA Records Schedule 0754 439
EPA Records Schedule 0756 443
EPA Records Schedule 0757 446
EPA Records Schedule 0758 450
EPA Records Schedule 0759 453
EPA Records Schedule 0760 456
EPA Records Schedule 0999 458

EPA Records Schedule 1001 460
EPA Records Schedule 1003 463
EPA Records Schedule 1004 468
EPA Records Schedule 1005 474
EPA Records Schedule 1006 479
EPA Records Schedule 1007 488
EPA Records Schedule 1008 491
EPA Records Schedule 1009 495
EPA Records Schedule 1010 499
EPA Records Schedule 1012 503
EPA Records Schedule 1016 511
EPA Records Schedule 1020 517
EPA Records Schedule 1021 521
EPA Records Schedule 1022 525
EPA Records Schedule 1023 531
EPA Records Schedule 1024 537
EPA Records Schedule 1025 543
EPA Records Schedule 1029 547
EPA Records Schedule 1032 551
EPA Records Schedule 1033 556
EPA Records Schedule 1035 563
EPA Records Schedule 1044 578
EPA Records Schedule 1047 589
EPA Records Schedule 1049 594

EPA Records Schedule 1051 607

Explanation of EPA Records Schedule Fields

EPA Records Schedule: A unique identifier assigned to each schedule. (Example: 1001)

Status: The status of the schedule ("final," "draft," or "development") and the last revision date. A final schedule has been approved by EPA and the National Archives and Records Administration (NARA) and authorizes the retention and disposition of the records. A draft schedule has been approved by EPA and sent to NARA. It may not be used to retire records to offsite storage and does not authorize destruction. A development schedule has not been approved by EPA or sent to NARA. It may not be used to retire records to offsite storage and does not authorize destruction. (Example: Final, 10/31/2021)

Title: Title of a group of related records covered by the schedule. (Example: Safety and Health)

Program: EPA organization(s) or programs that can use the schedule. "All Programs" means that any office or program may use this schedule. (Example: Air)

Applicability: EPA location(s) that can use the schedule. "Agency-wide" means the schedule can be used at any location. (Example: Regions)

Function: The code and title of an EPA business process. The numeric code is used in a file plan to organize records by function. (Example: 305 Public Affairs)

NARA Disposal Authority: A number assigned by NARA for their tracking purposes. This number is also used when retiring records to a Federal Records Center. If the schedule has not yet been submitted to NARA, "Pending" is used. (Example: N1-412-94-4/1; DAA-0412-2013-0002-0001)

Description: A description of the records, their content, types of information included, etc. (Example: Records relating to the general Agency implementation of the Freedom of Information Act.)

Disposition Instructions: Disposition instructions identify whether records are disposable or permanent, and provide direction for when to close the records, how long to retain them, and their final disposition (destroy, transfer). Disposition instructions may be divided into two or more "Items" if retention needs vary. (Example: Item a. Historically significant public affairs records; Permanent; Close upon issuance or publication, or when superseded or inactive; Transfer electronic records to the National Archives 5 years after file closure; Transfer non-electronic records to the National Archives 15 years after file closure.)

Disposition Instructions for Electronic Information Systems: Electronic information systems may have separate disposition instructions for each component (e.g., software program, input, output, electronic data, documentation) of the system. If these items are not included in the disposition instructions, check the guidance section for additional information. (Example: Item a; Electronic data; Permanent; Transfer data annually to the National Archives as specified in 36 CFR 1228.270 or standards applicable at the time.)

Guidance: Information that will assist in applying the schedule (e.g., alternate names of files, records that are excepted from coverage, related schedules). (Example: Historically significant records – Includes records that meet one or more of the following criteria: established a precedent and resulted in a change in law, policy or procedure…)

Reasons for Disposition: This field tells NARA why EPA is recommending the disposition or the changes to a previously approved disposition. Why the records need to be kept, their value to the Agency, or other pertinent information is entered here. This field also includes information on the most recent changes made to the schedule. (Example: Records are required for enforcement and cost recovery support as mandated by statute and regulation.)

Custodians: This section identifies the holder(s) of the records. It includes the name of the program or region and sub-unit (office, division or branch), and the contact name and telephone. If the records are maintained in multiple offices, it will read "Multiple units" only. (Example: Office of Enforcement and Compliance Assurance, Office of Compliance; Contact: James Johnson; Telephone: 202-566-0000)

Related Schedules: Relationships to other records are noted here. They can be in the same office or other offices, programs, etc. Examples of relationships might include input to another system or file, copies of reports submitted to (or received from) another office, or working papers that support a series of final reports. (Examples: EPA 1035, EPA 1036)

Previous NARA Disposal Authority: Listed here are old schedule approval number(s), manual numbers, etc., previously applied to this item that have been, or will be, superseded by this schedule. (Example: NC1-412-85-24/2)

Entry: This is the date the schedule was originally entered into the schedule system. (Example: 07/18/1991)

EPA Approval: This is the date internal approval was completed. This date will not change unless the schedule is resubmitted to EPA programs due to major changes. (Example: 04/10/1992)

NARA Approval: This is the date the Archivist of the United States signed the approved schedule. General Records Schedule (GRS) items show the date of the appropriate GRS. (Example: 05/15/1993)

EPA Records Schedule 0002

Status: Final, 05/31/2022

Title: Emissions Inventory System (EIS)

Program: Air

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-01-3

Description:

The Emissions Inventory System (EIS) collects, stores, and distributes the National Emissions Inventory (NEI). It includes facility inventory data and criteria air pollutant and hazardous air pollutant emissions for point, nonpoint, mobile and event sources. The NEI is used for periodic assessment of emission trends, and is used for air quality modeling purposes. State, Local and Tribal emission inventories form the basis for the NEI, which also includes emissions data gathered from other sources. The public has access to emissions inventory data through a public Web site.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

This item is to be used only by the Office of Air and Radiation, Office of Air Quality Planning and Standards.

NARA Disposal Authority: N1-412-01-3c

- **Permanent**
- Transfer data annually to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

The Air Quality System (AQS) is scheduled as EPA 0496.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition.

Input - Input, formerly item b, is covered by schedule 1012 item e.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item e, refers to those records necessary to document how the system captures, manipulates and outputs data. System documentation is transferred to the National Archives along with the electronic data. Disposition of system documentation is covered by schedule 1012 item a.

Reasons for Disposition:

The following change was made in the 05/31/2022 version:

- Updated contact information.

The following changes were made in the 04/30/2014 version:

- Deleted items a, b, d and e which are covered by other schedules.
- Updated guidance and contact information.

The following changes were made in the 12/31/2008 version:

- Revised the title and description of the schedule.

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

- Updated the name of the program office in disposition items a, c and e.
- Updated contact information.

The following change was made in the 04/30/2008 version:

- Revised disposition instructions for item b.

The following changes were made in the 03/31/2008 version:

- Changed the disposition instructions for items a and b.
- Added applicability to disposition items a, c and e.
- Revised wording in disposition instructions for item d.
- Revised title of disposition item e.

On September 30, 2000, the AIRS Facility Subsystem (AFS) emissions inventory component was phased out and the NEI database serves as the single repository of emissions inventory data. Under N1-412-99-8, the National Archives approved emissions data from AFS as permanent. Replaces National Emissions Trends (NET) and National Toxics Inventory (NTI) databases.

Item f for electronic copies created with word processing and electronic mail applications was deleted 08/14/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Air and Radiation, Office of Air Quality Planning and Standards

- **Contact:** Rich Mason
- **Telephone:** 919-541-3405

Office of Air and Radiation, Office of Air Quality Planning and Standards

- **Contact:** Chris Chapman
- **Telephone:** 919-541-2073

Related Schedules:

EPA 0496, EPA 1012

Previous NARA Disposal Authority:

Entry: 03/16/2000

EPA Approval: 10/25/2000

NARA Approval: 03/14/2003

EPA Records Schedule 0004

Status: Final, 07/31/2014

Title: Electronic Forms Systems

Program: Environmental Information

Applicability: Headquarters

Function: 404 - Technology Management

NARA Disposal Authority:

- N1-412-02-7

Description:

Electronic forms systems provide users with the capability to electronically create, route, track, and process a multitude of Agency-specific forms, as well as Government-wide standard forms. Includes WebForms and the external forms database. WebForms is designed to automate the core administrative functions of EPA. The external forms database is used to classify and track all external use forms to meet program and regulatory needs.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c(1)(a): Electronic blank forms

NARA Disposal Authority: N1-412-02-7c(1)(a)

- **Disposable**
- Delete when superseded or obsolete.

Item c(1)(b): Electronic completed forms

NARA Disposal Authority: N1-412-02-7c(1)(b)

- **Disposable**
- Delete after record copy captured in a recordkeeping system.

Item c(2): Forms database

NARA Disposal Authority: N1-412-02-7c(2)

- **Disposable**
- Delete 6 months after completion of action.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Forms systems do not qualify as electronic recordkeeping systems. The record copy of forms must be printed and filed in the appropriate paper file or captured in EPA's electronic recordkeeping system (ECMS) after the last action is completed. Exception: The electronic leave forms submitted for approval via WebForms or similar electronic forms systems do not need to be printed or captured in EPA's electronic recordkeeping system (ECMS) and can be maintained electronically in the forms system according to the disposition instructions for schedule 1006, item b, with the exception of "mass approvals" which must be printed and filed or captured in the electronic recordkeeping system.

Forms development files are covered by schedule 1006, item b.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition, and is covered by schedule 1012, item e.

Input - Input, formerly item b, is covered by schedule 1012 item e.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item e, refers to those records necessary to document how the system captures, manipulates and outputs data. System documentation is transferred to the National Archives along with the electronic data. Disposition of system documentation is covered by schedule 1012 item e.

Reasons for Disposition:

The following changes were made in the 07/31/2014 version:

- Deleted items a, b, d and e which are covered by other schedules.
- Revised guidance.

The following changes were made in the 07/31/2008 version:

- Revised the schedule title and description.
- Changed the title of disposition item c(2).
- Updated contact information.

Custodians:

Office of Environmental Information, Office of Technology Operations and Planning

- **Contact:** Lawrence Lee
- **Telephone:** 202-566-1042

Office of Environmental Information, Office of Information Collection

- **Contact:** Susan Auby
- **Telephone:** 202-566-1672

Related Schedules:

EPA 1006, EPA 1012

Previous NARA Disposal Authority:

Entry: 05/25/2000

EPA Approval: 02/08/2002

NARA Approval: 08/20/2002

EPA Records Schedule 0008

Status: Final, 11/30/2019

Title: Nonrecords

Program: All Programs

Applicability: Agency-wide

Function: 0 - Nonrecord Materials

NARA Disposal Authority:

- Not applicable

Description:

Consists of nonrecord copies. Nonrecord materials are those Agency-owned informational materials that do not meet the statutory definition of records in 44 U.S.C. Section 3301 or that have been excluded from coverage by that definition.

Technical Reference Materials. Technical or general reference files which are maintained by individuals or program offices to enable the person or program office to perform its mission and which are kept only for reference. Collections may be on general environmental research topics or issues, the program mission, or management and administrative questions. Files or collections may consist of items such as technical publications, manuals, extra copies of issue papers, reports and studies originated by or for the program, information copies of studies and reports produced by other programs, journal articles, books, video tapes, photographs, vendor catalogs, electronic files, and other materials regardless of medium.

News Clippings. Clippings of news stories, which have no documentary or evidential value, from newspapers and other publications.

Convenience Copies. Extra copies of documents preserved only for convenience of reference. Includes information copies of correspondence, directives, and other documents on which no administrative or mission-related action is recorded or taken. Also includes copies other than the record copy where there is no recordkeeping requirement for multiple record copies.

Stocks of Forms, Publications, and Processed Documents. Extra copies of printed or processed materials for which complete record sets exist (such as current and superseded manuals, brochures, pamphlets, handbooks, posters, and maps) maintained inside or outside the office responsible for maintaining the record set.

Materials Not Appropriate for Preservation. Catalogs, trade journals, and other publications or documentary materials that are received from other government agencies, commercial firms,

private institutions, or individuals and that require no action, are not part of a case on which action is taken, and are not essential to the business of the Agency or to the Agency's legal responsibilities.

Library or Museum Materials. Library or museum materials intended solely for reference or exhibit. Includes physical exhibits, artifacts, and other material objects lacking evidential value.

Working Papers and Drafts. Documents such as rough notes, calculations, or preliminary drafts which are assembled or created and used to prepare or analyze other documents and which meet all of the following criteria: (1) They were not circulated or made available to employees, other than the creator, for official purposes such as approval, comment, action, recommendation, follow up, or to communicate with Agency staff about Agency business; (2) They do not contain unique information, such as substantive annotations or comments included therein, that adds to a proper understanding of the Agency's formulation and execution of basic policies, decisions, actions, or responsibilities; (3) They are not needed for purposes of adequate and proper documentation of the decisionmaking process; and, (4) They are not described elsewhere under an Agency-wide or EPA organization-specific requirement to retain the documents for a specific period of time.

Copies of permanent electronic records transferred to the National Archives. Copies of permanent electronic records transferred to the National Archives and maintained by the submitting office until they are notified by NARA that the transfer is successful.

Disposition Instructions:

Item a: Nonrecord copy

- **Disposable**
- Close when obsolete, superseded or no longer needed for reference.
- Destroy immediately after file closure.

Guidance:

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Determining record value - Consideration should be given to determining the record value of materials such as working papers, drafts, and notes which document an activity up to the point in time when those materials are created. Until a subsequent activity occurs which causes them to become superseded or obsolete, the materials could warrant record status and be appropriate for preservation. Designating materials as nonrecords in anticipation of their being superseded or obsolete, rather than at the point when they are actually superseded or obsolete, can be premature in some instances. When it is difficult to decide whether certain materials are records or nonrecords, they should be treated as records.

Records collected from abandoned sites (e.g., bankrupt companies, abandoned offices) by EPA as part of site investigations or other activities that are not necessary for the conduct of Agency business and which have no informational value will be considered nonrecords. If regulated entities submit material, either accidentally or intentionally, that is not necessary for the conduct of Agency business, it will also be considered nonrecord material.

Access restrictions - Nonrecord materials should not contain any security classified or administratively controlled information.

Removal of nonrecords from the Agency - Nonrecord materials should not be removed from the Agency except with the Agency's approval.

Short-term documentary materials - Nonrecords, along with personal papers, and short-term records, comprise a broad category of materials that are not needed as part of the long-term documentation of Agency activities. Personal Papers are covered by EPA 0999. Examples of short-term records include transitory files such as suspense files and mailing list source records covered by schedule 1006, item d.

Convenience copies of records should be destroyed when the records are destroyed, or sooner if no longer needed for reference purposes.

Schedule change history - A number of program-specific reference files formerly listed individually have been incorporated into this general Agency-wide item. See Previous NARA Disposal Authority below for a list of superseded schedules. This schedule incorporates and replaces EPA 0733 - News Clippings. Copies of news clippings which have documentary or evidential value may be incorporated into other records series (e.g., Superfund site files), and are to be disposed of in accordance with the disposition instructions for the related series.

Reasons for Disposition:

The following change was made in the 11/30/2019 version:

- Added guidance on handling sensitive information (e.g., controlled unclassified information (CUI)).

The following change was made in the 07/31/2015 version:

- Added information about copies of permanent electronic records transferred to the National Archives to the Description.

The following change was made in the 02/28/2014 version:

- Updated cross references in guidance.

The following change was made in the 03/31/2008 version:

- Revised guidance to include records: (1) collected from abandoned sites and (2) submitted by regulated entities that are not necessary for the conduct of Agency business.

Nonrecord materials are identified in 44 U.S.C. Section 3301 and 36 CFR Section 1220.14. NARA guidance says: "Nonrecord materials should be destroyed when no longer needed for reference." NARA determined copies of news clippings are nonrecord materials as part of N1-412-96-2.

Custodians:

Multiple units

Related Schedules:

EPA 0999, EPA 1006

Previous NARA Disposal Authority:

NC1-412-76-1/I/8, NC1-412-76-1/II/6, 7, 15, 16 and 19, NC1-412-76-1/III/27, NC1-412-76-4/17, NC1-412-76-7/15, NC1-412-76-8/24, NC1-421-76-9/33, NC1-412-76-15/5, NC1-412-77-1/28, NC1-412-77-5/16, NC1-412-78-2/6, NC1-412-78-3/8 and 13, NC1-412-82-7/24, NC1-412-83-5/7, NC1-412-85-4/9 and 11, NC1-412-85-6/31 and 45, NC1-412-85-12/9, NC1-412-85-17/20, NC1-412-85-18/6, 11, 12, 15, 20, NC1-412-85-19/6, NC1-412-85-20/9 and 13, NC1-412-85-22/16, NC1-412-85-23/8 and 13, NC1-412-85-24/16, N1-412-86-1/16, N1-412-86-3/24 and 27, N1-412-87-4/20, N1-412-87-5/7, N1-412-96-2

Entry: 03/25/1991

EPA Approval: Not applicable

NARA Approval: Not applicable

EPA Records Schedule 0009

Status: Final, 05/31/2017

Title: Integrated Grants Management System (IGMS)

Program: Grants

Applicability: Headquarters

Function: 205 - Federal Financial Assistance

NARA Disposal Authority:

- N1-412-07-33

Description:

The Integrated Grants Management System (IGMS) is an electronic system that automates grant and interagency processes. IGMS collects grant and fellowship application information, information supporting the decision to fund the grant or fellowship, commitment notice information, grant and fellowship award information, and grant reports. EPA collects the information in order to award grant funds or fellowships to applicants to accomplish research, develop or deliver training, or conduct other activities that will protect or improve public health or the environment. Grants and fellowships are awarded to state, local, tribal, educational, and nonprofit partners.

The following types of information are contained in the system: acquisition/assistance (e.g., funding vehicle, business partner); financial (e.g., obligation and commitments, funds management, program information; planning and performance information); and human assets (e.g., business and contact information).

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data - Superfund site-specific

This item is to be used only by the Office of Administration and Resources Management, Grants Management Division at Headquarters.

NARA Disposal Authority: N1-412-07-33c

- **Disposable**

- Destroy 30 years after grant closeout.

Item d: Electronic data - waste water construction and state revolving fund grants

This item is to be used only by the Office of Administration and Resources Management, Grants Management Division at Headquarters.

NARA Disposal Authority: N1-412-07-33d

- **Disposable**
- Destroy 20 years after grant closeout.

Item e: Electronic data - other than Superfund site-specific, waste water construction, and state revolving fund grants

This item is to be used only by the Office of Administration and Resources Management, Grants Management Division at Headquarters.

NARA Disposal Authority: NARA Disposal Authority: N1-412-07-33e

- **Disposable**
- Destroy 10 years after grant closeout.

Item f: (Reserved)

Item g: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in electronic format only, and is not media neutral. The electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Superfund site-specific grants and other program support agreements are covered by schedule 1036; all other grants are covered by schedule 1003. The Grants Information and Control System (GICS) is scheduled as EPA 0575.

Digital signatures are maintained for the same retention period as the related electronic data.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition, and is covered by schedule 1012, item e.

Input - Input, formerly item b, is covered by schedule 1012, item e.

Output and reports - For disposition of input and reports, formerly item f, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later date.

System documentation - Supporting or system documentation, including system development documentation, formerly item g, refers to those records necessary to document how the system captures, manipulates and outputs data. Disposition of system documentation is covered by schedule 1012, item e.

Reasons for Disposition:

The following changes were made in the 05-31-2017 version:

- Corrected applicability from Agency-wide to Headquarters.
- Updated media neutral statement and cross references in guidance.

The following changes were made in the 04/30/2015 version:

- Deleted items a, b, f and g which are covered by other schedules.
- Updated guidance and contact information.

The following change was made in the 11/07/2006 version:

- Renumbered items e-h as d-g.

The following changes were made in the 09/07/2006 version:

- Deleted item d for electronic data and supporting documentation for Tribal records.

IGMS provides an all-electronic process for grants from development of the grant guidance through the award and closeout. The system replaces the Grants Information and Control System (GICS), with the exception of the Office of Water's construction grants data. GICS was previously appraised as N1-412-00-4. The system provides information to grant applicants, grantees, and the public. The proposed retention meets all audit and litigation documentation needs.

Custodians:

Office of Administration and Resources Management, Grants Administration Division

- **Contact:** William Etheridge
- **Telephone:** 202-564-5353

Related Schedules:

EPA 0575, EPA 1003, EPA 1012, EPA 1036

Previous NARA Disposal Authority:

Entry: 05/15/2000

EPA Approval: 11/13/2006

NARA Approval: 12/16/2008

EPA Records Schedule 0016

Status: Final, 12/31/2013

Title: Individual Non-Occupational Health Record Files

Program: Personnel

Applicability: Agency-wide

Function: 401 - Administrative Management

NARA Disposal Authority:

- General Records Schedule 1/19

Description:

Includes forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to government health facilities, for nonwork-related purposes.

Excludes: Records contained in the Employee Medical Folder (EMF) (EPA 0566).

Disposition Instructions:

Item a: Record copy

NARA Disposal Authority: General Records Schedule 1/19

- **Disposable**
- Destroy 6 years after date of last entry.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are

covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Employee medical folders are scheduled as EPA 0566. See EPA 0023 - Health Unit Control Files for logs or registers of visits to dispensaries, first aid rooms, and other types of health units.

Reasons for Disposition:

Conforms to NARA's General Records Schedule 1, item 19.

Item b for electronic mail and word processing system copies was deleted 08/14/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 0023, EPA 0566

Previous NARA Disposal Authority:

None

Entry: 01/06/2004

EPA Approval: Not applicable

NARA Approval: 12/00/2003

EPA Records Schedule 0023

Status: Final, 12/31/2013

Title: Health Unit Control Files

Program: Personnel

Applicability: Agency-wide

Function: 401 - Administrative Management

NARA Disposal Authority:

- General Records Schedule 1/20

Description:

Includes logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units.

Disposition Instructions:

Item a: If information is summarized on statistical report

NARA Disposal Authority: General Records Schedule 1/20a

- **Disposable**
- Destroy 3 months after last entry.

Item b: If information is not summarized

NARA Disposal Authority: General Records Schedule 1/20b

- **Disposable**
- Destroy 2 years after last entry.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the

electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Employee medical folders are scheduled as EPA 0566. See EPA 0016 for individual non-occupational health records.

Reasons for Disposition:

Conforms to NARA's General Records Schedule 1, item 20.

Item c for electronic mail and word processing system copies was deleted 08/14/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 0016, EPA 0566

Previous NARA Disposal Authority:

None

Entry: 01/06/2004

EPA Approval: Not applicable

NARA Approval: 12/00/2003

EPA Records Schedule 0026

Status: Final, 12/31/2013

Title: Handicapped Individuals Appointment Case Files

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/40

Description:

Consists of case files containing position title and description; fully executed SF 171; medical examiner's report; a brief statement explaining accommodation of impairment; and other documents related to previous appointment, certification, and/or acceptance or refusal.

Disposition Instructions:

Item a: Record copy

NARA Disposal Authority: General Records Schedule 1/40

- **Disposable**
- Destroy 5 years following the date of approval or disapproval of each case.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR

1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Reasons for Disposition:

Conforms to NARA's General Records Schedule 1, item 40.

Item b for electronic mail and word processing system copies was deleted 08/14/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

Previous NARA Disposal Authority:

None

Entry: 01/06/2004

EPA Approval: Not applicable

NARA Approval: 12/00/2003

EPA Records Schedule 0027

Status: Final, 09/30/2021

Title: Integrated Compliance Information System (ICIS)

Program: Enforcement and Compliance Assurance

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-05-5

Description:

The Integrated Compliance Information System (ICIS) is the core information management system supporting the enforcement and compliance operations of the Office of Enforcement and Compliance Assurance (OECA). In addition, ICIS has replaced several older legacy programmatic systems, including the Permit Compliance System (PCS) which supported the National Pollutant Discharge Elimination System (NPDES) program, and the Air Facility System (AFS) which supported the Clean Air Act (CAA) Stationary Source program. ICIS is used for tracking federal enforcement and compliance, CAA, and NPDES activities performed by the EPA headquarters, regional offices, states, and local agency offices. Selected information in ICIS is made available to the public through the Enforcement and Compliance History Online (ECHO) system. It also includes information on Tribal lands where enforcement activities may occur.

Data in the system includes detailed facility information and compliance activities such as compliance monitoring, compliance determination, deficiencies, incident descriptions, and enforcement descriptions. Incident descriptions include required notifications and citizen tips or complaints, enforcement actions, and reports. Enforcement descriptions include case initiations, settlement information, benefits, and follow-up activities resulting from the enforcement action. Additional information for the NPDES program includes: Permit data, Effluent Limits, and Discharge Monitoring Report (DMR) data. Additional information for the CAA program includes: Stack Tests, Title V Annual Compliance Certifications, Compliance Monitoring Strategy status, and Alleged Violation Files. The NPDES and CAA information is entered by state and local agencies as well as by EPA. Federal enforcement and compliance data is entered by EPA headquarters and regional office attorneys and engineers from paper legal documents, the Case Conclusion Data Sheets, and inspection reports. Much of the information from state and local agencies is submitted electronically from external systems using standardized formats via the Exchange Network and EPA's Central Data Exchange (CDX). ICIS also includes extensive reporting capabilities to extract and display the desired information. Some NPDES-regulated entities submit electronic data to ICIS via the EPA CDX on an as-needed basis according to their permit requirements.

Certain data within ICIS are made available to other EPA systems, including the Facility Registry System (FRS) and ECHO, which are scheduled separately.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

This item is to be used only by the Office of Enforcement and Compliance Assurance, Enforcement Targeting and Data Division at Headquarters.

NARA Disposal Authority: N1-412-05-5c

- **Permanent**
- Transfer to the National Archives after each major version change, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA

regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition and is covered by schedule 1012, item e.

Input - Input, formerly item b, is covered by schedule 1012 item e.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item e, refers to those records necessary to document how the system captures, manipulates and outputs data. System documentation is transferred to the National Archives along with the electronic data. Disposition of system documentation is covered by schedule 1012 item a.

Site-specific enforcement actions are covered by schedule 1036; and the remainder of enforcement and compliance actions are covered by schedule 1044. CDX is covered by schedule 0097.

ICIS has replaced the Enforcement Docket System covered by schedule 0089, the Permit Compliance System (PCS), previously scheduled as 0419, and the Air Facility System (AFS) previously scheduled as 0743. It also replaces the enforcement and compliance components in the following systems:

- Schedule 0257 - National RCRA Information System (RCRAInfo) (Replaced schedule 252 - Resource Conservation and Recovery Information System (RCRIS))
- Schedule 0413 - SDWIS/Operational Data System (SDWIS/ODS) (Formerly the Safe Drinking Water Information System (SDWIS))
- Schedule 0496 - Air Quality System (AQS) (Formerly the Aerometric Information Retrieval System (AIRS))

FRS is covered by schedule 0096.

Reasons for Disposition:

The following change was made in the 09/30/2021 version:

- Updated contact information.

The following changes were made in the 05/31/2016 version:

- Revised wording in schedule description.
- Updated contact information.

The following changes were made in the 07/31/2015 version:

- Revised description and guidance.

- Updated contact information.

The following changes were made in the 04/30/2015 version:

- Deleted items a, b, d and e which are covered by other schedules.
- Updated guidance and contact information.

The following change was made in the 11/30/2009 version:

- Revised the description.

The following changes were made in the 04/30/2009 version:

- Added applicability statement to items a, c and e.
- Revised wording of disposition instructions for item a and b.
- Revised title of item e.
- Updated cross references.

NARA has determined that ICIS data has sufficient research value to warrant permanent retention.

Custodians:

Office of Enforcement and Compliance Assurance, Enforcement Planning, Targeting and Data Division

- **Contact:** Jay Stubbs
- **Telephone:** 202-564-2118

Related Schedules:

EPA 0089, EPA 0096, EPA 0097, EPA 0257, EPA 0413, EPA 0496, EPA 1012, EPA 1036, EPA 1044

Previous NARA Disposal Authority:

N1-412-08-10

Entry: 05/04/2001

EPA Approval: 11/01/2004

NARA Approval: 07/18/2005

EPA Records Schedule 0039

Status: Final, 12/31/2013

Title: Alternate Worksite Records

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/42

Description:

Includes records related to requests or applications to participate in an alternate worksite program, known at EPA as "Flexiplace." Also includes agreements between EPA and the employee; records relating to the safety of the worksite, the installation and use of equipment, hardware, and software, and the use of secure, classified information or data subject to the Privacy Act.

Disposition Instructions:

Item a: Approved requests or applications

NARA Disposal Authority: General Records Schedule 1/42a

- **Disposable**
- Destroy 1 year after end of employee's participation in the program.

Item b: Unapproved requests

NARA Disposal Authority: General Records Schedule 1/42b

- **Disposable**
- Destroy 1 year after request is rejected.

Item c: Alternative worksite program evaluations

Includes forms and other records generated by the agency or the participating employee.

NARA Disposal Authority: General Records Schedule 1/42c

- **Disposable**
- Destroy when 1 year old, or when no longer needed, whichever is later.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Reasons for Disposition:

Conforms to NARA's General Records Schedule 1, item 42.

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

Custodians:

Multiple units

Related Schedules:

Previous NARA Disposal Authority:

None

Entry: 01/06/2004

EPA Approval: Not applicable

NARA Approval: 12/00/2003

EPA Records Schedule 0041

Status: Final, 04/30/2015

Title: Clean Air Markets Division Business System (CAMDBS)

Program: Air

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-05-8

Description:

The Clean Air Markets Division Business System (CAMDBS) is a set of interrelated systems operating against a single integrated database in the market-based emissions trading program, i.e., the Acid Rain Program and the SIP Call/126 program for ozone transport. It allows regulated entities to perform various reporting tasks directly online. CAMDBS streamlines certain business functions which were previously distributed redundantly in a variety of legacy systems. One of the main subsystems of CAMDBS is the Source Management System (SMS) which consolidates the numerous separate systems into a single inventory of related information. Other subsystems include: Allowance Management System (AMS); Emissions Collection and Monitoring Plan System (ECMPS), Compliance and Permit Tracking System (CPTS), and CAMD System Administration (CSA).

CAMDBS replaces the following paper forms: allowance transfer form, submission of forms identifying responsible parties, annual compliance forms, retired unit exemption forms and new unit exemption forms. It also replaces the following legacy systems: the Allowance Tracking System (ATS), the Emissions Tracking System (ETS), and the NOx Allowance Tracking System (NATS).

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data - source management data

NARA Disposal Authority: N1-412-05-8c

- **Permanent**
- Transfer to the National Archives annually, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: Electronic data - allowance tracking data

NARA Disposal Authority: N1-412-05-8d

- **Disposable**
- At the end of each major version change, transfer current data sets to tape, along with tape specifications and send to NTSD. Delete 20 years after transfer.

Item e: Electronic data - emissions tracking data

NARA Disposal Authority: N1-412-05-8e

- **Permanent**
- Transfer to the National Archives annually, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item f: (Reserved)

Item g: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

The Allowance Tracking System has been expanded to include nitrogen oxides (NOx) allowances issued under the NOx Budget Program, and for that program's use, it is called the NOx Allowance Tracking System (NATS).

Once a year, ETS summarized emissions data is transferred to the Emissions Inventory System (EIS) which is scheduled as EPA 0002.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require the electronic records be retrievable and usable for as long as needed to conduct Agency business and meet NARA-approved disposition and is covered by schedule 1012, item e.

Input - Input for the system, formerly item b, is covered by schedule 1012, item e.

Output and reports - For disposition of output and reports, formerly item f, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, formerly item g, including system development documentation, is covered by EPA 1012, item a for permanent data and item e for disposable data.

Reasons for Disposition:

The following changes were made in the 04/30/2015 version:

- Updated cross references in guidance.

The following changes were made in the 01/31/2014 version:

- Deleted items a, b, f, and g which are covered by other schedules.
- Updated guidance and contact information.

The following changes were made in the 10/31/2009 version:

- Revised wording of disposition instructions for items a, f and g.
- Revised title of disposition item g.

CAMDBS migrates two major legacy systems, the Allowance Tracking System (ATS) (N1-412-99-10/1) and the Emissions Tracking System (ETS) (N1-412-99-10/2) to a new, more open architecture permitting total electronic reporting. The retentions for the data in those two systems remain as previously approved.

Custodians:

Office of Air and Radiation, Clean Air Markets Division

- **Contact:** Paula Branch
- **Telephone:** 202-343-9168

Related Schedules:

EPA 0002, EPA 1012

Previous NARA Disposal Authority:

N1-412-99-10/1 and 2

Entry: 05/24/2004

EPA Approval: 04/11/2005

NARA Approval: 11/01/2005

EPA Records Schedule 0042

Status: Final, 09/30/2016

Title: Purchase Card System

Program: Procurement

Applicability: Agency-wide

Function: 405 - Supply Chain Management

NARA Disposal Authority:

- N1-412-06-20

Description:

The Purchase Card system is a relational database which serves as a central database for tracking purchases. The system expedites the acquisition of essential supplies and services and streamlines payment procedures. Input to the system is electronic data from the contractor bank or the EPA Intranet Purchase Card Cost Allocation System. Types of data includes accounting data associated with each purchase, payment processing, and obligation of funds. The system generates a variety of management reports.

The system links with the Compass Financials (Compass) system which is scheduled as EPA 0054.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data - except Superfund site-specific

NARA Disposal Authority: N1-412-06-20c

- **Disposable**
- Delete 10 years after final payment.

Item d: Electronic data - Superfund site-specific

NARA Disposal Authority: N1-412-06-20d

- **Disposable**
- Delete 30 years after final payment.

Item e: (Reserved)

Item f: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct agency business and to meet NARA-approved disposition, and is covered by schedule 1012, item e.

Input - Input, formerly item b, is covered by schedule 1012, item e.

Output and reports - For disposition of output and reports, formerly item e, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later date.

System documentation - Supporting or system documentation, including system development documentation, formerly item f, refers to those records necessary to document how the system captures, manipulates and outputs data. Disposition of system documentation is covered by schedule 1012, item e.

Payment Net - The purchasing process includes documentation created and maintained in Payment Net (PNET) covered by schedule 0090, documentation received in the Purchase Card System via

the Purchase Card Allocation System, and the purchase-related documentation maintained in the Contracts Management System covered by schedule 0055.

Cardholder recordkeeping requirements can be found in the EPA Contracts Management Manual, Section 13.3.

Purchase card records are covered by the Privacy Act System #GSA/GOVT-6.

Accountable Officers' Files are covered by schedule 1005. Cost recovery records for Superfund and Oil are covered by schedule 1036, and the Superfund Cost Recovery Package Imaging and On-Line System (SCORPIOS) is covered by schedule 0052.

Reasons for Disposition:

The following change was made in the 09/30/2016 version:

- Corrected guidance on system documentation to refer to schedule 1012, item e instead of item a.

The following changes were made in the 07/31/2016 version:

- Revised description and guidance.
- Deleted items a, b, e and f which are covered other schedules.
- Updated contact information.

This is the primary system used to track simplified acquisitions and provides management with reports and an audit trail. The 30-year retention for Superfund site-specific data is consistent with other records related to cost recovery. The 10-year retention for other data is based on the recommendation of the Office of Inspector General to accommodate any potential civil false claims actions filed under 31 USC 3731.

Custodians:

Office of the Chief Financial Officer, Office of Technology Solutions

- **Contact:** Lawrence James
- **Telephone:** 919-541-4776

Office of the Chief Financial Officer, Office of the Controller

- **Contact:** Brian Webb
- **Telephone:** 202-565-2586

Related Schedules:

EPA 0052, EPA 0090, EPA 1005, EPA 1036

Previous NARA Disposal Authority:

None

Entry: 11/16/2004

EPA Approval: 03/09/2006

NARA Approval: 06/10/2006

EPA Records Schedule 0047

Status: Final, 12/31/2015

Title: System for Risk Management Plans (SRMP)

Program: Emergency Prevention, Preparedness and Response

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-05-2

Description:

The System for Risk Management Plans (SRMP) is a major application system hosted within the EPA Central Data Exchange (CDX). SRMP is composed of multiple subsystems that process, display, maintain, and report risk management plan information submitted by facilities in accordance with the Clean Air Act (CAA), Section 112(r). RMP regulated facilities are to develop risk management programs which will prevent and minimize consequences of accidental releases of certain hazardous chemicals that could harm public health and the environment.

Facilities submit RMPs every five years, or more frequently per 40 CFR Part 68. RMPs consist of the submitter's registration; an executive summary providing a description of the submitter's activities as they relate to covered processes and program elements; graphics files that supplement required textual information; and data elements that address compliance with each of the rule elements.

The SRMP major application system is comprised of the following subsystems.

RMP*eSubmit online software enables facilities to prepare, validate, certify, and submit RMPs to EPA in a secure, electronic format. This application may also be used by the RMP Reporting Center to electronically enter RMPs that were submitted by facilities to EPA in paper format and to generate associated notification letters.

RMP*Administration includes the database in which RMPs are stored and various utilities for: entering tracking information for RMP-related mail, maintaining RMP Datasets, maintaining users who may download the datasets via RMP Download Dataset; maintaining RMP*Info users, generating management reports, maintaining EPA Facility IDs, and de-registering facilities and marking facilities administratively closed.

RMP*Info provides authorized users (known as "covered persons") with the ability to query, view, and print RMPs and generate RMP-related reports. A non-sensitive version of the application (RMP*Info) allows users to view RMP data with the sensitive Offsite Consequence Analysis (OCA) data redacted. RMP*Info OCA allows covered persons to view all RMP data fields.

RMP*Review enables users to analyze complete RMPs including the processing data added at the RMP Reporting Center and audit and user-defined-field data that they enter. Non-covered persons can use RMP*Review with the sensitive data omitted. RMP*Review is the only RMP subsystem that is still implemented as a standalone desktop application (MS Access).

RMP*Comp is used by facilities to calculate worse case and alternative release scenarios for flammable and toxic substances. This application is publicly accessible without a login.

RMP Download Dataset is used by covered persons to electronically download RMP Datasets. These datasets may be viewed by users using MS Access or the RMP*Review application.

RMPREPORT is a data flow that was created in 2015 to support secure RMP data exchange to EPA-approved nodes. This flow was deployed to the production environment in the summer of 2015.

The RMPs as originally submitted to EPA and records for carrying out the RMP program by the implementing agencies are scheduled separately. Electronic copies of submitted RMP information (including all RMP sections, the Executive Summary, and graphics) are maintained in the RMP*Administration database.

Output and reports from the system are used by EPA, other federal agencies, states and local government officials, including emergency personnel, industry, academia, the media, and the public. EPA uses the data for risk assessment, compliance, emergency response, analysis of national trends in accident prevention and chemical process safety, vulnerability analysis, and related activities. Other federal agencies, as well as state and local governments, have turned to the database for counterterrorism analysis and other activities.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: RMP*Administration electronic data

NARA Disposal Authority: N1-412-05-2c

- **Permanent**
- Close file when program discontinued or no longer needed for current agency business, whichever is longer.

- Transfer the data to the National Archives after file closure, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: (Reserved)

Item e: (Reserved)

Item f: (Reserved)

Item g: All other electronic data

NARA Disposal Authority: N1-412-05-2g

- **Disposable**
- Close file when superseded.
- Delete after file closure.

Item h: (Reserved)

Item i: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII), offsite consequence analysis (OCA)) must be shredded or otherwise definitively destroyed to protect confidentiality.

OLEM headquarters, through the RMP Reporting Center, is responsible for the original RMPs that were submitted on disk/diskette or in paper format and data in the CDX, as well as the record copy of all software and software documentation. The implementing agencies will manage the records they use for implementing the program, etc. The original RMPs which may

have been submitted by facilities and the RMP implementation-related records managed by the implementing agencies are all covered by schedule 1035, item c. By default, EPA regions are the RMP implementing agencies.

States can choose to take delegation of this program, and if so, they become the implementing agency. If the state is the implementing agency, they are responsible for the program records. Records related to EPA oversight of the state program are covered by schedule 1016, item c.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct agency business and to meet NARA-approved disposition, and is covered by schedule 1012, item e.

Input - Input, formerly item b, is covered by schedule 1012, item e.

RMP*Administration - Item c for RMP*Administration includes the Executive Summary (formerly RMP*Maintain Executive Summary), the electronic data (formerly item d), RMP*Maintain data), and the graphics (formerly item e, RMP*Maintain Graphics). Data formerly contained in RMP*Maintain has been migrated to the RMP database that is currently in use.

RMP*Review audit and user-defined data - Recipients of the data can use RMP*ReviewAdmin to enter audit and user-defined data, formerly item f, into their databases and are therefore responsible for the management of it.

Output and reports - For disposition of output and reports, formerly item h, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later date.

System documentation - Supporting or system documentation, including system development documentation, formerly item i, refers to those records necessary to document how the system captures, manipulates and outputs data. System documentation is transferred to the National Archives along with the electronic data. Disposition of system documentation is covered by schedule 1012, item a.

Related schedules - The CDX is covered by schedule 0097.

Reasons for Disposition:

The following changes were made in the 11/30/2015 version:

- Revised the schedule description.
- Deleted items a, b, h and i which are covered by other schedules.

- Combined items d and e into item c and revised the disposition instructions.
- Deleted item f since the audit and user-defined data are the responsibility of the users.
- Revised guidance.

The following change was made in the 01/31/2014 version:

- Revised function code.

The following change was made in the 11/30/2009 version:

- Revised title of disposition item i.

SRMP is a vehicle for facilities to submit RMPs to the implementing agency and also serves as a national repository of data on hazard assessments. The system maintains the RMPs for on-going analysis. June 20th is the anniversary date for the first submission of RMPs in 1999.

Custodians:

Office of Land and Emergency Management, Office of Emergency Management

- **Contact:** Margaret Gerardin
- **Telephone:** 202-564-2491

Related Schedules:

EPA 1012, EPA 1016, EPA 1035

Previous NARA Disposal Authority:

Entry: 03/17/1997

EPA Approval: 09/15/2004

NARA Approval: 02/09/2005

EPA Records Schedule 0051

Status: Final, 03/31/2015

Title: Alternative Dispute Resolution (ADR) Files Related to Employee Relations

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/27

Description:

Consists of alternative dispute resolution files related to workplace grievances and discrimination complaints. Alternative dispute resolution (ADR) is any procedure, conducted by a neutral third party, that is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, minitrials, arbitration and use of ombuds. The records covered by this schedule relate to techniques and processes used in EPA's ADR program in resolving disputes with or between its own employees.

Includes general files containing general correspondence and copies of statutes, regulations, meeting minutes, reports, statistical tabulations, evaluations of the ADR program, and other records relating to EPA's overall ADR program.

Also includes case files documenting ADR proceedings. These files may include an agreement to use ADR, documentation of the settlement or discontinuance of the ADR case, parties' written evaluations of the process and/or the neutral third party mediator, and related correspondence.

Excludes: 1) Administrative grievance files, adverse action files; 2) Formal and informal equal employment opportunity proceedings, traditional EEO counseling or other records included in the EEO file when a person chooses to go directly to ADR, or private party claims or EEOC's involvement with federal sector claims of non-EEOC employees against other federal agencies; and 3) Use of ADR in matters affecting public health and the environment which are scheduled separately.

Disposition Instructions:

Item a: General files

NARA Disposal Authority: General Records Schedule 1/27a

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

Item b: Case files

NARA Disposal Authority: General Records Schedule 1/27b

- **Disposable**
- Close inactive records after settlement is implemented or case is discontinued.
- Destroy 3 years after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

See schedule 0564 for administrative grievance, disciplinary and adverse action files; schedule 0541 for equal employment opportunity (EEO) records; and schedule 1025 for environmental ADR program case files.

Reasons for Disposition:

The following change was made in the 03/31/2015 version:

- Revised guidance and cross references.

The following changes were made in the 04/30/2009 version:

- Revised schedule title.

- Revised exclusions in description.
- Updated guidance and cross references.

Conforms to NARA's General Records Schedule 1, item 27.

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

Custodians:

Multiple units

Related Schedules:

EPA 0541, EPA 0564, EPA 1025

Previous NARA Disposal Authority:

None

Entry: 01/06/2004

EPA Approval: Not applicable

NARA Approval: 12/00/2003

EPA Records Schedule 0052

Status: Final, 10/31/2014

Title: Superfund Cost Recovery Package Imaging and On-Line System (SCORPIOS)

Program: Superfund

Applicability: Headquarters

Function: 402 - Financial Management

NARA Disposal Authority:

- DAA-GRS-2013-0003-0001

Description:

SCORPIOS (Superfund Cost Recovery Package Imaging and On-Line System) was formerly known as STARS (Superfund Transaction Automated Retrieval System) and SCRIPS (Superfund Cost Recovery Image Processing System). Through the use of image processing technology, SCORPIOS facilitates the storage and retrieval of all site-specific Superfund cost documentation. Input records include timesheets, travel vouchers, miscellaneous expenditures, contract invoices, IAG payments, and other supporting cost documentation. This application is used to generate the financial documentation for the cost recovery package.

SCORPIOS captures financial documentation images at Regional and field sites (i.e., Washington, Cincinnati, RTP) throughout the country. Initially, all those images were stored centrally at EPA's National Computer Center (NCC) data processing facility. The system has been decentralized into each of the Regions.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

NARA Disposal Authority: DAA-GRS-2013-0003-0001

- **Disposable**
- Close when information when superseded, has been transferred to other storage media, or is no longer necessary for the generation of cost recovery packages.
- Destroy or recycle electronic data and related indexes 1 year after closure.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition, and is covered by schedule 1012, item e.

Input - Input, formerly item b, is covered by schedule 1012, item e.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item e, refers to those records necessary to document how the system captures, manipulates and outputs data. Disposition of system documentation is covered by schedule 1012, item e.

Related records - Superfund site-specific records are covered by schedule 1036.

Reasons for Disposition:

The following changes were made in the 10/31/2014 version:

- Updated NARA disposal authority.
- Deleted items a, b, d and e which are covered by other schedules.
- Updated disposition instructions.
- Revised guidance.

The following changes were made in the 03/31/2010 version:

- Removed statement that items a, c and e were to be used only by the headquarters OCFO because there are older versions in the regional offices.
- Revised title of disposition item e.

Item c conforms to GRS 6, item 1 per NARA's appraisal, as part of N1-412-94-3. Items a and e conform to GRS 20, items 10 and 11, respectively.

Custodians:

Office of the Chief Financial Officer, Office of Technology Solutions

- **Contact:** William Amper
- **Telephone:** 202-564-4987

Related Schedules:

EPA 1036

Previous NARA Disposal Authority:

None

Entry: 05/14/1992

EPA Approval: 10/07/1993

NARA Approval: 10/00/2014

EPA Records Schedule 0054

Status: Final, 04/30/2014

Title: Compass Financials (Compass)

Program: Financial Management

Applicability: Headquarters

Function: 402 - Financial Management

NARA Disposal Authority:

- N1-412-94-2/6

Description:

Compass Financials (Compass) is the replacement system for the Integrated Financial Management System (IFMS).

Compass is comprised of several subsystems: Accounts Payable, Accounts Receivable, Automated Disbursements, Budget Execution, Fixed Assets, General Ledger, Purchasing, Travel, External Reports, Project Cost Accounting, General Systems, System Administration, Barch Execution, BIRT Reporting, Momentum Asset Management (Maximo), and Payment Tracking System (PTS).

Compass interfaces with the following systems: Budget Formulation System, Bankcard Payment System, Contract Payment System, eBusiness System, EPA Acquisiton System, Fellowship Payment System, Integrated Grants Management System, GovTrip, Interagency Document Online Tracking System, Integrated Resource Management System, Maximo Property Management, PeoplePlus Payroll, Property Inventory Update, Small Payment Information, Tracking System and Web Based Ordering System. Compass Data Warehouse and Compass Business Objects Reporting are part of Compass Financials and supplement reporting capabilities of the core Compass financial system.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

This item is to be used only by the Office of the Chief Financial Officer, Office of Technology Solutions at Headquarters.

NARA Disposal Authority: N1-412-94-2/6c

- **Disposable**
- Maintain individual records 6 years and 3 months after final payment, then delete when no longer needed unless related to the Superfund program cost recovery efforts (see Agency-wide Guidance).

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

The predecessor system, the Integrated Financial Management System, is no longer active.

Records related to Superfund cost recovery are to be retained according to the disposition instructions for schedule 1036, item c.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and meet NARA-approved disposition. The electronic software program is covered by schedule 1012, item e.

Input - Input, formerly item b, is covered by schedule 1012, item e.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item e, is covered by schedule 1012, item e.

Reasons for Disposition:

The following changes were made in the 04/30/2014 version:

- Added Payment Tracking System to the schedule description.
- Updated cross references in guidance.

The following changes were made in the 04/30/2013 version:

- Revised the schedule title and description.
- Deleted items a, b, d and e which are covered by other schedules.
- Revised guidance.

The following change was made in the 04/30/2008 version:

- Revised disposition instructions for item b.

The following changes were made in the 03/31/2008 version:

- Changed the disposition instructions for items a and b.
- Added applicability to disposition items a, c and e.
- Revised title and disposition instructions for item e.

Records must be kept for cost recovery and audit purposes.

Custodians:

Office of the Chief Financial Officer, Office of Technology Solutions

- **Contact:** Heidi Gross
- **Telephone:** 202-564-6270

Related Schedules:

EPA 1012, EPA 1036

Previous NARA Disposal Authority:

Entry: 05/14/1992

EPA Approval: 10/07/1993

NARA Approval: 11/27/1996

EPA Records Schedule 0055

Status: Final, 05/31/2017

Title: Contracts Management Systems

Program: Procurement

Applicability: Headquarters

Function: 405 - Supply Chain Management

NARA Disposal Authority:

- DAA-GRS-2013-0003-0001 (Item c(1))
- N1-412-09-11c(3) (Item c(3))

Description:

The electronic contracts management systems, currently known as the EPA Acquisition System (EAS), provide comprehensive procurement and contract management life-cycle support from acquisition initiation through contract closeout. They interface with other EPA systems to successfully utilize their capabilities. The systems produce solicitations, contracts, contract modifications, work orders and tasking documents.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c(1): Electronic data - except Superfund site-specific

The Office of Administration and Resources Management, Office of Acquisition Management is responsible for the disposition of this item.

NARA Disposal Authority: DAA-GRS-2013-0003-0001

- **Disposable**
- Delete 6 years after contract closeout.

Item c(2): (Reserved)

Item c(3): Electronic data - Superfund site-specific

The Office of Administration and Resources Management, Office of Acquisition Management is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-11c(3)

- **Disposable**
- Delete 30 years after contract closeout.

Item d(1): (Reserved)

Item d(2): (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in electronic format only and is not media neutral. The electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period. The electronic software program is covered by schedule 1012 item e.

Input - Input, formerly item b, is covered by schedule 1012 item e.

Output and reports - For disposition of output and reports, formerly item d(1), refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System usage reports - System usage reports, formerly item d(2), are covered by schedule 1012 item e.

Systems documentation - Systems documentation, formerly item e, including system development documentation, refers to those records necessary to document how the system captures, manipulates, and outputs data. Disposition of system documentation is covered by schedule 1012 item e.

Related records - Superfund site-specific contract records are covered by schedule 1036 and other acquisitions and contracts by schedule 1004. The systems currently interface with the Integrated Financial Management System (IFMS), scheduled as EPA 0054.

Reasons for Disposition:

The following changes were made in the 05/31/2017 version:

- Corrected applicability from Agency-wide to Headquarters.
- Deleted items a, b, d(1)-(2), and e which are covered by other schedules.
- Updated retention of item c(1) to conform to GRS 1.1 item 010, NARA GRS transmittal 24.
- Updated guidance.

The following change was made in the 09/30/2011 version:

- Updated the description.

The following change was made in the 03/31/2009 version:

- Revised disposition instructions for item c(1) and deleted item c(2) to make them consistent with other contract management records.

The following changes were made in the 10/31/2008 version:

- Revised title of disposition item e.
- Revised reasons for disposition.

The following changes were made in the 04/30/2008 version:

- Revised title of the schedule.
- Revised description.
- Revised applicability of disposition items a, c and e.
- Revised disposition instructions for items b and c.
- Updated contact information.

The following changes were made in the 03/31/2008 version:

- Changed the disposition instructions for item b.
- Added applicability to disposition items a, c and e.
- Revised title and disposition instructions for item e.

This schedule was previously approved by NARA as N1-412-94-2/7 for the Integrated Contracts Management System (ICMS). The disposition item for electronic data has been divided into three subitems and the retention is consistent with other related contract records.

Custodians:

Office of Administration and Resources Management, Office of Acquisition Management

- **Contact:** Sylvia Danley-Smith
- **Telephone:** 202-564-4753

Related Schedules:

EPA 0054, EPA 1004, EPA 1012, EPA 1036

Previous NARA Disposal Authority:

N1-412-94-2/7

Entry: 05/14/1992

EPA Approval: 06/23/2009

NARA Approval: Varies

EPA Records Schedule 0057

Status: Final, 12/31/2013

Title: Environmental Review Tracking System (ERP/ERTS)

Program: Federal Activities

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-94-2/9

Description:

The Environmental Review Tracking System is a central data repository for Environmental Impact Statements (EIS) prepared pursuant to the National Environmental Policy Act. The system data, initially extracted from the EIS, tracks such information as the title of the EIS, date filed, and date review comments are due back to the Agency. The Council on Environmental Quality requires the Agency to maintain the system and publish weekly a notice of available EIS's in the Federal Register. Under Section 309 of the Clean Air Act, EPA is required to review all EIS's and other designated Federal actions and to publish in the Federal Register any project determined to be environmentally unsatisfactory. The system is a relatively simple data entry and retrieval application.

Disposition Instructions:

Item a: Electronic software program

This item is to be used only by the Office of Enforcement and Compliance Assurance, Office of Federal Activities, NEPA Compliance Division at Headquarters.

NARA Disposal Authority: N1-412-94-2/9a

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

Item b: Input

NARA Disposal Authority: General Records Schedule 20/2

- **Varies**

- Follow instructions for schedule 1012.

Item c: Electronic data

This item is to be used only by the Office of Enforcement and Compliance Assurance, Office of Federal Activities, NEPA Compliance Division at Headquarters.

NARA Disposal Authority: N1-412-94-2/9c

- **Disposable**
- Close at end of fiscal year.
- Delete 3 years after file closure.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: System documentation

This item is to be used only by the Office of Enforcement and Compliance Assurance, Office of Federal Activities, NEPA Compliance Division at Headquarters.

NARA Disposal Authority: General Records Schedule 20/11a(1)

- **Disposable**
- Follow instructions for schedule 1012.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

National Environmental Policy Act (NEPA) preparation files are covered by schedule 1035.

Reasons for Disposition:

The following change was made in the 04/30/2008 version:

- Revised disposition instructions for item b.

The following changes were made in the 03/31/2008 version:

- Changed disposition instructions for items a, b, c and e.
- Added applicability to disposition items a, c and e.
- Changed title and disposition instructions of item e.
- Updated contact information.

Records used to track high-level information regarding permanent EIS records are scheduled separately.

Custodians:

Office of Enforcement and Compliance Assurance, Office of Federal Activities, NEPA Compliance Division

- **Contact:** Pearl E. Young
- **Telephone:** 202-564-1399

Related Schedules:

EPA 1012, EPA 1035

Previous NARA Disposal Authority:

Entry: 05/21/1992

EPA Approval: 10/07/1993

NARA Approval: 11/27/1996

EPA Records Schedule 0062

Status: Final, 05/31/2021

Title: Laboratory Information Management Systems (LIMS)

Program: All Programs

Applicability: Agency-wide

Function: 316 - Applied Research and Science Support

NARA Disposal Authority:

- N1-412-09-7

Description:

Includes laboratory information management systems used in EPA laboratories to receive, store and report data generated from laboratory analysis of environmental samples using scientific instruments. Data elements may include sample data, who took the sample and where, contents of the sample and what was asked to be analyzed, who analyzed the sample and when. Data is used to support EPA's environmental programs and often transferred to electronic information systems such as RadNet or similar systems.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

NARA Disposal Authority: N1-412-09-7c

- **Disposable**
- Delete when 3 years old or when no longer needed for the related project or activity, whichever is longer.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Sampling data incorporated into other files (e.g., Superfund site files) or transferred to other databases (e.g., RadNet) are retained according to the disposition instructions for the records they support.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition, which is covered by schedule 1012, item e.

Input - Input, formerly item b, is covered by schedule 1012 item e.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item e, refers to those records necessary to document how the system captures, manipulates and outputs data. System documentation is transferred to the National Archives along with the electronic data. Disposition of system documentation is covered by schedule 1012 item e.

This schedule includes, but is not limited to, the following systems listed by headquarters program or regional office:

Office of Air and Radiation

- Laboratory Data Management System (LDMS)

- Laboratory Network System (LNS)
- National Center for Radiation Field Operations Data Repository System (NCRFO DRS)
- National Center for Radiation Field Operations Environmental Radiation Ground Scanner (NCRFO ERGS)
- National Center for Radiation Field Operations Mobil ER Laboratory (NCRFO MERL)
- National Center for Radiation Field Operations Radon Canister System (NCRFO RCS)
- National Environmental Radiation Ambient Monitoring Database (ARadDS)
- NVFEL Lab Data Management System (LDMS)
- Office of Radiation and Indoor Air (ORIA) Laboratory Information Management System (ORIA LIMS)

Office of Enforcement and Compliance Assurance

- Lab Automation System (LBAU) (Sample Management System)

Region 1

- Labworks
- New England Samples Tracking System (NESTS)

Region 2

- Laboratory Information Management System (LIMS)

Region 4

- Element Laboratory Information Management System (LIMS)
- Laboratory Information Management System (LIMS)

Region 7

- Laboratory Information Management System (LIMS)

Region 8

- Laboratory Information Management System (LIMS)

Electronic information systems with long-term or permanent retention such as the Comprehensive Environmental Response Compensation and Liability System (CERCLIS), EPA 050, are scheduled separately. Other disposable systems not requiring specific schedules have been categorized into this schedule or one of the other "generic" or "big bucket" schedules:

- EPA 0063 - Electronic Models and Expert Systems
- EPA 0089 - Information Tracking Systems
- EPA 0090 - Administrative Support Databases
- EPA 0094 - Electronic Bulletin Boards
- EPA 0096 - Data Standards and Registry Services

- EPA 0098 - Data Marts and Data Warehouses

Electronic records not requiring their own schedules or covered in one of the generic schedules above may be segments or phases of information systems covered by schedule 1012 Information and Technology Management.

Reasons for Disposition:

The following change was made in the 12/31/2019 version:

- Revised list of systems covered in guidance.

The following change was made in the 12/31/2015 version:

- Revised the name Office of Solid Waste and Emergency Response to Office of Land and Emergency Management in guidance.

The following changes were made in the 06/30/2014 version:

- Deleted cross reference to schedule 0179 which is covered by schedule 1012, item e.
- Revised list of systems covered in guidance.

The following changes were made in the 05/31/2014 version:

- Deleted items a, b, d and e which are covered by other schedules.
- Revised list of systems covered in guidance.

The following changes were made in the 11/30/2008 version:

- Revised disposition instructions for item c to include “to support the related project or activity.”
- Revised list of systems covered in guidance.

LIMS was used as a tool to track samples and generate information filed in the related project or program file. The schedule was formerly approved by NARA as N1-412-94-2/11 for the Lab Automation System (LBAU) (Sample Management System) and has been expanded to include LIMS used throughout the Agency.

Custodians:

Multiple units

Related Schedules:

EPA 0063, EPA 0089, EPA 0090, EPA 0094, EPA 0096, EPA 0098, EPA 1012

Previous NARA Disposal Authority:

NC1-412-81-12/36, N1-412-94-2/11

Entry: 07/09/2008

EPA Approval: 04/23/2009

NARA Approval: 07/21/2009

EPA Records Schedule 0063

Status: Final, 05/31/2021

Title: Electronic Models and Expert Systems

Program: All Programs

Applicability: Agency-wide

Function: 316 - Applied Research and Science Support

NARA Disposal Authority:

- N1-412-94-2/12

Description:

Includes a broad range of PC-based computer models and expert systems used in the evaluation, scoring, or interpretation of information or data in support of the Agency's mission. Some systems are designed for use by the public, State programs, or others outside EPA as well as EPA staff. Models allow user to enter data concerning a specific event, case, site, chemical, pesticide, or other entity, and conduct analysis or evaluation, or develop estimates. Expert systems are used to guide users through a process and assist them in reaching a decision, complete an application or other process. There are no legal requirements to create or maintain these systems.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

NARA Disposal Authority: N1-412-94-2/12c

- **Disposable**
- Keep individual records for at least 2 years after completion of action and then delete when no longer needed.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site.

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

System users should be sure to document results of analyses completely. Complete documentation may require results, input data used, search parameters, software used, or similar information to ensure a complete record suitable for litigation support, if necessary, is maintained.

Electronic software program - The electronic software program is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require the electronic records be retrievable and usable for as long as needed to conduct Agency business and meet NARA-approved disposition. The electronic software program is covered by schedule 1012, item e.

Input - Input for the system is covered by schedule 1012, item e.

Output and reports - For disposition of output and reports, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, is covered by EPA 1012, item e.

This schedule item includes, but is not limited to, the following systems, listed by headquarters program or regional office:

Office of Administration and Resources Management

- Automated Procurement Documentation System (APDS)
- EPA ADP Procurement Expert (ADP-EXPERT)

- Headquarters Automated Grant Document System (HAGDS)
- Interagency Agreement Management System (IAMS)

Office of Air and Radiation

- Air Pollutants Exposure Model (APEX)
- AIRNow Real Time Air Quality System (AIRNow)
- Ann Arbor AP-42 Program (APGR)
- Atmospheric Dispersion of Radionuclides (AIRDOSE-EPA)
- California Line Source Model with Queuing (traffic) and hot (spot) Concentrations (CAL3QHC)
- Clean Air Assessment Package (CAP88-PC)
- Climate Wise Emissions Tracking Software (CWETS)
- Climatological Dispersion Model (CDM2)
- Complex Terrain Dispersion Model Plus Algorithms for Unstable Situations (CTDMPLUS)
- Complex Terrain Screening (CTSCREEN)
- COMPLEX1
- CRSTER
- Customer Identifier for Coalbed and Landfill Methane Outreach Program System (CICLOPs)
- Dense Gas Dispersion Model (DEGADS121)
- Diesel Emissions Quantification for Retrofits (DEQ)
- Diesel Retrofit Emissions Estimator (DREE)
- Dose and Risk Assessment Tabulation (DARTAB)
- EMAD UNIX/NT System - Regional Scale Dispersion Model (EMAD)
- Emissions Modeling Framework (EMF)
- Empirical Kinetic Modeling Approach (EKMA)
- Energy Project Landfill Gas Utilization Software (E-PLUS)
- Factor Information Retrieval Data System (FIRE)
- Fugitive Dust Model (FDM)
- Gridded Model Information Support System (GMISS)
- High Level and Transuranic Radioactive Waste Repository Risk Model (REPRISK)
- High Level Radioactive Waste Risk Model (WESPDOSE2)
- Human Exposure Model (HEM)
- Industrial Source Complex 3 Model (ISC3)
- Kinetics Model and Ozone Isopleth Plotting Package (OZIPP)
- LONGZ
- Mapping Generator (MapGen)
- Maximum Individual Dose Model (MAXDOSE)
- MESOPUFFII
- Mobile Source Emissions Factors Model (MOBILE)
- Mobile Source Observation Database (MSOD)
- Motor Vehicle Emission Simulator (MOVES)
- Multiple Point Source Model with Terrain (MPTER)
- National-Scale Air Toxics Assessment Screening Tool (NATA-Scrn)
- National Allowance Data Base (NADB) and Supplemental Data File (SDF)

- Network Flow and Contaminant Transport Model for Statistical and Deterministic Simulations Using Personal Computers (NEFTRANS)
- Offshore and Coastal Dispersion Model (OCD)
- Ozone Depleting Substance Tracking System (ODSTS)
- Personal Computer Continuous Emissions Monitoring System (PC-CEMS)
- Plume Visibility Model (PLUVUE2)
- Prediction of Radiological Effects Resulting from Shallow Trench Operation (PRESTO-EPA, PRESTO-EPA-CPG, PRESTO-EPA-POP)
- Radionuclide Dose Rate/Risk (RADRISK)
- RAM
- SCREEN3
- Shoreline Dispersion Model (SDM)
- SHORTZ
- TANKS Storage Tank Emission Estimation Software (TANKS)
- Total Risk Integrated Methodology (TRIM)
- Toxic Long and Short Term Models (TOXLT and TOXST)
- Toxics Screening Model (TSCREEN)
- Urban Airshed Model (UAM)
- Vehicle and Engine Emission Modeling Software (VEEmdl)
- Visibility Screening Model (VISCREEN)

Office of Chemical Safety and Pollution Prevention

- Aquatox
- Aqueous Hydrolysis Rate Program (HYDROWIN)
- Atmospheric Oxidation Program (AOPWIN)
- Cancer Expert System
- Consumer Occupational Model (COM)
- Dietary Exposure Evaluation Model (DEEM)
- Dietary Risk Evaluation System (DRES)
- Ecological Structure Activity Relationships (ECOSAR)
- Endangered Species Database/Reach Scan Link (ESDB/ReachScan Link)
- FLUSH
- Log Octanol/Water Coefficient Program (LOGKOW)
- Melting Point, Boiling Point, Vapor Pressure Estimation Program (MPBPVP)
- Multi-Chamber Consumer Exposure Model (MCCEM)
- Probabilistic Dilution Model (PDM3)
- Risk-Screening Environmental Indicators (RiskScrnEI)
- Screening Exposure Assessment Software (SEAS)
- TRI Environmental Indicators (TRI-EI)
- Use Cluster Scoring System (UCSS)
- Wall Paint Exposure Assessment Model (WPEM)

Office of Enforcement and Compliance Assurance

- BEN/ABEL
- Individual Ability to Pay Model (INDIPAY)

- Municipal Ability to Pay Model (MUNIPAY)
- NEIC Light Detection and Ranging System (LIDAR)
- PROJECT Model (PROJECT)

Office of Environmental Information

- Envirofacts Master Chemical Integrator (EMCI)
- Enviromapper (EM)
- Seasonal Soil Compartment Model and Analytical Transient 1,2,3 Dimensional Model (SESOIL)

Office of Land and Emergency Management

- Assessment Tool for the Evaluation of Risk (ASTER)
- Computer-Aided Data Review and Evaluation (CADRE)
- Computer-Aided Management of Emergency Operations (CAMEO)
- Corrective Action Advisor 1/Texas (CAXSL)
- EPA's Composite Model for Landfills (EPACML)
- Grant Allocation Formula
- Hazard Ranking System Site Assessment Tools/Software (HRS)
- Industrial Waste Air Model (IWAIR)
- Industrial Waste Management Evaluation Model (IWEM)
- National Corrective Action Prioritization System (NCAPS)
- Preliminary Assessment Scoring System (PASCORE)
- Priority Assessment Model (PAM)
- Public Health Risk Evaluation Database (PHRED)
- REG-In-A-Box (REGBOX)
- RMP*COMP
- Superfund Performance Evaluation Sample Web System (SPSWeb)
- Superfund Site Selection Support System (SSSSS)
- Texas Smart Maps Stopper Expert System
- Waste Reduction Model (WARM)
- WebEOC - Crisis Management (WebEOC)

Office of Research and Development

- Advanced Utility Simulation Model (AUSM)
- All Ages Lead Model (AALM)
- Aquatic Bioassay System (AQTOX)
- AREAL-RTP Northeast Regional Oxidant Study (NEROS)
- AREAL-RTP Regional Air Pollution Study (RAPS)
- Benchmark Dose Software (BMDS)
- Better Assessment Science Integrating Point and Nonpoint Source (BASINS)
- Design Conditions Program (DESCON)
- Design Flow Program (DFLOW)
- Dynamic Hydrolic Model (DYNHYD)
- EMSL-Cinci Performance Evaluation System

- Enhanced Stream Quality Model (QUAL2E)
- Environmental Sampling Expert Systems - Soil Metals (ESES-SM)
- EPANET
- EXEC/OP Program for Computer-Aided Synthesis of Wastewater Treatment Systems (EXEC/OP)
- Expert Systems for Location of Facilities in Wetlands (WET ENVIRO)
- Final Cover Advisory System (F-COVER)
- Flexible Membrane Liner Advisory Expert System (FLEX)
- Food and Gill Exchange of Toxic Substances (FGETS)
- GeneTox Manager (GTM)
- Geostatistics for Waste Management (GEOPACK)
- Geosynthetic Modeling System (GM)
- Green Cross Solar (GCSOLAR)
- Hydrocarbon Spill Screening Model (HSSM)
- Hydrologic Evaluation of Landfill Performance Model (HELP MODEL)
- Industrial Combustion Emissions Model (ICE MODEL)
- Infiltration/Exfiltration Model (INFEXF)
- Leachate Collection Advisory Expert System (L-CES)
- Littoral Ecosystem Risk Assessment Model for Prediction of Risk of Chemical Stressors Entering the Aquatic Environment (LERAM)
- Modeling Capture Zones of Ground-Water Wells Using Analytic Elements (CZAEM)
- Modular Semi-Analytical Model for the Delineation of Wellhead Protection Areas (WHPA)
- Modular Three-Dimensional Transport Model (MT3D)
- Multimedia Exposure Assessment Model for Evaluating the Land Disposal of Hazardous Wastes (MULTIMED)
- Natural Attenuation Decision Support System (BIOPLUME III and BIOSCREEN)
- Numerical Codes for Delineating Wellhead Protection Areas in Agricultural Regions Based on the Assimilative Capacity Criterion (3DFEMWATER/3DLEWASTE)
- One-Dimensional Water and Chemical Movement in Unsaturated Soils (CHEMFLO)
- Parameter Estimation System for Aquifer Restoration Models (OASIS)
- Pesticide Assessment Tool for Rating Investigations of Transport (PATRIOT)
- Pesticide Root Zone Model (PRZM)
- Pesticides Analytical Transport Solution (PESTAN)
- PH Monitor and Reporter (PHR)
- Philip's Two-Term Model (PHILIP2T)
- Physiological Data Acquisitions and Storage System (PDAS)
- Premixed One-Dimensional Flame Code (PROF)
- Quantitative Structure Activity Relationships System (QSAR)
- Radio Chemistry Programs for Radiation Calculations (RADIO CHEM)
- Regional Vulnerability Assessment (ReVa EDT)
- Regulatory and Investigative Treatment Zone Model (RITZ)
- Retention Curve Computer Code (RETC)
- Risk of Unsaturated/Saturated Transport and Transformation of Chemical Concentration (RUSTIC)
- Severity Categories Applied to Risk Estimation (SCATRE)
- Simulated Waste Access to Ground Water (SWAG)
- Soil Transport and Fate Database and Model Management System (STF)

- Soil Venting Model (SOILVENT)
- Spatial Analysis System (SAS)
- Stochastic Human Exposure and Dose Simulation Models (SHEDS)
- Storm Water Management Model (SWMM4)
- Terrestrial Environmental Exposure Assessment Model (TEEAM)
- Three Dimensional Subsurface Flow, Fate and Transport of Microbes and Chemicals Model (3DFATMIC)
- Toxic Substances Research (HETC)
- Two Dimensional Contaminant Transport Under the Influence of Oxygen Limited Biodegradation in Ground Water (BIOPLUMEII)
- Two Dimensional Finite Element Program for Multiphase Flow and Multicomponent Transport (MOFAT)
- Two Dimensional Plumes in Uniform Ground Water Flow (PLUME2D)
- Two Dimensional Subsurface Flow, Fate and Transport of Microbes and Chemicals Model (2DFATMIC)
- Urban Wastewater Toxics Flow Model (TOXFLOW)
- Vadoze Zone Leaching Model (VLEACH)
- Vegetation Cover Advisory Expert System (VEGCOV)
- Waste Analysis Plan Review Advisor (WAPRA)
- Water Supply Simulation Model (WSSM)
- Well Head Protection Area Delineation Model (WHPA)

Office of Water

- Dynamic Toxics Wasteload Allocation Model (DYNTOX)
- Hydrologic and Water Quality System (HAWQS)
- Land Application/Distribution and Marketing Model for Terrestrial Pathways
- Landfill
- Sludge Incineration Model
- Stormwater Survey Data Owner Developer - CBI
- Water Geo Services (WGS)
- Watershed Assessment, Tracking and Environmental ResultS (WATERS)

Region 2

- Coastal Profile Reporting System (CPRS)
- Latitude/Longitude Digitizing Program (DIGIT)
- NEPAssist

Region 3

- APD Priority Screening Tool (APDPst)
- Chesapeake Bay Office Time-Variable Chesapeake Bay Model (CBPO TVCBM)
- Chesapeake Bay Watershed Model (WSM)
- HSPF Watershed Model (HSPFWM)
- Three Dimensional Time Variable Water Quality Model (3-DTVM)

Region 4

- American Indian Lands Environmental Support Project (AILESP)
- GeoWaters

Region 5

- Critical Ecosystems Assessment Model (CrEAM)
- Ecosystem Browser (ECOMAPPER)
- Environmental Justice Map Objects - Intranet Map Server Application (EJ MO IMS)
- Great Lakes Environmental Database (GLENDA)
- Identification of Economically, Environmentally Important Areas (EEIA)
- Long Term Hydrologic Impact Analysis (LTHIA)
- Midwest Partnership for Watershed Management Decision Support Systems (MSDSS)
- Mississippi River Basin Tool (MrBst)
- Northeast Ohio MAGIC 2000 (NEOHMAGIC2000)
- Priority Assessment Model (PAM)
- Superfund Site Demographics (SFSITEDEMO)

Region 6

- Carpool Locator (CARPOOL)

Region 8

- Permit Generator

Region 9

- Dredged Material Tracking System (DMATS)

Region 10

- Bluesky Rapid Access Information System (Bluesky RAINS)
- Rapid Access Information System (RAINS)

Electronic information systems with long-term or permanent retention such as schedule 0496 Air Quality System (AQS) are scheduled separately. Other disposable systems not requiring specific schedules have been categorized into this schedule or one of the other "generic" or "big bucket" schedules:

- EPA 0088 - Bibliographic and Reference Systems
- EPA 0089 - Information Tracking Systems
- EPA 0090 - Administrative Support Databases
- EPA 0094 - Electronic Bulletin Boards
- EPA 0096 - Data Standards and Registry Services
- EPA 0098 - Data Marts and Data Warehouses

Electronic records not requiring their own schedules or covered in one of the big bucket schedules above may be segments or phases of information systems covered by EPA 1012 Information and Technology Management.

Reasons for Disposition:

The following change was made in the 12/31/2019 version:

- Revised list of systems covered in guidance.

The following change was made in the 11/30/2019 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following change was made in the 06/30/2019 version:

- Revised list of systems covered in guidance.

The following change was made in the 12/31/2015 version:

- Revised the name of Office of Solid Waste and Emergency Response to Office of Land and Emergency Management in guidance.

The following changes were made in the 12/31/2014 version:

- Updated list of big bucket schedules in guidance.
- Revised list of systems covered in guidance.

The following changes were made in the 06/30/2014 version:

- Deleted cross reference to schedule 0179 which is covered by schedule 1012, item e.
- Revised list of systems covered in guidance.

The following changes were made in the 02/28/2014 version:

- Deleted items a, b, d and e which are covered by other schedules.
- Updated cross references in guidance.

The following change was made in the 04/30/2010 version:

- Revised name of Office of Prevention, Pesticides, and Toxic Substances to Office of Chemical Safety and Pollution Prevention in guidance.

The following changes were made in the 04/30/2008 version:

- Revised title of disposition item a.

- Revised disposition instructions for item b.

The following changes were made in the 03/31/2008 version:

- Changed the disposition instructions for items a and b.
- Revised title and disposition instructions of item e.

Custodians:

Multiple units

Related Schedules:

EPA 0088, EPA 0089, EPA 0090, EPA 0094, EPA 0096, EPA 0098, EPA 1012

Previous NARA Disposal Authority:

Entry: 05/14/1992

EPA Approval: 10/07/1993

NARA Approval: 11/27/1996

EPA Records Schedule 0068

Status: Final, 12/31/2013

Title: Reasonable Accommodation Request Records

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/24

Description:

Contains information created and maintained while receiving, coordinating, reviewing, processing, approving, and reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164. A reasonable accommodation is a change in the work environment or in the way things are customarily done that would enable an individual with a disability to enjoy equal employment opportunities. The three categories of reasonable accommodation are:

Modification or adjustments to a job application process to permit an individual with a disability to be considered for a job, such as providing application forms in large print or Braille;

Modifications or adjustments necessary to enable a qualified individual with a disability to perform essential functions of the job, such as providing sign language interpreters; and

Modifications or adjustments that enable employees with disabilities to enjoy equal benefits and privileges of employment, such as removing physical barriers in an office or cafeteria.

This includes all requests for reasonable accommodation and/or assistive technology devices and services offered through the agency or the Computer/Electronic Accommodation Program (CAP) that are made by or on behalf of applicants, current or former employees. Also includes medical records, supporting notes and documentation, as well as procedures and records related to processing, deciding, implementing, and tracking requests for reasonable accommodation(s).

Disposition Instructions:

Item a: General files

Includes Agency-wide and departmental procedures for receiving, processing, and appealing requests for reasonable accommodation by employees and applicants. Files may include, but are not limited to, instructions, directives, notices, forms, timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation. Also includes records notifying the Equal Employment Opportunity Commission (EEOC), the agency's collective bargaining representative(s) and the agency's EEO office of the agency's reasonable accommodation request and processing procedures as well as modifications to established procedures.

NARA Disposal Authority: General Records Schedule 1/24a

- **Disposable**
- Destroy 3 years after supercession or when no longer needed for reference whichever is later.

Item b: Employee case files

Includes individual employee files that are created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relations coordinators, immediate supervisors, CAP administrator, or HR specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services through the agency or CAP that have been requested for or by an employee. This series also includes, but is not limited to, request approvals and denials, notice of procedures for informal dispute resolution or appeal processes, forms, correspondence, e-mails, records of oral conversations, medical documentation, and notes.

NARA Disposal Authority: General Records Schedule 1/24b

- **Disposable**
- Destroy 3 years after employee separation from the agency or all appeals are concluded whichever is later.

Item c: Supplemental files

Includes records created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relation coordinators, while advising on, implementing or appealing requests for or from an individual employee for reasonable accommodation. Some requests may involve HR matters, including but not limited to changes in duties, reassignments, leave usage, and performance issues. Files may include, but are not limited to, policy guidance, resource information about accommodation providers, forms, e-mails, notes.

NARA Disposal Authority: General Records Schedule 1/24c

- **Disposable**
- Destroy 3 years after end of fiscal year in which accommodation is decided or all appeals are concluded, whichever is later.

Item d: Tracking system

Includes records and data created, received, and maintained for purposes of tracking agency compliance with Executive Order 13164 and EEOC guidance.

NARA Disposal Authority: General Records Schedule 1/24d

- **Disposable**
- Destroy 3 years after compliance report is filed or when no longer needed for reference.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Items b and c, employee case files and supplemental files are not part of an employee's Official Personnel File (OPF) or part of a supervisor's unofficial personnel file.

Medical information, when necessary to be obtained to process a reasonable accommodation request, must be kept confidential. The EPA Order and Procedures for Reasonable Accommodation require the national reasonable accommodation coordinator (NRAC) to maintain any and all medical information obtained by the Agency in connection with reasonable accommodation requests. Although local office reasonable accommodation coordinators (LORACs) may need access to medical information in order for them to process a request for reasonable accommodation, at the conclusion of the process all medical information is transferred to the NRAC to maintain. This means if someone other than the NRAC obtains confidential information during the reasonable accommodation process, it must be transferred to the NRAC in sealed confidential envelopes. The information is maintained in separate files and kept in locked cabinets in the NRAC's office.

Reasons for Disposition:

Conforms with NARA's General Records Schedule 1, item 24.

Item e for electronic mail and word processing system copies was deleted 08/15/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

Previous NARA Disposal Authority:

Entry: 07/22/2004

EPA Approval: Not applicable

NARA Approval: 07/00/2004

EPA Records Schedule 0077

Status: Final, 05/31/2017

Title: Correspondence Management System (CMS)

Program: All Programs

Applicability: Headquarters

Function: 404 - Technology Management

NARA Disposal Authority:

- N1-412-07-37

Description:

The Correspondence Management System (CMS) is an electronic document management system that captures, stores, routes, and tracks correspondence, responses, and supporting documents. The system is available for use Agency-wide. Documents are either scanned or keyed into the system and routed through the review and approval process. The system has predefined templates for responses and can import documents from other databases. After signature, the final signed document is scanned into the system.

All data from the predecessor system, National Correspondence Tracking and Information Management System (NCTIMS), was migrated to CMS in October 2004.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

This item is to be used only by the Office of the Administrator, Office of the Executive Secretariat at Headquarters.

NARA Disposal Authority: N1-412-07-37c

- **Disposable**
- Follow the disposition instructions in the applicable records schedule.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in electronic format only, and is not media neutral. The electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

CMS is not a recordkeeping system. However, since it interfaces with EPA's electronic recordkeeping system (ECMS), retention is managed via ECMS and paper copies may be destroyed after they have been placed into CMS and checked for quality. Records placed into CMS and ECMS are covered by their specific records schedules and not this schedule. For example, controlled correspondence for senior officials is covered by schedule 1051, and controlled correspondence for employees other than senior officials and general correspondence is covered by schedule 1006.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period. The electronic software program is covered by schedule 1012 item e.

Input - Input, formerly item b, is covered by schedule 1012 item e.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item e, refers to those records necessary to document how the system captures, manipulates, and outputs data. Disposition of system documentation is covered by schedule 1012 item e.

Reasons for Disposition:

The following changes were made in the 05/31/2017 version:

- Corrected applicability from Agency-wide to Headquarters.
- Deleted items a, b, d, and e which are covered by other schedules.

- Updated guidance and cross references.

The following change was made in the 01/31/2011 version:

- Updated guidance.

The following changes were made in the 09/30/2010 version:

- Revised guidance to include statement about records schedules for records placed into CMS.
- Updated contact information.

The following change was made in the 10/31/2008 version:

- Revised disposition instructions for item e.

The following changes were made in the 04/30/2008 version:

- Added applicability to disposition items a, c and e.
- Revised disposition instructions for items b and e.

CMS helps EPA meet several GPRA goals such as timely availability of information. Disposition of the data is based on the approved schedules related to the individual document created or entered into the system.

Item f for electronic copies created with word processing and electronic mail applications deleted in 11/07/2006 version pursuant to NARA Bulletin 2006-04.

Custodians:

Office of the Administrator, Office of the Executive Secretariat

- **Contact:** Keith Livingston
- **Telephone:** 202-564-9962

Related Schedules:

EPA 1006, EPA 1012, EPA 1051

Previous NARA Disposal Authority:

None

Entry: 05/16/2006

EPA Approval: 01/08/2007

NARA Approval: 07/15/2008

EPA Records Schedule 0088

Status: Final, 01/31/2022

Title: Bibliographic and Reference Systems

Program: All Programs

Applicability: Agency-wide

Function: 305 - Public Affairs

NARA Disposal Authority:

- N1-412-94-2/15

Description:

Includes a broad range of primarily PC-based systems used to provide ready, user friendly, access to frequently used information. Information may be drawn from other Agency databases, commercially available databases, Agency records, publicly available sources, or a combination of sources. Also includes metadata repositories.

Information is brought together to simplify access and provide specialized support for specific information needs. In no case is the system (a) required by law, (b) necessary to administer a program, or (c) necessary to document program activity. If the information in the system is used for any of the activities a - c above, an information system (automated or manual) is maintained separately to satisfy those requirements. If the system is used as a finding aid to records, it is disposable under either an Agency approved schedule or NARA's General Records Schedules (GRS).

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

NARA Disposal Authority: N1-412-94-2/15c

- **Disposable**
- Delete individual records 2 years after completion of action and when no longer needed.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and meet NARA-approved disposition. The electronic software program is covered by schedule 1012, item e.

Input - Input, formerly item b, is covered by schedule 1012, item e.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item e, is covered by schedule 1012, item e.

This schedule includes, but is not limited to, the following systems listed by headquarters program or regional office:

Office of the Administrator

- Office of Small and Disadvantaged Business Utilization (OSDBU) Small Business Vendor Profile System (SBVPS)
- Program Evaluation Database (PgmEvaldb)
- Program Evaluation Library

Office of Administration and Resources Management

- Electronic Course Catalogue System (E-CATS)
- EPA On-Line PC Help System (NDPD)
- INFOTERRA International Directory of Sources (INFOTERRA)
- National Environmental Publications Information System (NEPIS)
- OA-RTP Keyword-in-Context Index (KWIC/IBM)
- Solid Waste Publications Database

Office of Air and Radiation

- Air Emissions from Treatment Storage and Disposal Facilities for Hazardous Waste (TSDF)
- Airborne Particulate and Precipitation Data (ERD)
- Ann Arbor Certification Information and Fuel Economy Data Base (CIDB)
- Applicability Determination Index (ADI)
- Community Assessment Database (CADB)
- Emissions Certification Data Base (ECDB)
- ENERGY STAR Store Locator (E*Store)
- Fuel Economy (LDSFE)
- Fuels Inspection Data Base (FUELDB)
- Heavy-Duty Engine Certification Data (HDECERT)
- Imports Data Base (IDBS)
- In-Use Technology Assessment (IUTA)
- Light-Duty Vehicle/Truck Certification (LDS)
- Motorcycle Certification Data (MOCERT)
- National Air Toxics Information Clearinghouse (NATICH)
- Occupational Radiation Data Files
- Recall Data Base (RECALLDB)

Office of Chemical Safety and Pollution Prevention

- Acute Oral Toxicity for Birds, Mice, Rats (ORALTOX)
- Carcinogen Interaction Hazard Assessment Databases and Softwares (CIHADS)
- Chemical Collection Library System (CCS)
- Chemical Hazard Information Profiles (CHIPS)
- Chemicals in Commerce Information System (CICIS)
- ChemView
- Confidential Chemicals Identification System (CCID)
- EPCRA Targeting System (ETS)
- Food and Feed Commodity Vocabulary
- Green Chemistry Literature Database
- Listing of Fish and Wildlife Advisories (LFWA) Database
- Microbial Information System (MICRO-IS)
- OPPT Chemical Directory System (CHEMD)
- PCB Activity Database System (PADS)
- PCB Transformer Registration Database (PCBTRdb)
- Pesticide Information Network (PIN)

- Pesticide Management Resource Guide (PMReG)
- Production/Exposure Profiles (PEPS)
- Reference File System (REFS)
- Substitute Hazard Profiles (Sub Haz Prof)
- Tolerance Index System (TIS)

Office of Chief Financial Officer

- Environmental Financing Information Network Database (EFIN)

Office of Enforcement and Compliance Assurance

- Criminal Investigation Index (CII)
- Federal Facilities Inventory System (FFIS)
- Hazardous Waste Casefinder (HWC)
- OCEFT/NEIC Master Tracking System
- Potentially Responsible Parties System (PRP)

Office of Environmental Information

- Environmental Dataset Gateway (EDG)
- International Register of Potentially Toxic Chemicals (IRPTC)
- National Records Management Program (NRMP) Records Management Collection
- National Shapefile Repository (NShapeRep)
- Online Library System/National Library Catalog (OLS/NLC)

Office of Land and Emergency Management

- Aerial Photo Database
- Capacity Assurance Planning (CAP) 1989 Database (EPACAP)
- Case Study Database System (CSDS)
- Compendium of Environmental Testing Laboratories (CETL)
- Corrective Action Bibliographic Data Base (CORRECTIVE)
- Enforcement Case Support Expert Resources Inventory System (ERIS)
- Facilities and Company Tracking System (FACTS)
- Firm Facility Financial Data Base (F3DB)
- Hazardous Waste Collection Data Base (HWCD)
- Hazardous Waste Identification Rule (HWIR) Process/Waste Database (HWIRPWDB)
- NPL Characterization System
- NPL Information System
- NPL Technical Database
- Office of Solid Waste and Emergency Response (OSWER) Directives System (OSWERDS)
- Recordkeeping and Reporting Requirements for RCRA Permittees
- Reportable Quantities Data Base (RQ DB)
- Unit Cost Compendium (UCC)
- Vendor Field Analytical and Characterization Technologies System (VFACTS)
- Vendor Information System for Innovative Treatment Technologies (VISITT)

Office of Research and Development

- 1985 National Acid Precipitation Assessment Program Emission Inventory (NAPAP)
- A National Compendium of Freshwater Fish and Water Temperature Data (FISHTEMP)
- Acute and Chronic Toxicity Database (ACUTE)
- Alternative Treatment Technology Information Center (ATTIC)
- Aquatic Toxicity Information Retrieval (AQUIRE)
- Causal Analysis/Diagnosis Decision Information System (CADDIS)
- Chemical Unit Record Estimates Database (CURE)
- Complex Terrain Field Studies Database (CTM)
- Criteria (or Critical) Reference Information Bank (CRIB)
- Database of Sources of Environmental Releases of Dioxin-Like Compounds in the United States
- Discharge Monitoring Report - Quality Assurance Studies (DMR-QA)
- Dose/Duration Toxicology Data Plotting System (D2PLOT)
- Drinking Water Treatability Database (TDB)
- Ecotoxicology Database (ECOTOX)
- EMSL-Las Vegas Library Book System (VBOK)
- EMSL-Las Vegas Library Inventory (VLIB)
- Environmental Fate Constants Information System (EFCIS)
- Enviroene VendInfo (VendInfo)
- GENE-TOX Carcinogen Data Base (GENETOX)
- Genetic Activity Profile Data Base
- GTD Bioassay System and Database (GTDMIS)
- Indoor Air Reference Bibliography (IARB)
- Lake Analysis Management System (LAMS)
- Models Knowledge Base
- Municipal Waste - Combustion - Ash Disposal Facilities Data Base (ASH DISPOS)
- National Compendium of Freshwater Fish and Water Temperature Data (FISHTEMP)
- National Utility Reference File (NURF)
- NRMRL Treatability Database
- PHYTOTOX Database
- Proximity of Waste Sites to Sensitive Environments (PROXIMITY)
- Risk Reduction Engineering Laboratory - Computerized On-Line Information System (GREL-COLIS)
- Technical Assistance Database (TAD)
- Technical Information Plan (TIP)
- TERRETOX Database
- Toxicologic Interaction Data Base (MIXTOX)
- Water Pollution Lab Performance Evaluation Studies (WP)
- Water Supply Laboratory Performance Evaluation Studies (WS)

Office of Water

- Drinking Water Regulations and Health Advisories (DWR-HA)
- National Environmental Methods Index (NEMI)
- National Listing of Fish and Wildlife Advisories (LFWA)

- National Sewage Sludge Survey (NSSS)
- OGWDW Publications Inventory and Bibliography
- Sanitary Sewer Rulemaking (SSRule)
- Summary of State and Federal Drinking Water Standards and Guidelines
- Water Contaminant Information Tool (WCIT)
- Wetlands and Aquatic Species List
- Wetlands Data Base

Region 1

- Research Library for RCRA Database (RLRCRA)
- Research Library for RCRA Foundation Grants Database (RLRCRA(2))

Region 2

- Channel on EPA Geospatial Data Gateway (GDG)

Region 7

- Geospatial Data System (GISDATA)
- Title V Policy and Guidance Database (TitleVPGD)

Region 9

- County Names and Species List (Species)
- Environmental Services Branch-Library System (ESB-LIB)
- Indian Nations Directory (INDB)
- Radioactive Material Licenses (RAM)
- Superfund Administrative Records (SuperfundAR)
- Superfund FACT Sheets (SuperfundFACT)
- Superfund Images (SuperfundFoto)
- Superfund Maps
- Superfund National Priorities List Public Assistance Database (SuperfundNPLP)
- Superfund Record of Decision (SuperfundRD)
- Superfund Technical Documents (SuperfundTD)
- Sustainable Development (SDD)
- Title 6 Reference (Title6)

This schedule also covers metadata repositories, including locational metadata (e.g., latitude and longitude) used for geographic information systems (GIS). The systems that use the locational metadata and GIS functionality to support monitoring and assessment activities are covered by other schedules (e.g., EPA 0063).

Electronic information systems with long-term or permanent retention such as the Air Quality System (AQS) (EPA 0496) are scheduled separately. Other disposable systems not requiring specific schedules have been categorized into this schedule or one of the other "generic" or "big bucket" schedules:

- EPA 0062 - Laboratory Information Management Systems
- EPA 0063 - Electronic Models and Expert Systems
- EPA 0089 - Information Tracking Systems
- EPA 0090 - Administrative Support Databases
- EPA 0094 - Electronic Bulletin Boards
- EPA 0096 - Data Standards and Registry Services
- EPA 0098 - Data Marts and Data Warehouses

Electronic records not requiring their own schedules or covered in one of the big bucket schedules above may be segments or phases of information systems covered by schedule 1012 Information and Technology Management.

Reasons for Disposition:

The following change was made in the 02/29/2020 version:

- Revised list of systems covered in guidance.

The following change was made in the 12/31/2019 version:

- Revised list of systems covered in guidance.

The following change was made in the 7/31/2018 version:

- Revised list of systems covered in guidance.

The following change was made in the 12/31/2015 version:

- Revised name of Office of Solid Waste and Emergency Response to Office of Land and Emergency Management in guidance.

The following change was made in the 07/31/2015 version:

- Revised list of systems covered in guidance.

The following change was made in the 08/31/2014 version:

- Revised list of systems covered in guidance.

The following changes were made in the 06/30/2014 version:

- Deleted cross reference to schedule 0179 which is covered by schedule 1012, item e.
- Revised list of systems covered in guidance.

The following changes were made in the 04/30/2014 version:

- Deleted items a, b, d and e which are covered by other schedules.

- Updated list of systems covered in guidance.
- Updated cross references in guidance.

The following change was made in the 04/30/2010 version:

- Revised name of Office of Prevention, Pesticides, and Toxic Substances to Office of Chemical Safety and Pollution Prevention in guidance.

The following changes were made in the 04/30/2008 version:

- Revised title of disposition item a.
- Revised disposition instructions for item b.
- Reorganized guidance.

The following changes were made in the 03/31/2008 version:

- Changed disposition instructions for items a and b.
- Revised title and wording of disposition instructions for item e.

Conforms to GRS 20 and 23.

Custodians:

Multiple units

Related Schedules:

EPA 0062, EPA 0063, EPA 0089, EPA 0090, EPA 0094, EPA 0096, EPA 0098, EPA 1012

Previous NARA Disposal Authority:

Entry: 09/23/1992

EPA Approval: 10/07/1993

NARA Approval: 11/27/1996

EPA Records Schedule 0089

Status: Final, 11/30/2021

Title: Information Tracking Systems

Program: All Programs

Applicability: Agency-wide

Function: 305 - Public Affairs

NARA Disposal Authority:

- DAA-GRS-2013-0002-0016

Description:

Consists of a broad range of paper and electronic systems used to track the processing of permits, applications, reports, approvals, and other actions relating to records that are disposable under NARA's General Records Schedules (GRS) or an approved Agency records schedule.

Disposition Instructions:

Item a: Record copy

Includes tracking and control records used to provide access to and control of records authorized for destruction by the GRS or a NARA-approved records schedule, including indexes, lists, registers, inventories, and logs.

Excludes records containing abstracts of records content or other information that can be used as an information source apart from the related records which are covered by the schedules for the content (e.g., enforcement, permits).

NARA Disposal Authority: DAA-GRS-2013-0002-0016

- **Disposable**
- Close when no longer needed for current agency business.
- Destroy immediately after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic

format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

For electronic tracking systems, the disposition instructions in this schedule apply to the electronic data. The disposition instructions are to be applied when the system is no longer needed to conduct Agency business.

Electronic software program - The electronic software program is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require the electronic records be retrievable and usable for as long as needed to conduct Agency business and meet NARA-approved disposition. The electronic software program is covered by schedule 1012, item e.

Input - Input for the system is covered by schedule 1012, item e.

Output and reports - For disposition of output and reports, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the longer retention period.

System documentation - System documentation, including system development documentation, is covered by EPA 1012, item e.

This schedule includes, but is not limited to, the following electronic systems listed by headquarters program or regional office:

Office of the Administrator

- Administrative Courtroom Calendar (ACC)
- Administrative Enforcement Dockets
- ADP Tracker
- ADP Tracker Reporting Module
- DBE Docket Classification System
- Econ Forum Intranet
- Environmental Appeals Board Tracking Systems

- EPA Case Tracking Systems
- NCEE Project Inventory and NCEE Project Inventory - Library
- NCEE Regulatory Review Roles and NCEE Regulatory Review Roles - Economic Analysis Review
- OCR Title VI Team Tracking System
- Office of Administrative Law Judge Cases (OALJ-Case)
- OPEI Econ Info, OPEI Econ Info - Interviews, and OPEI Econ Info - Job Applicant
- OPEI Economic Forum Intranet
- OPEI Environmental Economics Report Inventory
- OPEI Environmental Policy and Economics
- OPEI Regulatory Economic Analysis Inventory - RIA
- Regional Hearing Clerk's Case Tracking System (RHCCTS)
- Rule and Policy Information and Development System (RAPIDS)
- SAB Products
- SCOUT
- State Innovation Grants Database
- Vendor and Project Management Database System (VPMDS)

Office of Administration and Resources Management

- Agency Asset Management System (AAMS)
- ARCS Contract Tracking System (ACT)
- Audio Visual System (AUDIO)
- Benefits Employee Services Tracking (BEST)
- Change Management System (CMS)
- Conference Scheduling System (CONFERENCE)
- Critical Mail Tracking System (CMTS)
- EPA Parking Tracking System (EPA-PTS)
- Federal Acquisition Institute Training Application System (FAITAS)
- Federal Information Processing Resources Procurement Tracking System (FIPRPTS)
- Master Inventory System (MAIS)
- NSCEP Publication Mailing List Database
- NSCEP Publication Ordering Database
- Peregrine Network Management System (PNMS)
- PM Photocopy Management System (PMS)
- Printing Tracking System (PTS)
- Security Incidents System (SECINCID)
- Time Sharing Services Management System Online Registration System (TSSMS-ORS)

Office of Air and Radiation

- Air Quality Performance Tracking (AQPT)
- Air Significant Violators System (AIRSVL)
- Assembly Line Test (ALT-SEA)
- Automated Imports Tracking System (AITS)
- Fees
- Laboratory Computer System (LCS)

- Manufacturers Programs Branch Investigation Tracking System (MPBIT)
- MAPSWeb
- MPB Exemptions
- Ozone Depleting Substance Tracking System (ODSTS)
- SmartWay Transport Partnership Customer Relationship Management Database
- State Technology and Policy Option Query Tool (STPOQT)
- Survey Data (Radon)
- Thermoluminescent Dosimetry Instrument Control and Database Management System (TLD)
- Transportation Air Quality (TRAQ)

Office of Chemical Safety and Pollution Prevention

- Chemical Review Management System (CRMS)
- Chemicals on Reporting Rules (CORR)
- Comprehensive Assessment Information Rule Database (CAIR)
- Data Call In System (DCI)
- Distributor File Database
- Federal Lead-Based Paint Program (FLPP) Database
- Foreign Purchaser Acknowledgement Statement System (FPAS)
- Interagency Testing Committee Tracking System (ITS)
- JACKETS
- Management Information Tracking System (New Chemicals) (MITS)
- Pesticide Indemnification (Administrative Claims) Tracking System
- Pesticide Registration Document Tracking System (PRDTS)
- Pesticide Registration Fee Response Database
- Pesticide Regulatory Activity Tracking (PRAT)
- P2 Grants Plus System
- Simple Maintenance of ARTS (SMART)
- TSCA 8(e) Initial Screening Database

Office of Chief Financial Officer

- Relocation Expense Management System (mLINQs, moveLINQ)

Office of Enforcement and Compliance Assurance

- Consent Decree Tracking System (CDETS)
- Enforcement Docket System (DOCKET)
- Enforcement Document Retrieval System (EDRS)

Office of Environmental Information

- Enterprise Identity and Access Management (EIAM)
- Error Correction Tracking System (ECTS)
- Information Collection Request, Review, and Approval System (ICRAS)
- Integrated Error Correction Process (IECP) Database

- National Records Management Program (NRMP) Email Records Training Database

Office of General Counsel

- Assistance Disputes (ADTRACS)
- Bid Protest Tracking System (BIDS)
- General Counsel Defense Docket System (DEFENSIVE)

Office of Inspector General

- AutoAudit for Windows
- Suspension and Debarment System (SDS)

Office of International and Tribal Affairs

- International Visitors Reporting System
- Tribal Consultation Opportunities Tracking System (TCOTS)
- Tribal General Assistance Program Off-line (GAP Off-line)

Office of Land and Emergency Management

- Contract Laboratory Program Support System (CLPSS)
- Delisting Petition Tracking System (DPDMS)
- EPA OSC Websites (EPAOSC)
- OWPE Controlled Correspondence (OWPE CCIS)
- Removal Cost Management System (RCMS 2000)
- Response.EPA.Gov (EPAOSC)
- Scribe, NET
- TrainX

Office of Research and Development

- Assembly Line Test (MPBALT)
- Athens Purchase Order System (APOS)
- ERL-Duluth Travel Protection System (TPS)
- Facility Key Tracking System (KTRK)
- Histology Database (MED-Histology)
- MED Headquarters Action Response Tracking System (HARTS)
- Records Management Database (RMD)
- Research Tracking System (RTS)

Office of Water

- 301(h) Application Tracking System (301(H)INFO)
- Aircraft Reporting and Compliance System (ARCS)
- Arsenic Occurrence Database (AOD)
- Assessment Total Maximum Daily Loads Tracking and Implementation System (ATTAINS)

- Clean Water Act Indian Set Aside Tracking (CWA-ISAT)
- Clean Water Benefits Recording System
- Clean Water State Revolving Fund National Information Management System (CWNIMS)
- EPA Primacy Tracking Tool
- Inventory and Measures Reporting System (IMRS)
- Microbial and Disinfection Byproducts (M-DBP) Research Tracking System (M-DBPTrk)
- National Aquatic Resource Surveys Information Management System (NARS IM)
- National Assessment and TMDL Tracking System (NATTS)
- National Estuary Program On-Line Reporting Tool (NEPORT)
- Office of Water Waters Intelligence (OW WI)
- OW Project Tracking System
- Section 319 Grants Reporting and Tracking System (GRTS)
- Total Maximum Daily Loads Tracking System (TMDL Tracking)
- Water Alliances for Voluntary Efficiency Program (WAVE)

Region 1

- Checklist
- Chemical Emergency Preparedness (CAMEO)
- Chemical Inventory System (CHEMINV)
- Clean Air Act Federal Programs Database (MACT)
- Current Actions Tracker (CAT)
- Fellowship Application Review Database (FARD)
- Information Center Equipment Tracking System (IC-ETS)
- Information Center Request Tracking System (IC-RTS)
- Manifest Tracking System (MANIFEST)
- Map Tracker (MAPTRACKER)
- National Pollutant Discharge Elimination System Permit Tracking System (PERWIN)
- Regional Information Catalog and History (RICH)
- Regional Systems Inventory (RSI)
- Request for Assistance (RFA)
- SF Records Center Project Tracking (SFRC)
- START Technical Direction Document (START TDD)
- State Implementation Plan Tracking System (SIPS)
- Transit Subsidy System (TRANSIT)
- Video/Internet/Design Information (ViDi)

Region 2

- Executive Correspondence Control System (ECC)
- Quality Assurance Tracking System
- ScheduleR2
- Stockroom Management (STCMGT)
- Superfund Enforcement Support System (SESS)
- Superfund File Management System (SFR2FMS)
- Toxic Substances Section Controlled Correspondence Tracking System (CCTS)
- UST Enforcement Database

Region 3

- Automated Procurement Tracking System (PRTRACK)
- Correspondence Tracking System (CTS)
- Environmental Management System (EMS)
- Environmental Services Assistance Team (ESAT) Deliverables Task Assignment System
- General Dynamics Deliverables Task Assignment System
- Laboratory Procurement Request and Sample Testing Assignment Tracking System
- Office of Analytical Services and Quality Assurance File Tracking System
- Office of Analytical Services and Quality Assurance Laboratory Equipment Inventory Tracking System
- Office of Analytical Services and Quality Assurance Sample Analytical Data Tracking System
- Permit Tracking (PT)
- Pesticide Information Database (PID)
- PROMIUM ELEMENT Database
- Public Water Supervision System (PWSS)
- Regional Laboratory Information Management System (RLIMS)
- State and Regional Training Database
- Superfund Five Year Reviews and Closeout Reports
- Superfund Record Center Document Tracking (SRCDT)
- UIC Field Inspector's Tracking System (UFITS)
- Water Information Management System (WIMS)
- Well Information Management System (WIMS)

Region 4

- Administrative Officers Tracking Plan (ADW)
- Analytical Support Time Sheet Management
- Contract Lab Program Support System (CLPSS)
- Equipment Tracking (EQP)
- ESAT Tracking System
- Facility Work Request Tracking (FACILITY)
- Field Employee Training System (FETS)
- Information Center Equipment Scheduling System (INFOCEN)
- Payroll Transmittal Log (TX)
- PSD Log System (PSDL)
- Purchase Request Tracking System (PRTS)
- Safety Tracking
- Superfund Oversight Tracking (OVERSIGHT)
- Superfund Quick Records Management System (SQUIRM)
- Supply Ordering and Tracking (SUPPLY)
- Versatile Document Management System (VSSENT)
- Wetlands Enforcement Tracking System
- Wetlands Permit Regulatory Tracking System

Region 5

- 303(d) List
- 404 Public Notice
- Air and Radiation Division Correspondence Tracking (ARDCORRE)
- Air and Radiation Division Significant Violators Tracking System (AIRSVL)
- CBI On-line Training
- Citizen Complaints Database
- Citizen Complaints for WECA
- Clean Air Act Confidential Business Information Database (CAA CBI DB)
- Coal Tracker
- Complaint Resolution System (CRSys)
- Congressional Information System (CIS)
- CSO SSO
- Drinking Water Total Maximum Daily Load Tracking (DWTMDL)
- Electronic Air Permits Online (EPERMITS)
- Electronic Air Permits Online Global Warming (GLOBAL2)
- Enforcement Tracking System (ETS)
- GHG SEPs (GHG Mitigation Project Database)
- GLI Administrative Record
- Grants
- Great Lakes Commitment Tracking
- Great Lakes Initiative (GLI) Toxicity Data Clearinghouse
- GWDW Database
- Health and Safety Section Training
- Innovation Projects
- MaxiFlex 4/10
- Michigan Wetlands Prog P/N
- New State Implementation Plans (NEWSIPS)
- NPDES Admin Record
- Record Center Tracking (RCT)
- Regional Methods Initiative Tracker (RMI Tracker)
- Superfund Billing Tracking System (BTS)
- TMDL Updates
- Transit Subsidy Request
- Travel Comp Time-Off
- UIC Class V Database
- UIC Deep Well Data Management System
- UIC Deepwell Database
- Water Division Assessment Strategy (WD SOP Tracking System)
- Water Division Quality Assurance Tracking System (WDQA)
- Water Program Consolidated Database
- Water Quality Standards Tracking System (WQSTS)
- Watershed Implementation Tracking
- WD Current Activities
- WD Hot Issues/Significant Activity Reports
- Wetlands Enforcement Tracking
- Wisconsin Air Emissions (WIEMISS2)
- Wisconsin Title V Air Permit Database 2 (WISCON)
- WW Accountability Database

- WW Contract Deliverables

Region 6

- Archival Procedure for Controlled Correspondence (ARCHIVE)
- CAED Internal eRespository (CAED DOCS)
- CAED Transparency, Openness, Communications and Accountability Repository (CAED TOCAR)
- CAED Underground Injection Control Application (CAEDUIC)
- Chemical Analysis Reporting System (CARS)
- CONTROLS
- Enforcement Actions Tracking System (EATS)
- HAZTRAKS
- HELPDESK
- Personnel Property System (PPS)
- QTRAK
- Records Tracking System (RTS)

Region 7

- Accomplishments Tracking System (ATS)
- ACT!
- Chemical Inventory System (CHiM-Vertere)
- Inspection Targeting, Planning and Tracking Database (INSPTRA)
- Inspection Tracking System (ITS)
- Labor and Sample Tracking (LAST)
- Lead-Based Paint Compliance Database (LBP Compliance)
- Quality Assurance Training Tracking System (QATTS)

Region 8

- Brownfields Database
- CHEMINV
- Environmental Information Service Center Call Log (EISC Call Log)
- EPA Task Manager
- Geographic Information System (GIS2K1)
- GIS Production Database (GISPrd)
- Lead-based Paint Tracking System (LbPTsys)
- Legal Enforcement Program Tracking System (LEPTRACK)
- LogRhythm
- Physical Access Control System (PACS)
- RCRA Enforcement Action Tracking System (REATS)
- Superfund Site Identifer
- Versatile Enterprise

Region 9

- Air Division Indian Team (ADIT)
- Electronic RCRA Records Center (ERRC)
- Enforcement Activity Tracker
- ERC Tracker (ERCTrk)
- Helpline Tracking System
- Pesticide Episode Reports (PER)
- Pesticide Issues (PestIssue)
- Publication Request Tracking System (PRT)
- Quality Assurance Corrective Action (QACA)
- Release Profiles (Release)
- Removal Data
- Site Overview
- Superfund Guidance Review (SuperfundGuid)
- Toxic Substances Control Act (TSCA) Database (TSCA)

Region 10

- Automated TDD Generator System (ATGS)
- Bankcard Log (BANKCARD)
- Congressional Correspondence Tracking System (CCTS)
- Diver Tracking System (DTS)
- Enforcement Tracking System (ETS)
- Environmental Management System
- ESD Laboratory Service Request Tracking (ESD)
- Federal Facilities Tracking System (FFTS)
- Grant Tracking System (GTS)
- Grants Tracking (R10 GRANTRAC)
- Help Desk Tracking System (HELP)
- Inventory Management System (IMS)
- Invoice Tracking System (ITS)
- Lab Purchasing (LabPurch)
- Library Circulation System (LCS)
- National Pollutant Discharge Elimination System Compliance and Enforcement Program (NCEP)
- National Pollutant Discharge Elimination System Compliance Unit Office Manager (NCU Office)
- Office of Environmental Assistance Project Tracking (OEA Project)
- Personal Computer Support Task Tracking (PCSup)
- Project Tracking (PT)
- Regional Matter Tracking System (RMTS)
- Resource Conservation and Recovery Act Reports (RCRA Report)
- Superfund Document Tracking System (SFDS)
- Tribal Grants Tracking (IGAP)
- Web Help Desk
- Workplan Tracking (WPT)

Electronic information systems with long-term or permanent retention such as EPA 0496 Air Quality System (AQS) are scheduled separately. Other disposable systems not requiring specific

schedules have been categorized into this schedule or one of the other "generic" or "big bucket" schedules:

- EPA 0062 - Laboratory Information Management Systems
- EPA 0063 - Electronic Models and Expert Systems
- EPA 0088 - Bibliographic and Reference Systems
- EPA 0090 - Administrative Support Databases
- EPA 0094 - Electronic Bulletin Boards
- EPA 0096 - Data Standards and Registry Services
- EPA 0098 - Data Marts and Data Warehouses

Reasons for Disposition:

The following change was made in the 12/31/2019 version:

- Revised list of systems covered in guidance.

The following change was made in the 12/31/2015 version:

- Revised name of Office of Solid Waste and Emergency Response to Office of Land and Emergency Management in guidance.

The following change was made in the 11/30/2015 version:

- The NARA disposal authority and disposition instructions were revised to conform to GRS 4.1, item 010.

The following changes were made in the 07/31/2014 version:

- Revised guidance.
- Revised list of systems covered in guidance.

The following changes were made in the 06/30/2014 version:

- Deleted cross reference to schedule 0179 which is covered by schedule 1012, item e.
- Revised list of systems covered in guidance.

The following changes were made in the 04/30/2014 version:

- Updated cross references in guidance.
- Revised the list of systems covered in guidance.

The following changes were made in the 02/28/2014 version:

- Updated cross references in guidance.
- Revised list of systems covered in guidance.

The following change was made in the 05/31/2010 version:

- Revised name of Office of International Affairs to Office of International and Tribal Affairs in guidance.

The following change was made in the 04/30/2010 version:

- Revised name of Office of Prevention, Pesticides, and Toxic Substances to Office of Chemical Safety and Pollution Prevention in guidance.

Conforms to GRS 23, item 8.

Custodians:

Multiple units

Related Schedules:

EPA 0062, EPA 0063, EPA 0088, EPA 0090, EPA 0094, EPA 0096, EPA 0098, EPA 1012

Previous NARA Disposal Authority:

GRS 21/29, GRS 23/8

Entry: 09/24/1992

EPA Approval: 10/07/1993

NARA Approval: 08/00/2015

EPA Records Schedule 0090

Status: Final, 06/30/2022

Title: Administrative Support Databases

Program: All Programs

Applicability: Agency-wide

Function: 401 - Administrative Management

NARA Disposal Authority:

- Varies

Description:

Includes a broad range of primarily PC-based systems used to support administrative or housekeeping functions, containing information derived from paper copy records or from other electronic data systems disposable under NARA's General Records Schedules or an approved Agency records schedule. Examples of these databases include budget preparation, property management, program planning, spending, accounting, activity reporting, and resource allocation.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: (Reserved)

Item d: Electronic data

NARA Disposal Authority: Varies

- **Disposable**
- Follow the disposition instructions for the related records.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36

CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Disposition instructions for the electronic data - Follow the disposition instructions for the related records. For example, if the electronic data is related to office staffing covered by schedule 1006, item b, use the disposition instructions for 1006b for the electronic data. If more than one records schedule or item applies, follow the disposition instructions with the longer retention period.

Electronic software program - The electronic software program is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and meet NARA-approved disposition. The electronic software program is covered by schedule 1012, item e.

Input - Input is covered by schedule 1012, item e.

Output and reports - For disposition of output and reports, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the longer retention period.

System documentation - System documentation, including system development documentation, is covered by schedule 1012, item e.

This schedule includes, but is not limited to, the following systems listed by headquarters program or regional office:

Office of the Administrator

- ADP Certificates
- ADP Online Training System
- Anticipated Grants Awards Reporting System (AGARS)
- AO Community News
- Briefing Materials (BriefMat)
- CMS Information
- Communication Product Development and Approval Tracking System (PROTRAC)
- DA Mail Processing
- Document Index System (DIS)
- Environmental Appeals Board Calendar (EABC)
- Environmental Protection Agency Gifts Database (EPA Gifts)
- EPA HQ Press Releases

- EPA Press Office
- Equal Employment Opportunity Network (EEONET)
- FACA Committee Database
- HSSP Tracking
- Mail Processing
- Multimedia Requests
- OEPI Information
- OEX Leave Calendar
- Office of Administrative Law Judges Check Log (OALJ CL)
- Office of Civil Rights Reporting System (OCRS)
- Office of the Administrator Help System (OA Help)
- OPA Communications Contacts
- OPA E-Clips
- OPA Leave Calendar
- OPA Phone Log
- OPA Training
- OPEI Econ Info - Grants Competition and Job Applicant
- OSBDU Request Tracker
- Public Liaison Contacts
- Records Schedules
- SAB Contacts
- SAB Online Training
- SAB People Database
- SAB Product Database
- SAB Room Reservations
- Visual Power Files Database (VPFD)

Office of Administration and Resources Management

- AARP Cost Analysis and Tracking (AARP)
- ADMINLAN - Office Forms Facilitator and Perform Pro Administrative LAN
- ADP Budget Planning System (APS)
- ADP Budget Preparation System
- ADP Inventory System (ADPIS)
- Advanced Information System for Career Management (AISCM)
- Applicant Tracking System (ATS)
- Audit Tracking System (AUDIT)
- Automated Clearing House Network (EPA-ACH)
- Automated Document Control Register (ADCR)
- Automotive Statistical Tool/Compliance Dashboard (AST)
- Barcode Information System (BARCIS)
- Building Information Center System (BIC)
- Carpool System (CARPOOL)
- Case Application for Debarment and Suspension (CADS)
- Catalog of Federal Domestic Assistance (CFDA)
- Circulation System (EPACIR)
- Conference Scheduler/Audio Visual System (CSS)
- Conflict of Interest National System (COINS)

- Contract Delivery Order Tracking System (CDOTS)
- Delivery Order Tracking System (DOTS)
- Dock Freight System (DFS)
- Environmental Priorities Initiative Tracking System (EPITS)
- EPA Child Care Database
- EPA RTP Locator System (FMSR)
- EZ-Hire
- Facilities Alterations Tracking System (FATS)
- Foundation Information and Real Property Management System (FIRM)
- Grantee Compliance Activities Database
- Grants Administration Division Management Information System (GADMIS)
- Hotline Assistance Request System (IRMHELP)
- In-House Mailing Label Support System
- Interlibrary Loan Copywrite
- Inventory Tracking System (INVENT)
- IRM Budget System (IPS)
- IRM User Support Calls Tracking and Statistical Analysis System (IRMHELP)
- Labor Services Request Tracking System (LSRTS)
- Mail Distribution System (MDS)
- Mail Management System (MMS)
- Management Audit Tracking System (MATS)
- National Locator (LOCATOR)
- OA-Cinc (EMSAC) Library Circulation System (LCS)
- OARM-RTP Parking Application (OPRK)
- Parking
- PaymentNet (PNET)
- Performance Appraisal System (PAS)
- Performance Standards System
- Personal Property Accounting System (PPAS)
- PhotoCopy System (PCS)
- Project Officer Record System (PORS)
- Project Tracking System (PTS)
- Real Estate Database System (REDS)
- RUSCO Access Card Reader System
- Small Procurement Automated Tracking System (SPATS)
- Small Purchases Automated Management System (SPAMS)
- Superfund Cost Organization and Recovery System (SCORE $)
- Supply Store System (SSS)
- Utilization Management (FMSD)

Office of Air and Radiation

- Contract Administration Assistance Tool (CAAT)
- Registrar
- Selective Enforcement Audits (SEA)
- Tracking Responses to Acid Rain Compliance Requirements Database (TRAC)

Office of Chemical Safety and Pollution Prevention

- Asbestos School Hazard Abatement Automated Information System (ASHAAIS)
- Certification Plan and Reporting Database (CPARD)
- Chemical Hazard Data Availability Study
- Document and Personnel Security System (DAPSS)
- Environmental Accounting Case Studies (EACSdb)
- Export Notification Tracking System (ENTS)
- OPP Planning Support System (OPPAS)
- SAP SACC People Database
- Voluntary Partnership Program

Office of Chief Financial Officer

- Bankcard Allocation System (Bankcard)
- EPA Electronic Time Sheet (ETS)
- Management Audit Tracking System (MATS)

Office of Enforcement and Compliance Assurance

- NEIC Library System
- NETI eLearning Center
- Time Accounting System

Office of Environmental Information

- eBusiness (Working Capital Fund eBusiness Application)
- Electronic Capital Planning and Investment Control System (eCPIC)
- MaaS360 Mobile Device Management (MaaS360 MDM)
- National Records Management Program File Plan Tool (Matrix)
- National Records Management Program Help Desk Tool
- National Records Management Program Schedule Tracker
- National Records Management Program SF135 Database
- ServiceNow (SN or SNOW)
- Xacta

Office of General Counsel

- Correspondence Management Tracking System (CMTS)
- Ethics Travel Database
- OGC Hiring and Recruitment System
- One Law Office (1LO)
- Workproduct Database

Office of Inspector General

- Correspondence Control System (CCS)
- Identicard
- Inspector General Enterprise Management System (IGEMS)

- Investigation Tracking System (ITS)
- Prime Audit Tracking System (PATS)
- Superfund Audit Planning Data Retrieval System (SAPDRS)
- Time and Attendance Approval Processing (TAAP)
- Travel Funds Tracking System (TFTS)

Office of International and Tribal Affairs

- Fast International Approval of Travel (FIAT)
- International Travel Reports by Organization and Country
- Passport Expiration Notification System (PENS)
- Tribal Document Control Registry (Tribal DCR)
- Tribal General Assistance Program On-Line (GAP On-Line)

Office of Land and Emergency Management

- Assessment, Cleanup, and Redevelopment Exchange System (ACRES)
- Chemical Safety Audit (CSA)
- e-Manifest
- Management Information System/Routine Analytical Services (MIS/RAS)
- Management Information System/Special Analytical Services (MIS/SAS)
- Office of Solid Waste Administrative Services Team System (AST)
- OSWER Data Resource Directory (DRD)
- Tribal Underground Storage Tanks Database (TrUSTD)
- Waste Import Export Tracking System (WIETS)
- Workstation Inventory System (WIS)

Office of Research and Development

- ADP Capital Equipment Inventory System (ADPCETS)
- AEERL-RTP Management Information System (IMIS)
- Athens Chemical Inventory System (ACIS)
- Athens Financial Management System (AFMS)
- Athens Personnel System (APS)
- Athens Telephone Inventory System (ATIS)
- Boilers and Chillers System (BandCS)
- Changes Clause Advisory System (CHANGESC)
- ERL-Athens Lab Planning System (ALPS)
- ERL-CORV Financial Management (CVFM)
- ERL-CORV Library Circulation System (CVLB)
- ERL-CORV Personnel Management (CVPM)
- ERL-Duluth Personnel Information Projection System (PIPS)
- ERL-Gulf Breeze Financial Data Management (FMS)
- ERL-Gulf Breeze Laboratory Contributions Data Management System (CONTRIBS)
- ERL-Gulf Breeze Text Data Management (EPALIT)
- Expert Maintenance Management System (EMM)
- Facility Management System (FMS)
- Full Time Equivalence (FTE)

- GED - Week at a Glance Newsletter (GED WGN)
- Gulf Breeze Task Sheet Information Management System (TASKSHEET)
- Health Effects Research Laboratory Management Information System (HERL MIS)
- Integrated Accountability Management System (IAMS)
- Laboratory Management Information System (LMIS)
- MED-Duluth Financial Management and Reporting System (FMRS)
- Office of Research and Development Awards Database (ORD AD)
- Office of Research and Development Equipment Justification System (OEJS)
- Office of Research and Development Information Systems (ORDIS)
- Personal Property Accountability System (PPAS)
- Personnel Computer Inventory System (PCIS)
- Program Management System (PMS)
- Project Output Planning System (POPS)
- Purchase Order System (POS)
- Purchase Requisition Order (PRO)
- Reference Manager (RM)
- Staff Database (MED-SDB)
- Supply Inventory System (SUPPLY)
- Telephone Call Analysis System (TCAS)
- Training Data System (TDS)

Office of Water

- Information Collection Rule (ICR) Federal Database
- Operator Training Program - 104(g)(1) Database (OT-104g)

Region 1

- Enforcement Pipeline Inspection Conclusion (EPIC)

Region 2

- File Management System (FMS)
- Monthly Program Grants Reporting System (MGR)
- Regional Response Center (RRC)
- Training Budget Tracking System (TBTS)
- Transit Subsidy System (TSS)

Region 3

- Branch Accounting System (BAS)
- Emergency Contacts Information System (ECIS)
- Hazardous Site Cleanup Division Flexiplace Lob (HFL)
- Imprest System (IMPREST)
- Office of Analytical Services and Quality Assurance (OASQA) ACCT3
- Office of Analytical Services and Quality Assurance (OASQA) Time Sheets
- Suggestions Tracking System (SUGGS)

Region 4

- Congressional Correspondence
- COOP Database
- EQuIS
- Fleet Reservation System
- Foot Prints
- Inmagic/DB Textworks (Office of Environmental Accountability)
- IT Project Tracking System
- Phone Book (PhnBook)
- Quality Assurance Tracking System
- Regional Information Sensitivity Application (CBI)
- Schedule Board/Activity Board
- SF 52 Tracking
- Software Library

Region 5

- CARS
- Versatile Enterprise
- Water Division Phone Tree (WDPhone)
- Water Resource Assignment Project System (WRAP)
- WD CBI Tracking
- WD File Room Checkout

Region 6

- Advisory Database (ADVDB)
- Contract and Payment System (CAPS)
- Cost On-line Superfund Tracking System (COSTS)
- Direct Implementation Management System (DIMS)
- Electronic Region 6 Advisory Database (eR6Advisory)
- Financial Management Report Generator (EZTREV)
- Flexible Schedule Database
- Generalized Meeting Tracking System (MEETS)
- Generalized Sequential Update (UPDATE)
- Grants Interactive Tracking System (GITS)
- Historical Interactive Travel System (HITS)
- Infirmary Activity Reporting (INFIRMARY)
- Monthly Budget System (MBS)
- On-Line Superfund Cost Reporting (OSCR)
- Personnel Compensation and Benefits Projection System (PCBPRJ)
- Personnel Locator (LOCATOR)
- Reconcile All Personnel Payroll (RAPP)
- Regional Applicants Tracking System (RATS-PIMS)
- Regional Comparative Risk Project (RCRP)
- Safety Information Management System (SIMS-PIMS)
- Security Tracking System (STS)

- Status of Funds (SOF)
- Superfund Enforcement Tracking System (SETS)
- Training Information Management System (TIMS-PIMS)
- Travel Management System (TMS)
- Vendor Interactive Tracking System (VISTA)
- Weekly Activity Report Template (WAR)
- Year-to-date Computer Cost (YTD)

Region 7

- Daily Flexible Schedule (DFS)
- FIFRA Establishment Neutral Scheme (FIFRA)
- FIFRA Neutral Inspection Selection System (FIFR)
- Nebraska Pesticide Certification Database (APPLICATOR)
- Nebraska Pesticide Dealers (PEST DEAL)
- Nebraska Pesticide Dealer Neutral Scheme (DEALERS)
- Phone List (Phone)
- TOSCA Neutral Scheme (TSCA-PCB)

Region 8

- 104(e) Response Database
- AO Budget
- Electronic Forms (ELF)
- Health and Safety System (HSS)
- HR Tracker
- ID Works Visitor ID System
- Livescan IDENTIX 3000
- Medical Monitoring Program (MMP)
- Resource Management System (RMS)
- Tribal Assistance Program (TAP)

Region 9

- Class 5 Injection Wells Inventory System (IWIS)
- I.C. On-Line Registration (ICOR)
- Judy's SIP Test
- Legal Documents
- Lotus Notes Environmental Impact Statement System (NOTESEIS)
- NTEU Chapter 295 Database (NTEU)
- Office of Regional Counsel Resume Database (ORCResume)
- Personnel Compensation and Benefits and Full Time Equivalence System (PCB/FTE)
- Procurement Tracking System (PTS)
- Regional Account Support System (RSA System)
- Resources Management System (RMS)
- Schedule, Tracking and Registration for Training System (S.T.A.R.T.)
- Senior Environmental Employee Estimating and Tracking System (SEE/AARP)
- Travel Tracking System (TTS)

Region 10

- Blanket Purchase Order Tracking (BPOT)
- Budget Worksheets (BugetSht)
- Budget Worksheets (MTF)
- Code Library (Code)
- Environmental Education Clearinghouse (EECH)
- News Media Databases by State (Newsdb)
- Performs
- Spill Prevention, Control and Countermeasure System (SPCC)

Electronic information systems with long-term or permanent retention such as CERCLIS (EPA 050) are scheduled separately. Other disposable systems not requiring specific schedules have been categorized into this schedule or one of the other "generic" or "big bucket" schedules:

- EPA 0062 - Laboratory Information Management Systems
- EPA 0063 - Electronic Models and Expert Systems
- EPA 0088 - Bibliographic and Reference Systems
- EPA 0089 - Information Tracking Systems
- EPA 0094 - Electronic Bulletin Boards
- EPA 0096 - Data Standards and Registry Services
- EPA 0098 - Data Marts and Data Warehouses

Reasons for Disposition:

The following change was made in the 12/31/2019 version:

- Revised list of systems covered in guidance.

The following change was made in the 12/31/2015 version:

- Revised name of Office of Solid Waste and Emergency Response to Office of Land and Emergency Management in guidance.

The following changes were made in the 07/31/2014 version:

- Removed outdated NARA disposal authority and replaced with "Varies."
- Deleted items a-c and added item d.
- Revised guidance.

The following changes were made in the 06/30/2014 version:

- Deleted cross reference to schedule 0179 which is covered by schedule 1012, item e.
- Revised list of systems covered in guidance.

The following changes were made in the 04/30/2014 version:

- Updated cross references in guidance.
- Revised list of systems covered in guidance.

The following changes were made in the 05/31/2010 version:

- Revised name of Office of International Affairs to Office of International and Tribal Affairs in guidance.
- Revised name of Office of Prevention, Pesticides, and Toxic Substances to Office of Chemical Safety and Pollution Prevention in guidance.

Custodians:

Multiple units

Related Schedules:

EPA 0062, EPA 0063, EPA 0088, EPA 0089, EPA 0094, EPA 0096, EPA 0098, EPA 1012

Previous NARA Disposal Authority:

NC1-412-85-22/21, GRS 20/3b

Entry: 09/24/1992

EPA Approval: Not applicable

NARA Approval: 08/00/1995

EPA Records Schedule 0094

Status: Final, 12/31/2019

Title: Electronic Bulletin Boards

Program: All Programs

Applicability: Agency-wide

Function: 305 - Public Affairs

NARA Disposal Authority:

- N1-412-96-1/1

Description:

Includes a broad range of systems used to provide ready, user-friendly access to frequently used information in a "public forum" format. Announcements and messages can be posted and read by any user. Information may be drawn from Agency databases, publicly available sources or a combination of sources. Also includes other types of on-line dialogue, including chat rooms, discussion forums, blogs, wikis, listservs, Lotus Notes Teamrooms and QuickPlace.

Information is brought together to simplify access and provide specialized support for specific information needs. Often used to distribute software programs, models, or text files.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

NARA Disposal Authority: N1-412-96-1/1c

- **Disposable**
- Delete when no longer needed.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in electronic format only, and is not media neutral. The electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, system documentation) are covered in schedule 1012 Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Substantive information which meets the definition of an Agency record and is disseminated via a bulletin board or other on-line system must be documented in an Agency recordkeeping system and retained in accordance with approved records schedules. If the bulletin board information is unique and not documented elsewhere, a separate records schedule is required.

Electronic software program - The electronic software program is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require the electronic records be retrievable and usable for as long as needed to conduct Agency business and meet NARA-approved disposition. The electronic software program is covered by schedule 1012, item e.

Input - Input for the system is covered by schedule 1012, item e.

Output and reports - For disposition of output and reports, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, is covered by EPA 1012, item e.

This schedule includes, but is not limited to, the following systems listed by headquarters or regional office:

Office of the Administrator

- Flow of the River
- Greenversations
- Lean Manufacturing
- Office of Homeland Security (OHS) Teamroom (OHS-TR)

Office of Administration and Resources Management

- Office of Environmental Justice Bulletin Board System (OEJ BBS)

Office of Air and Radiation

- Control Technology Center (CTC)
- EPA Model Clearinghouse
- Management and Accountability Process System (MAPS)
- Technology Transfer Network (TTN)

Office of General Counsel

- E-discovery QuickPlace

Office of Land and Emergency Management

- Clean-Up Information Bulletin Board System (CLU-IN)

Office of Research and Development

- Center for Exposure Assessment Modeling Electronic Bulletin Board System (CEAM BBS)
- Office of Research and Development Electronic Bulletin Board System (ORD BBS)

Office of Water

- EPA Decentralized Wastewater Management Web-Based Discussion Forum
- Nonpoint Source (NPS) Electronic Bulletin Board
- Nonpoint Source Pollution Info (NPSInfo)

Region 3

- Indicators/Outcomes

Other disposable systems not requiring specific schedules have been categorized into this schedule or one of the other "generic" or "big bucket" schedules:

- EPA 0063 - Electronic Models and Expert Systems
- EPA 0088 - Bibliographic and Reference Systems
- EPA 0089 - Information Tracking Systems
- EPA 0090 - Administrative Support Databases
- EPA 0096 - Data Standards and Registry Services
- EPA 0098 - Data Marts and Data Warehouses

Electronic records not requiring their own schedules or covered in one of the big bucket schedules above may be segments or phases of information systems covered by schedule 1012 Information and Technology Management.

Reasons for Disposition:

The following change was made in the 12/31/2019 version:

- Revised list of systems covered in guidance.

The following change was made in the 11/30/2016 version:

- Revised the media neutral paragraph in Guidance to state that this schedule is not media neutral and covers the electronic format only.

The following change was made in the 12/31/2015 version:

- Revised the name of Office of Solid Waste and Emergency Response to Office of Land and Emergency Management in guidance.

The following changes were made in the 07/31/2014 version:

- Deleted items a, b, d and e which are covered by other schedules.
- Deleted cross reference to schedule 0179 which is covered by schedule 1012, item e.

The following changes were made in the 04/30/2008 version:

- Revised title of disposition item a.
- Revised the description.
- Revised disposition instructions for item b.
- Reorganized guidance.

The following changes were made in the 03/31/2008 version:

- Changed the disposition instructions for items a and b.
- Revised the title and wording of the disposition instructions in item e.

Bulletin boards are used as a means to disseminate information captured in other places. Bulletin boards and Web sites with unique information are scheduled separately.

Custodians:

Multiple units

Related Schedules:

EPA 0063, EPA 0088, EPA 0089, EPA 0090, EPA 0096, EPA 0098, EPA 1012

Previous NARA Disposal Authority:

Entry: 02/17/1994

EPA Approval: 04/28/1995

NARA Approval: 01/20/1999

EPA Records Schedule 0095

Status: Final, 03/31/2017

Title: Web Sites

Program: All Programs

Applicability: Agency-wide

Function: 305 - Public Affairs

NARA Disposal Authority:

- N1-412-08-8b (Item b)
- DAA-GRS-2013-0005-0004 (Item c)
- N1-412-08-8d (Item d)
- Varies (Item e)

Description:

The EPA Web site is a resource providing information about EPA, providing services to the public or internal employees and contractors, and supporting the mission of Agency programs. The Web site is also used to distribute software programs, models, and textual, video, sound or image files.

This schedule covers the content on the site and site management documentation, and applies to the Internet, intranet, extranet, portals, podcasts, streaming media, and other popular forms of transmission.

Web content records are covered by the applicable records schedules for the functions they support; e.g., Web pages related to permits are covered by schedule 1047. If the Web content records are unique and not covered by existing schedules, they must be scheduled separately.

Disposition Instructions:

Item a: (Reserved)

Item b: Site management and operations

Includes reports, statistics, procedures and approvals.

NARA Disposal Authority: N1-412-08-8b

- **Disposable**
- Close inactive records at end of year.
- Destroy 5 years after file closure.

Item c: Log files

Includes unprocessed log files, application logs, and similar files.

NARA Disposal Authority: DAA-GRS-2013-0005-0004

- **Disposable**
- Destroy when 3 years old.

Item d: Web content - not unique

Includes markup language, code, textual and audiovisual files, contextual hyperlinks, and content from backend systems used to generate static or dynamic content on the site(s), as well as screen captures and site snapshots, when the record copy is captured elsewhere.

NARA Disposal Authority: N1-412-08-8d

- **Disposable**
- Destroy when superseded, obsolete, or no longer needed to conduct Agency business, whichever is later, but not longer than the retention of the record copy. See EPA 0008 - Nonrecords.

Item e: Web content - unique

Includes markup language, code, textual and audiovisual files, contextual hyperlinks, and content from backend systems used to generate static or dynamic content on the site(s), as well as screen captures and site snapshots, when the record copy is not captured elsewhere.

NARA Disposal Authority: Varies

- **Varies**
- Follow the disposition instructions for the applicable records schedule. If not covered by existing schedules, contact the National Records Management Program (NRMP) to develop a new one.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and

Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Web content

- Web content records documenting EPA's operations, decisions, and actions that are needed to protect the legal and financial rights of the government and the public must be captured in a recordkeeping system and retained in accordance with the applicable records schedules. If the Web content records are unique and not covered by existing schedules, program offices must contact the NRMP to prepare a records schedule. Additional guidance on managing Web records is available at: http://intranet.epa.gov/records/faqs/webwikiblogrecords.html.
- Organizations need to pay particular attention to Web content with potential regulatory, enforcement or other legal impact, as well as events of historical significance (e.g., World Trade Center, Hurricane Katrina). For example, if an organization is offering guidance to the regulated community, it needs to retain a complete record in its recordkeeping system of what that guidance was, how long it was posted and URLs referenced by hyperlinks.
- Changes to the Web content records, such as major additions or deletions that might affect decisions or actions by the public or regulated community are covered under item d or e. Documentation on minor editorial or non-substantive changes (e.g., correcting typographical errors) may not need to be kept, depending upon a risk analysis. More information on assessing records management risks associated with Web sites can be found in NARA's guidance at: http://www.archives.gov/records-mgmt/policy/managing-web-records.html.

Related schedules - See schedule 0094 for electronic bulletin boards and other collaborative technologies such as blogs and wikis. Records related to procedures on site management are covered by schedule 1006 item b, and policies are covered by schedule 1023 item a.

Reasons for Disposition:

The following changes were made in the 03/31/2017 version:

- Updated description and guidance.

The following changes were made in the 12/31/2016 version:

- Updated cross references to other schedules in Description and Guidance.
- Deleted item a which is covered by schedule 1012.
- Revised retention for item c - log files from 3 months to 3 years to conform to GRS 3.1 item 020.

The proposed retention meets EPA's administrative needs. Unique Web content that meets the definition of a record and is not covered by an existing schedule will be scheduled separately.

Custodians:

Multiple units

Related Schedules:

EPA 0094, EPA 1006, EPA 1023

Previous NARA Disposal Authority:

Entry: 10/29/1996

EPA Approval: 03/26/2007

NARA Approval: 09/10/2008

EPA Records Schedule 0096

Status: Final, 05/31/2021

Title: Data Standards and Registry Services

Program: All Programs

Applicability: Agency-wide

Function: 404 - Technology Management

NARA Disposal Authority:

- N1-412-08-15

Description:

Registries provide the ability to register, map and manage metadata and information important to the Agency and its partner systems. Registries may contain objects or data used within multiple systems such as common code sets, facility information, or substances. They may contain information about individual Agency systems or datasets or reusable software components and services that may be used in multiple systems. Registration of contents is the single unique concept that makes a registry a registry. Quality assurance is provided and stewards are assigned to maintain and manage specific contents. In all cases, registries serve as an organizing structure for the purpose of facilitating discovery of Agency information resources. The registries do not contain environmental data, but are collections or repositories of metadata that describe information to make the data more meaningful and easier to find.

Data standards are part of the EPA Enterprise Data Architecture. They are maintained with the EPA registries. Data standards are used to improve the quality of environmental data and also facilitate data integration.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

NARA Disposal Authority: N1-412-08-15c

- **Disposable**
- Delete when superseded or obsolete.

Item d: (Reserved)

Item e: (Reserved)

Item f: Data standards documentation

NARA Disposal Authority: N1-412-08-15f

- **Disposable**
- Delete when standards no longer in use in Agency and partner systems.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Electronic software program - The electronic software program is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require the electronic records be retrievable and usable for as long as needed to conduct Agency business and meet NARA-approved disposition. The electronic software program is covered by schedule 1012, item e.

Input - Input for the system is covered by schedule 1012, item e.

Output and reports - For disposition of output and reports, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, is covered by EPA 1012, item e.

This schedule includes, but is not limited to, the following systems listed by headquarters program office:

Office of Environmental Information

- Data Registry Services
- Data Standards Services
- Environmental Dataset Gateway (EDG)
- Facility Registry Service (FRS)
- Federal Regulation Finder (RegFinder)
- Laws and Regulations Services (LRS)
- Registry of EPA Applications, Models and Databases (READ)
- Substance Registry Services
- System Inventory Services
- System of Registries (SoR)
- Terminology Services
- Tribal Identification Services (TRIBES)

Substance Registry Services was formerly called the Substance Registry System. The XML Registry is now a part of Reusable Component Services.

Other disposable systems not requiring specific schedules have been categorized into this schedule or one of the other "generic" or "big bucket" schedules:

- EPA 0063 - Electronic Models and Expert Systems
- EPA 0088 - Bibliographic and Reference Systems
- EPA 0089 - Information Tracking Systems
- EPA 0090 - Administrative Support Databases
- EPA 0094 - Electronic Bulletin Boards
- EPA 0098 - Data Marts and Data Warehouses

Electronic records not requiring their own schedules or covered in one of the big bucket schedules listed above may be segments or phases of information systems covered by schedule 1012 Information and Technology Management.

Reasons for Disposition:

The following change was made in the 12/31/2019 version:

- Revised list of systems covered in guidance.

The following changes were made in the 07/31/2014 version:

- Deleted items a, b, d and e which are covered by other schedules.
- Deleted cross reference to schedule 0179 which is covered by schedule 1012, item e.

The following changes were made in the 04/30/2008 version:

- Revised disposition instructions for item b.
- Added information and reorganized guidance.

The following changes were made in the 03/31/2008 version:

- Revised reference to EPA 0170 in disposition item b.
- Revised disposition instructions for item e.

This schedule was originally approved as N1-412-03-7 for the Environmental Data Registry (EDR). The schedule has been expanded to include all data registries, including FRS (EPA 079, previously approved as N1-412-03-16) and EIMS (EPA 469, previously approved as N1-412-04-9).

Custodians:

Multiple units

Related Schedules:

EPA 0063, EPA 0088, EPA 0089, EPA 0090, EPA 0094, EPA 0098, EPA 1012

Previous NARA Disposal Authority:

N1-412-03-7, N1-412-03-16, N1-412-04-9

Entry: 06/18/2001

EPA Approval: 08/12/2008

NARA Approval: 05/06/2009

EPA Records Schedule 0097

Status: Final, 05/31/2015

Title: Central Data Exchange (CDX)

Program: Environmental Information

Applicability: Headquarters

Function: 404 - Technology Management

NARA Disposal Authority:

- N1-412-03-17

Description:

The Central Data Exchange system serves as a single point for receiving compliance reports from industry and government partners and supports integrated cross-media reporting. This allows for the exchange of data electronically, including the establishment and management of a common registration process, a central archive of electronic transactions, and data exchange between external submitters and EPA program offices. CDX also has a role as a central point for the collection and entry of paper- and diskette-based data.

Some of the reports include risk management plans, toxic release inventory forms, air emissions inventories, discharge monitoring reports, pretreatment self monitoring reports, and RCRA biennial reports.

Includes the Customer Registration Subsystem (CRS) containing information on individuals who have registered and established accounts to access CDX.

Disposition Instructions:

Item a: (Reserved)

Item b(1): (Reserved)

Item b(2): (Reserved)

Item c: Electronic data

This item is to be used only by the Office of Environmental Information, Central Receiving Branch at Headquarters.

NARA Disposal Authority: N1-412-03-17c

- **Disposable**
- Keep individual records up to 3 years after completion of action, then delete when no longer needed.

Item d: (Reserved)

Item e: (Reserved)

Item f: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

The CDX is responsible for the receipt, authentication, archiving (of the transaction and audit trail), and the distribution to the appropriate EPA systems (e.g., Toxics Release Inventory). Once the data passes to the designated system, that data is the responsibility of the program office and the system's administrator.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition and is covered by schedule 1012, item e.

Input - Input, formerly item b(1) and (2), is covered by schedule 1012, item e.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item e, refers to those records necessary to document how the system captures, manipulates and outputs data. Disposition of system documentation is covered by schedule 1012, item e.

Electronic signatures and verification data - Electronic signatures and verification data, formerly item f, is covered by schedule 1012, item e.

Other related schedules for the CROMERR process include the following:

- Test data, system logs, audit system logs, authentication/security logs, eAuthentication logs, public encryption keys as applicable Certificate Key Management, customer retention of inbound, node logs, NAAS logs, e-mail acknowledgements to submitters, electronic signature agreements, and data archives are covered by EPA 1012, item e.
- Outages and statistics are covered by schedule 1012, item c or d.

Examples of the types of systems included in the CDX are the Emissions Inventory System (EIS) covered by EPA 0002 and the Toxic Release Inventory System (TRI) covered by EPA 0153.

Reasons for Disposition:

The following changes were made in the 05/31/2015 version:

- Updated schedule description.
- Deleted items a, b(1) and (2), d, e and f which are covered by other schedules.
- Updated cross references in guidance.

The following change was made in the 01/31/2009 version:

- Revised guidance and cross references.

The following change was made in the 04/30/2008 version:

- Revised disposition instructions for item b(1).

The following changes were made in the 03/31/2008 version:

- Changed the disposition instructions for items a and b(1).
- Added applicability to disposition items a, c, e and f.
- Revised title and disposition instructions for item e.

This system will help meet the requirements of the Government Paperwork Elimination Act (GPEA) mandating agencies be prepared to allow electronic reporting. Disposition for all items meet program needs, and disposition for item f conforms to General Records Schedule 20, item 1c.

Custodians:

Office of Environmental Information, Central Receiving Branch

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

Related Schedules:

EPA 1012

Previous NARA Disposal Authority:

Entry: 11/23/2001

EPA Approval: 08/26/2003

NARA Approval: 03/24/2004

EPA Records Schedule 0098

Status: Final, 05/31/2021

Title: Data Marts and Data Warehouses

Program: All Programs

Applicability: Agency-wide

Function: 404 - Technology Management

NARA Disposal Authority:

- N1-412-09-8

Description:

Includes data marts and warehouses that are repositories of data copied or downloaded from other information systems at specific intervals. They provide easy access and facilitate analysis and reporting, regardless of the data's source. They may contain data from databases as well as geographic information allowing data to be mapped.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

NARA Disposal Authority: N1-412-09-8c

- **Disposable**
- Delete data when superseded by next scheduled update or when system is discontinued or obsolete.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in

accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

The offices responsible for the individual systems from which the data marts and warehouses are retrieved are responsible for the disposition of their data under their specific schedules.

Electronic software program - The electronic software program is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require the electronic records be retrievable and usable for as long as needed to conduct Agency business and meet NARA-approved disposition. The electronic software program is covered by schedule 1012, item e.

Input - Input for the system is covered by schedule 1012, item e.

Output and reports - For disposition of output and reports, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, is covered by EPA 1012, item e.

This schedule includes, but is not limited to, the following systems listed by headquarters program or regional office:

Office of Administration and Resources Management

- OARM Data Marts (ODM)

Office of Air and Radiation

- Air Quality System Data Mart (AQS Data Mart/AQSMart)
- Web Factor and Information Retrieval System (WebFIRE)

Office of Chief Financial Officer

- Administrative Data Warehouse (ADW)

Office of Enforcement and Compliance Assurance

- Enforcement and Compliance History Online (ECHO)

Office of Environmental Information

- Envirofacts

Office of Land and Emergency Management

- Cleanups in My Community (CIMC)

Electronic information systems with long-term or permanent retention such as schedule 0496 Air Quality System (AQS) are scheduled separately. Other disposable systems not requiring specific schedules have been categorized into this schedule or one of the other "generic" or "big bucket" schedules:

- EPA 0063 - Electronic Models and Expert Systems
- EPA 0088 - Bibliographic and Reference Systems
- EPA 0089 - Information Tracking Systems
- EPA 0090 - Administrative Support Databases
- EPA 0094 - Electronic Bulletin Boards
- EPA 0096 - Data Standards and Registry Services

Electronic records not requiring their own schedules or covered in one of the big bucket schedules above may be segments or phases of information systems covered by schedule 1012 Information and Technology Management.

Reasons for Disposition:

The following change was made in the 12/31/2019 version:

- Revised list of systems covered in guidance.

The following change was made in the 12/31/2015 version:

- Revised the name of Office of Solid Waste and Emergency Response to Office of Land and Emergency Management in guidance.

The following changes were made in the 07/31/2014 version:

- Deleted items a, b, d and e which are covered by other schedules.
- Deleted cross reference to schedule 0179 which is covered by schedule 1012, item e.
- Updated cross references.

The following changes were made in the 04/30/2009 version:

- Revised title of disposition item e.
- Revised list of systems covered in guidance.

The following change was made in the 02/28/2009 version:

- Revised the schedule title.
- Revised the disposition instructions for item b.

The following changes were made in the 07/31/2008 version:

- Revised the schedule title and description.
- Expanded applicability to all programs.
- Revised guidance and reasons for disposition.

The following change was made in the 04/30/2008 version:

- Revised disposition instructions for item b.

The following changes were made in the 03/31/2008 version:

- Revised title of disposition item a.
- Changed the disposition instructions for items a and b.
- Added applicability to disposition items a, c and e.
- Revised title and disposition instructions for item e.

This schedule was originally approved for Envirofacts as N1-412-00-1. It has been expanded to cover data marts and warehouses in all program and regional offices.

Custodians:

Multiple units

Related Schedules:

EPA 0063, EPA 0088, EPA 0089, EPA 0090, EPA 0094, EPA 0096, EPA 1012

Previous NARA Disposal Authority:

N1-412-00-1

Entry: 08/09/1995

EPA Approval: 04/17/2009

NARA Approval: 07/21/2009

EPA Records Schedule 0100

Status: Final, 12/31/2013

Title: Appointee Clearance and Vetting Files

Program: Personnel

Applicability: Headquarters

Function: 403 - Human Resources Management

NARA Disposal Authority:

- N1-412-07-62/1

Description:

Files consist of records resulting from liaison with the White House to evaluate the suitability of individuals for non-career positions. The files include correspondence, applications for employment, resumes, background information about individuals, financial disclosure forms, security clearances, notifications of personnel action, White House clearance checklists, and other documentation relating to the selection, clearance, and appointment of political appointees.

Disposition Instructions:

Item a: Appointees

NARA Disposal Authority: N1-412-07-62/1a

- **Disposable**
- Destroy at the end of the Presidential administration during which the individual is hired, except for any original material appropriate for filing in OPFs, which should be placed in those files.

Item b: Non-appointees

NARA Disposal Authority: N1-412-07-62/1b

- **Disposable**
- Close inactive records on termination of consideration.
- Destroy 1 year after closure but not later than the end of the Presidential administration during which the individual is considered.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Correspondence related to offering appointments to potential employees is scheduled as EPA 0557.

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

Custodians:

Office of Administration and Resources Management, Human Capital Management Division

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

Related Schedules:

EPA 0557

Previous NARA Disposal Authority:

N1-412-99-14/2

Entry: 12/07/1995

EPA Approval: 06/15/2007

NARA Approval: 03/06/2009

EPA Records Schedule 0107

Status: Final, 12/31/2013

Title: Employee Performance File System

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/23

Description:

Contains documents related to employee performance for non-SES appointees (as defined in 5 USC 4301(2)) and SES appointees (as defined in 5 USC 3132a(2)).

Disposition Instructions:

Item a(1): Appraisals of unacceptable performance - Non-SES appointees

Includes appraisals where a notice of proposed demotion or removal is issued but not effected and all related documents.

NARA Disposal Authority: General Records Schedule 1/23a(1)

- **Disposable**
- Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction-in-grade notice.

Item a(2): Superseded performance records - Non-SES appointees

Includes records superseded through an administrative, judicial, or quasi-judicial procedure.

NARA Disposal Authority: General Records Schedule 1/23a(2)

- **Disposable**
- Destroy when superseded.

Item a(3)(a): Latest rating of record 3 years or less - Non-SES appointees

Includes performance-related records pertaining to a former employee, including performance plan upon which it is based and any summary rating.

NARA Disposal Authority: General Records Schedule 1/23a(3)(a)

- **Disposable**
- Place records on left side of the OPF and forward to gaining federal agency upon transfer or to NPRC if employee leaves federal service (see EPA 553). If EPA retrieves an OPF from NPRC, these documents are to be retained according to item a(3)(b).

Item a(3)(b): All other performance plans and ratings - Non-SES appointees

Includes performance-related records pertaining to a former employee.

NARA Disposal Authority: General Records Schedule 1/23a(3)(b)

- **Disposable**
- Destroy when 4 years old.

Item a(4): All other summary performance appraisal records - Non-SES appointees

Includes performance appraisals and job elements and standards upon which they are based.

NARA Disposal Authority: General Records Schedule 1/23a(4)

- **Disposable**
- Destroy 4 years after date of appraisal.

Item a(5): Supporting documents - Non-SES appointees

NARA Disposal Authority: General Records Schedule 1/23a(5)

- **Disposable**
- Destroy 4 years after date of appraisal.

Item b(1): Superseded performance records - SES appointees

Includes records superseded through an administrative, judicial, or quasi-judicial procedure.

NARA Disposal Authority: General Records Schedule 1/23b(1)

- **Disposable**
- Destroy when superseded.

Item b(2)(a): Latest rating of record that is less than 5 years old - SES appointees

Includes performance-related records pertaining to a former SES appointee, including performance plan upon which it is based, and any summary rating.

NARA Disposal Authority: General Records Schedule 1/23b(2)(a)

- **Disposable**
- Place records on left side of the OPF and forward to gaining federal agency upon transfer or to NPRC if employee leaves federal service (see EPA 553). If EPA retrieves an OPF from NPRC, these documents are to be retained according to item b(2)(b).

Item b(2)(b): All other performance ratings and plans - SES appointees

Includes performance-related records pertaining to a former SES appointee.

NARA Disposal Authority: General Records Schedule 1/23b(2)(b)

- **Disposable**
- Destroy when 5 years old.

Item b(3): All other performance appraisals - SES appointees

Includes job elements and standards (job expectations) upon which they are based, excluding those for SES appointees serving on a Presidential appointment (5 CFR 214).

NARA Disposal Authority: General Records Schedule 1/23b(3)

- **Disposable**
- Destroy 5 years after date of appraisal.

Item b(4): Supporting documents - SES appointees

NARA Disposal Authority: General Records Schedule 1/23b(4)

- **Disposable**
- Destroy 5 years after date of appraisal.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10,

, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Performance appraisals from the performance appraisal and recognition system (PARS) are covered by this schedule until the employee leaves the Agency. See the Guide to Personnel Recordkeeping for guidance.

Performance rating appeals are covered under EPA 0563. See EPA 0553 for official personnel folders (OPF) for civilians and EPA 0554 for Public Health Service Corps commissioned personnel.

Reasons for Disposition:

Conforms with NARA's General Records Schedule 1, item 23.

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

Custodians:

Multiple units

Related Schedules:

EPA 0553, EPA 0554, EPA 0563

Previous NARA Disposal Authority:

None

Entry: 11/26/1997

EPA Approval: Not applicable

NARA Approval: 12/00/1998

EPA Records Schedule 0118

Status: Final, 12/31/2013

Title: Child Care Tuition Assistance Program Records

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- N1-412-07-62/2

Description:

Includes records documenting EPA's child care assistance program. Public Law 107-67, Section 630, permits federal agencies to assist lower income federal employees with child care tuition costs. The program is managed by the Office of Administration and Resources Management, Office of Human Resources, and the application process is administered by Federal Employee Education and Assistance (FEEA). FEEA also administers the Child Care Tuition Assistance Program application process for other participating federal agencies. The program was developed in partnership with a number of stakeholders, e.g., the American Federal of Government Employees (AFGE). Types of documents include agreements with EPA and unions and other entities, applications with pay statements and income tax returns, eligibility forms, child care provider forms, correspondence, and other related documents.

Excludes: EPA Child Care Database (EPA 0090).

Disposition Instructions:

Item a: Agreements

NARA Disposal Authority: N1-412-07-62/2a

- **Disposable**
- Close inactive records upon expiration or termination of agreement.
- Destroy 10 years after file closure.

Item b: Other documentation

NARA Disposal Authority: N1-412-07-62/2b

- **Disposable**

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

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

The Office of Administration and Resources Management (OARM) is responsible for program oversight and for ensuring the disposition instructions are followed. Contract records are covered by schedule 1004. The EPA Child Care Database is covered by EPA 0090.

Specific legal citations include:

- Public Law 107-67, Section 603, 40 U.S.C. Sec. 490b
- 5 CFR Part 792 Subpart B
- EPA Privacy Act System #49

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

Custodians:

Office of Administration and Resources Management, Office of Human Resources

- **Contact:** Cheryl Bentley
- **Telephone:** 202-564-0244

Related Schedules:

EPA 0090, EPA 1004

Previous NARA Disposal Authority:

N1-412-04-1

Entry: 08/01/2002

EPA Approval: 06/15/2007

NARA Approval: 03/06/2009

EPA Records Schedule 0122

Status: Final, 05/31/2017

Title: Supervisors' Personnel Files and Duplicate OPF Documentation

Program: All Programs

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/18

Description:

Records consist of correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, training, and records on individual employees duplicated in or not appropriate for the OPF.

Disposition Instructions:

Item a: Supervisors' personnel files

NARA Disposal Authority: General Records Schedule 1/18a

- **Disposable**
- Close inactive records when employee separates from EPA, is reassigned within EPA, or transfers to another agency.
- Destroy 1 year after file closure.

Item b: Duplicate documentation

Includes other copies of documents duplicated in OPFs, not provided for elsewhere.

NARA Disposal Authority: General Records Schedule 1/18b

- **Disposable**
- Close inactive records at the end of the month.
- Destroy 6 months after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Superseded or obsolete documents in the supervisors' personnel files may be destroyed when no longer needed.

Official record copies of files covered by item b are maintained by the Agency's personnel office which should be retained as specified in schedule 0553 (conforms to NARA's General Records Schedule 1, item 1). Other copies may be sent to the employee, payroll, and a copy retained in personnel. Time and attendance source records maintained by the Payroll Management and Outreach Staff (PMOS) are covered by schedule 1005; all other copies of time and attendance records are covered by schedule 1006.

Supervisory records maintained on student volunteer workers are to be disposed of in accordance with item a.

Reasons for Disposition:

The following changes were made in the 05/31/2017 version:

- Updated guidance and cross references.

The following changes were made in the 05/31/2014 version:

- Revised file closure wording for item a.
- Revised wording in guidance related to copies of files covered by item b.

The following change was made in the 01/31/2013 version:

- Revised file closure wording for item a to include when employee separates or transfers "from EPA."

Conforms to NARA's General Records Schedule 1, item 18.

Item c for electronic mail and word processing system copies was deleted 08/16/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 0553, EPA 1005, EPA 1006

Previous NARA Disposal Authority:

N1-412-86-2/11

Entry: 08/19/1991

EPA Approval: Not applicable

NARA Approval: 12/00/1998

EPA Records Schedule 0152

Status: Final, 12/31/2013

Title: Federal Docket Management System (FDMS)

Program: Environmental Information

Applicability: Headquarters

Function: 404 - Technology Management

NARA Disposal Authority:

- N1-412-06-24

Description:

The Federal Docket Management System (FDMS) is a government-wide Web-based portal system providing the public with electronic access to the entire regulatory docket, including rules, supporting documents and public comments, as well as other materials being made available for public review and comment.

FDMS allows the public access to proposed and final rules, other agency actions listed in the Federal Register, and the ability to submit comments on proposed regulations and any other materials exposed to the public, including other comments received. Documents published in the Federal Register are sent to FDMS the same day they are published, and then routed to the agency sponsoring the publication. Agencies that have implemented FDMS into their business processes then create a docket for the publication and can receive comments directly from the public on the publication or on any other supporting materials they have posted. Comments received in paper by the agency are scanned and processed through the system by the partner agency. Federal Register publications for agencies that have not yet implemented FDMS will be posted in FDMS, but until the agency has implemented FDMS they are unable to include additional supporting materials, and they are unable to receive comments through FDMS. Instead, comments received are transmitted to the agency in an e-mail from the managing contractor of FDMS. The FDMS application is hosted and managed by EPA, however, each agency is responsible for its content and has a number of configuration options.

FDMS is capable of electronically receiving and maintaining images and text documents in support of regulatory development related to a federal agency's proposed rules and other agency actions are made available for public review and comment. Each agency owns and manages its data in the system and controls internal access and workflow. The data and images maintained in the docket management module will be for the purposes of public access only for a prescribed length of time. Therefore, the official record is the responsibility of the participating agency. It is the responsibility of the participating agency to ensure they retain and disposition (including transfer of permanent

records to the National Archives) all record copies of information captured in FDMS according to their approved records schedules.

It is anticipated that the system will also have an eToolbox module to assist with the development, review, and publication of federal regulations and analysis of public comments. Examples of these tools include electronic reading rooms, workflow tools to facilitate or enhance the drafting of a rule, data mining tools, and dashboard to display the real-time performance of the process.

An additional component is being developed for FDMS to provide for the management of electronic records. Once implemented, FDMS will provide participating agencies with functionality that meets the Department of Defense Electronic Records Management Software Application Design Criteria Standard (DoD 5015.2-STD) and can serve as a component of their overall records management program.

Disposition Instructions:

Item a: Electronic software program

This item is to be used only by the Office of Environmental Information, Collection Strategies Division at Headquarters.

NARA Disposal Authority: N1-412-06-24a

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

Item b: Electronic data for participating agency records

This item is to be used only by the Office of Environmental Information, Collection Strategies Division at Headquarters.

NARA Disposal Authority: N1-412-06-24b

- **Disposable**
- Destroy in accordance with each participating agency's approved records schedules.

Item c: E-mail identification and verification data

This item is to be used only by the Office of Environmental Information, Collection Strategies Division at Headquarters.

NARA Disposal Authority: N1-412-06-24c

- **Disposable**
- Destroy after verification.

Item d: System documentation

This item is to be used only by the Office of Environmental Information, Collection Strategies Division at Headquarters.

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

EPA's Dockets are covered by schedule 1023.

Reasons for Disposition:

The following changes were made in the 03/31/2008 version:

- Changed schedule applicability to Headquarters.
- Added applicability for all disposition items.
- Revised title and disposition instructions for item d.

EPA is the overall managing partner for this system. Participating federal agencies own and manage their own data. EPA retains and disposes of all data in accordance with each participating agency's approved records schedule. EPA's Dockets schedule was approved as N1-412-04-4.

Custodians:

Office of Environmental Information, Office of Information Collection, Collection Strategies Division

- **Contact:** Tim Crawford
- **Telephone:** 202-564-2743

Related Schedules:

EPA 1012, EPA 1023

Previous NARA Disposal Authority:

None

Entry: 09/06/2005

EPA Approval: 06/05/2006

NARA Approval: 03/05/2007

EPA Records Schedule 0153

Status: Final, 11/30/2019

Title: TRI Processing System (TRIPS)

Program: Environmental Information

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-10-1 (Items a, c, d and f)
- DAA-GRS-2013-0001-0001 (Item b)

Description:

The TRI Processing System (TRIPS) was established under the Emergency Planning and Community Right-To-Know Act of 1986 (EPCRA) and expanded by the Pollution Prevention Act of 1990. The inventory contains information on toxic chemical releases and other waste management activities reported annually by certain covered industry groups as well as federal facilities. Data include chemical identity, amount of on-site users, releases and off-site transfers, including publicly-owned treatment works (POTWs), on-site treatment, and minimization/prevention actions. Also contains data collected via EPA Form 9350-1, Toxic Chemical Release Inventory Reporting Form, trade secret claims made by submitters, and submissions received in both paper and electronic format. Output and reports are used by citizens and community organizations, national organizations, businesses, and educational institutions, as well as EPA. EPA uses the data for a wide variety of activities, including targeting environmental problems, compliance and enforcement, and risk assessment.

Disposition Instructions:

Item a: Input - Electronic submissions with electronic signatures, electronic data extracted from paper submissions, and magnetic media submissions.

This includes, but is not limited to, TRI-MEweb, Central Data Exchange (CDX), and floppy, 3.5", and compact disks. The Office of Environmental Information, Office of Information Analysis and Access, TRI Program Division is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-10-1a

- **Disposable**
- Close after information is entered into the electronic system and verified.
- Delete when 5 years old.

Item b: Input - Paper submissions

The Office of Environmental Information, Office of Information Analysis and Access, TRI Program Division is responsible for the disposition of this item.

NARA Disposal Authority: DAA-GRS-2013-0001-0001

- **Disposable**
- Close after information is entered into the electronic system and verified.
- Destroy after file closure.

Item c: Trade secret claims

The Office of Environmental Information, Office of Information Analysis and Access, TRI Program Division is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-10-1c

- **Permanent**
- Close every 5 years.
- Transfer to the National Archives when most recent record is 15 years old, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. If any claims are submitted in electronic form, produce a paper copy to serve as the record copy and delete the electronic copy when no longer needed.

Item d: Trade secret claims - Tracking system (Automated Ledger Function (ALF))

The Office of Environmental Information, Office of Information Analysis and Access, TRI Program Division is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-10-1d

- **Disposable**
- Delete when obsolete or no longer needed.

Item e: (Reserved)

Item f: TRIPS electronic data

The Office of Environmental Information, Office of Information Analysis and Access, TRI Program Division is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-10-1f

- **Permanent**
- Transfer to the National Archives annually, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item g: (Reserved)

Item h: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Electronic software program, formerly item e - The electronic software program is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and meet NARA-approved disposition. The electronic software program is covered by schedule 1012.

Output and reports, formerly item g - For disposition of output and reports, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later disposition dates.

System documentation, formerly item h - System documentation consisting of file specifications for relational tables, code books, record layouts, and other records necessary to describe the data transferred to the National Archives is permanent and covered by schedule 1012 item a.

The Chemical Update System (CUS) is covered by schedule 0273. See schedule 0088 - Bibliographic and Reference Systems for the EPCRA Targeting System (ETS), and the TSCA Chemical Inventory File is covered by schedule 1035.

Specific legal citations include:

- SARA Title III - Emergency Planning and Community Right-To-Know Act of 1986, Section 313, 42 U.S.C. 11023
- Pollution Prevention Act of 1990, 42 U.S.C. 13101 et seq.
- 40 CFR Part 372

Reasons for Disposition:

The following change was made in the 11/30/2019 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following change was made in the 02/28/2015 version:

- Updated GRS disposal authority for item b due to revision of NARA's General Records Schedule, transmittal 23.

The following changes were made in the 12/31/2012 version:

- Revised the disposition instructions for item b.
- Deleted items e for electronic software program, g for output and reports, and h for system documentation and added them to guidance.

The following changes were made in the 09/30/2009 version:

- Added file closure instructions to item a.
- Revised retention for items a and b to 5 years.

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

- Revised title of schedule and disposition items e, f, g and h.
- Revised wording of disposition item a.
- Added wording about applicability for disposition items a-f and h.
- Updated contact information.

The 5-year retention for submissions has been changed to be consistent with the federal statute of limitations, 28 U.S.C. 2462. The retention for the data in the TRI electronic system has not changed.

Item i 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 Environmental Information, Office of Information Analysis and Access, TRI Program Division

- **Contact:** Shane Knipschild
- **Telephone:** 202-564-6189

Related Schedules:

EPA 0088, EPA 0273, EPA 1012

Previous NARA Disposal Authority:

NC1-412-88-3/19, N1-412-95-7/3, N1-412-04-11

Entry: 01/05/1993

EPA Approval: 10/05/2009

NARA Approval: 01/11/2010

EPA Records Schedule 0158

Status: Final, 01/31/2017

Title: Fuel Reporting System (DCFuels)

Program: Air

Applicability: Headquarters

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-09-4

Description:

The Fuel Reporting System (DCFuels) includes compliance data related to gasoline, diesel fuel and a variety of fuels and fuel additives. The data are collected from refiners, importers, independent laboratories, and fuel and fuel additive manufacturers. DCFuels includes two types of data: (1) Fuel and Fuel Additive Registration (DCFFARS) for registration of companies and products; and (2) Reformulated Gasoline and Anti-Dumping Database (RFG/AD) for compliance reporting.

DCFFARS data supports the registration of fuels and fuel additive products prior to their introduction into commerce and provides information which protects the public from motor fuel/additives which may produce environmental harm.

RFG/AD collects data for a variety of activities including averaging, banking and trading programs, quarterly and annual compliance demonstration, and product quality parameters from a variety of submitters. Reporting programs under RFG/AD include: Reformulated Gasoline and Anti-Dumping, Tier 2 Gasoline Sulfur, Ultra Low Sulfur Diesel, MSAT Gasoline Toxics, RFS, and MSAT-2 Gasoline Benzene. The compliance information provides a picture of fuel production and characteristics useful in developing air pollution control strategies and is used to pursue alleged civil and criminal violations.

The EPA Moderated Transaction System (EMTS) is a credit reporting and management system for credit generation, purchases, sales, and use for compliance with regulatory programs. Regulated parties enter credit transaction data into EMTS which moderates transactions between parties and provides integrity to credit markets. The system was brought on line July 2010.

Submissions are currently in paper and electronic; electronic submissions are done through EPA's Central Data Exchange (CDX) which is scheduled separately.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data - registration

The Office of Air and Radiation, Compliance Division is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-4c

- **Disposable**
- Delete when no longer needed to ensure compliance.

Item d: Electronic data - compliance reporting

The Office of Air and Radiation, Compliance Division is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-4d

- **Disposable**
- Delete 10 years after submission year, or when no longer needed for compliance or enforcement, whichever is later.

Item e: (Reserved)

Item f: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in electronic format only, and is not media neutral. The format of the permanent records is specified in a records schedule approved by NARA, and the electronic records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. The electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition. The electronic software program is covered by schedule 1012 item e.

Input - Input, formerly item b, is covered by schedule 1012 item e.

Output and reports - For disposition of output and reports, formerly item e, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item f, refers to those records necessary to document how the system captures, manipulates, and outputs data. Disposition of system documentation is covered by schedule 1012 item e.

See schedule 0097 for CDX.

Reasons for Disposition:

The following changes were made in the 01/31/2017 version:

- Added the EPA Moderated Transaction System (EMTS) to the schedule description.
- Deleted items a, b, e and f which are covered by other schedules.
- Updated guidance and custodial information.

The following change was made in the 01/31/2009 version:

- Revised minor wording and added cross reference in description.

The following change was made in the 07/31/2008 version:

- Revised description.

The following changes were made in the 05/31/2008 version:

- Added applicability to disposition items a, c and e.
- Revised disposition instructions for items b, c and e.
- Revised title of disposition item e.

DCFuels supports EPA's efforts to register fuel and fuel additives and ensure compliance with regulations. The retention meets program needs.

Custodians:

Office of Air and Radiation, Compliance Division

- **Contact:** John Weihrauch
- **Telephone:** 202-343-9477

Related Schedules:

EPA 0097, EPA 1012

Previous NARA Disposal Authority:

None

Entry: 10/25/2007

EPA Approval: 01/29/2009

NARA Approval: 06/15/2009

EPA Records Schedule 0234

Status: Final, 12/31/2016

Title: Underground Injection Control Databases

Program: Water

Applicability: Regions

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-06-31

Description:

The Underground Injection Control (UIC) program works with state, local, and tribal governments to oversee underground injection of waste in order to prevent contamination of drinking water resources. The Underground Injection Control (UIC) databases maintained by the regional program offices contain detailed information on well operators, administrative orders, permits and individual wells for all wells where EPA is the permitting authority. They track compliance schedules and inspections and include reports, some correspondence, inventory, and sampling and analytical data. They may also include notices of noncompliance that do not necessarily result in enforcement actions and compliance orders. They track both permitted and "rule-authorized" wells. Rule-authorized wells were grandfathered in at the start of the UIC program, and operators with rule-authorized wells are required to adhere to standards similar to those for permitted wells.

Input for the databases comes from a variety of sources, including inventory forms submitted by operators when the program first started in the 1980s; permit applications; well test data; compliance inspections; enforcement actions; and monitoring report data. Information is extracted from source documents and keyed in manually.

Output includes reports on development of administrative orders; well inventory counts; workload reports; listings of permit applications received year to date, and similar reports.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

NARA Disposal Authority: N1-412-06-31c

- **Permanent**
- Close at each major version change.
- Transfer to the National Archives after file closure, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in electronic format only, and is not media neutral. The format of the permanent records is specified in a records schedule approved by NARA, and the electronic records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. The electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, system documentation) are covered in schedule 1012 Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records internet site http://www.epa.gov/records/tools/erks.htm].

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition. The electronic software program is covered by schedule 1012 item e.

Input - Input, formerly item b, is covered by schedule 1012 item e.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item e, refers to those records necessary to document how the system captures, manipulates, and outputs data. System documentation is transferred to the National Archives along with the electronic data. Disposition of system documentation is covered by schedule 1012 item a.

Permits are covered by schedule 1047. See schedule 1044 for enforcement action and compliance files. The Underground Injection Control (UIC) Program Summary System maintained by headquarters is covered by schedule 0432.

Reasons for Disposition:

The following changes were made in the 12/31/2016 version:

- Deleted items a, b, d and e which are covered by other schedules.
- Revised the media neutral statement in Guidance.
- Updated Guidance and cross references.

The following changes were made in the 10/31/2009 version:

- Revised wording in disposition instructions for items a, b and d.
- Revised title of disposition item e.
- Updated cross references.

EPA regional offices maintain separate databases containing detailed information on wells including well operators, ownership, nature and type of wells, operating status, and permits. Implementation varies from region to region. Some information from these regional systems is extracted and sent to EPA headquarters for the UIC Program Summary System, scheduled as N1-412-95-4/4 (EPA series 0432).

Regional systems may include facility information from tribal lands. In the EPA regional office in Chicago, for example, a tribal code is entered to designate which reservation the well is located within.

Custodians:

Multiple units

Related Schedules:

EPA 0234, EPA 1012, EPA 1044, EPA 1047

Previous NARA Disposal Authority:

None

Entry: 09/05/1994

EPA Approval: 07/27/2006

NARA Approval: 02/01/2008

EPA Records Schedule 0241

Status: Final, 06/30/2017

Title: High Production Volume Information System (HPVIS)

Program: Toxic Substances

Applicability: Headquarters

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-09-19

Description:

The High Production Volume Information System (HPVIS) provides access to health and environmental effect information obtained through the HPV Challenge Program, which "challenges" companies to make data on chemicals produced or imported into the United States in quantities of one million pounds or more per year publicly available. The system allows users to search for summary information, test plans, and new data on high production volume chemicals as they are developed.

Test data is voluntarily submitted to EPA by chemical manufacturers and trade associations. HPVIS submissions contain data on up to 50 endpoints organized into four disciplines: physical/chemical properties (e.g., melting point, vapor pressure); environmental fate and pathways (e.g., biodegradation, stability in soil); ecotoxicity (e.g., fish toxicity, toxicity to aquatic plants); and, mammalian health effects (e.g., reproductive toxicity, developmental toxicity). HPVIS data is available on EPA's Internet site and users may search by either chemical name or CAS number. HPVIS also contains HPV Chemical Hazard Characterizations prepared during EPA's ongoing review of the health and environmental effects data, as well as Risk-Based Prioritization documents prepared from EPA's examination of hazard and exposure information.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

The Office of Chemical Safety and Pollution Prevention, Office of Pollution Prevention and Toxics, Information Management Division at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-19c

- **Permanent**
- Transfer data in 2011 and every 5 years thereafter to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in electronic format only, and is not media neutral. The format of the permanent records is specified in a records schedule approved by NARA, and the electronic records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. The electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period. The electronic software program is covered by schedule 1012 item e.

Input - Input, formerly item b, is covered by schedule 1012 item e.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item e, refers to those records necessary to document how the system captures, manipulates, and outputs data. System documentation is transferred to the National Archives along with the electronic data. Disposition of system documentation is covered by schedule 1012 item a.

Reasons for Disposition:

The following changes were made in the 06/30/2017 version:

- Deleted items a, b, d, and e since they are covered by other schedules.
- Updated guidance and contact information.

The following change was made in the 03/31/2011 version:

- Changed the disposition of the electronic data (item c) and system documentation (item e) to permanent.

Custodians:

Office of Chemical Safety and Pollution Prevention, Office of Pollution Prevention and Toxics, Information Management Division

- **Contact:** Donald Frank
- **Telephone:** 202-564-0302

Related Schedules:

EPA 1012

Previous NARA Disposal Authority:

None

Entry: 05/06/2009

EPA Approval: 09/16/2009

NARA Approval: 03/29/2011

EPA Records Schedule 0242

Status: Final, 12/31/2013

Title: Clean Air Status and Trends Network (CASTNET)

Program: Air

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-08-17

Description:

The Clean Air Status and Trends Network (CASTNET) is a national air monitoring network sponsored by EPA and the National Park Service (NPS). The network collects data from over 80 monitoring sites across the United States for determining relationships between emissions, air quality, deposition, and ecological effects. The National Dry Deposition Network (NDDN), EPA's forerunner to CASTNET, was established in 1986 to provide information on, and to track trends in, pollutant concentrations and the dry deposition component of total atmospheric deposition. CASTNET was established in 1991 and NDDN was merged into CASTNET. Public data is available on EPA's Web site.

Disposition Instructions:

Item a: Electronic software program

The Office of Air and Radiation, Office of Atmospheric Programs, Clean Air Markets Division at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-08-17a

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

Item b: Input

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Item c: Electronic data

The Office of Air and Radiation, Office of Atmospheric Programs, Clean Air Markets Division at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-08-17c

- **Permanent**
- Beginning 2008, transfer annually to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: System documentation

The Office of Air and Radiation, Office of Atmospheric Programs, Clean Air Markets Division at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-08-17e

- **Permanent**
- Transfer to the National Archives those records necessary to document how the system captures, manipulates, and outputs data, as specified in 36 CFR 1235.44-1234.50 or standards applicable at the time. The documentation is transferred with the electronic data (item c).

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Reasons for Disposition:

The following changes were made in the 05/31/2008 version:

- Revised disposition instructions for items b and d.
- Revised wording about applicability for disposition items a, c and e.

CASTNET supports Goal 1 on clean air and global climate change of EPA's Strategic Plan. The data is used to validate and improve air quality models.

Custodians:

Office of Air and Radiation, Office of Atmospheric Programs, Clean Air Markets Division

- **Contact:** Gary Lear
- **Telephone:** 202-343-9159

Related Schedules:

EPA 1012

Previous NARA Disposal Authority:

Entry: 12/05/2007

EPA Approval: 08/12/2008

NARA Approval: 09/22/2009

EPA Records Schedule 0253

Status: Final, 05/31/2022

Title: Safe Drinking Water Accession and Review System (SDWARS)

Program: Water

Applicability: Headquarters

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-08-1

Description:

The Safe Drinking Water Accession and Review System (SDWARS) is a Web-based data entry system supporting the collection of data under the Unregulated Contaminant Monitoring Rule (UCMR). The database allows all stakeholders to submit, review, and post data. Laboratories post UCMR data, and the public water systems (PWSs) review, approve, and submit the posted results to EPA. The data is later transferred to the National Contaminant Occurrence Database (NCOD) to facilitate analysis, review of contaminant occurrence, and to guide the development of subsequent contaminants for the Candidates Contaminant List (CCL). The data in SDWARS is modified every five years to allow reporting of new unregulated contaminants.

SDWARS can also be used to maintain unregulated contaminant data generated from studies (e.g., sulfate in drinking water) or national surveys to determine whether or not to regulate a contaminant.

Disposition Instructions:

Item a: Electronic software program

This item is to be used only by the Office of Water, Office of Ground Water and Drinking Water at Headquarters.

NARA Disposal Authority: N1-412-08-1a

- **Disposable**
- Close when no longer needed to ensure access to and use of the electronic records throughout the authorized retention period.
- Delete after file closure.

Item b: Input

NARA Disposal Authority: N1-412-08-1b

- **Disposable**
- Close when information has been transferred and verified.
- Delete after file closure.

Item c(1): Electronic data - Record copy

This item is to be used only by the Office of Water, Office of Ground Water and Drinking Water at Headquarters.

NARA Disposal Authority: N1-412-08-1c(1)

- **Disposable**
- Close when each 5 year cycle is concluded and data verified.
- Destroy 5 years after file closure.

Item c(2): (Reserved)

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: Implementation files

This item is to be used only by the Office of Water, Office of Ground Water and Drinking Water at Headquarters.

NARA Disposal Authority: N1-412-08-1e

- **Disposable**
- Close when implementation and monitoring activities are completed.
- Destroy 5 years after file closure.

Item f: System documentation

This item is to be used only by the Office of Water, Office of Ground Water and Drinking Water at Headquarters.

NARA Disposal Authority: N1-412-08-1f

- **Disposable**
- Close when each 5 year cycle is concluded and data verified, concurrent with the electronic data (Item c(1)).

- Destroy 5 years after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

The Safe Drinking Water Act was amended in 1996 requiring EPA to establish criteria to monitor unregulated contaminants and to identify a maximum of 30 contaminants to monitor every five years. The UCMR program coordinates with the CCL and the NCOD.

See EPA 0436 for NCOD. Records related to the development of regulations, standards, and guidelines and dockets are covered by schedule 1023.

Legal citations include, but are not limited to:

- Safe Drinking Water Act, as amended, Section 1445(a)(2)
- 40 CFR 141.24-141.40

Reasons for Disposition:

The following change was made in the 05/31/2022 version:

- Updated contact information.

The following changes were made in the 04/30/2008 version, after NARA determined the records do not need to be permanent:

- Changed items c(1) and f to disposable and revised the disposition instructions.
- Deleted item c(2).

The following changes were made in the 03/31/2008 version:

- Added file closure instructions and revised the disposition instructions for items a, b and f.
- Divided item c into two subitems, c(1) and c(2).

The Safe Drinking Water Act requires the collection of this data and historical data is needed to evaluate the impact of the regulation. The NCOD is scheduled as EPA 0436.

Item g for electronic copies created with word processing and electronic mail applications was deleted 08/14/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Water, Office of Ground Water and Drinking Water

- **Contact:** Jillian Toothman
- **Telephone:** 513-569-7393

Related Schedules:

EPA 0436, EPA 1023

Previous NARA Disposal Authority:

None

Entry: 04/24/2006

EPA Approval: 09/13/2007

NARA Approval: 07/30/2008

EPA Records Schedule 0257

Status: Final, 02/28/2021

Title: National RCRA Information System (RCRAInfo)

Program: RCRA

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-04-8

Description:

RCRAInfo is one of EPA's mission-critical systems used by EPA regional offices and the states to record and track information provided by the regulated community concerning the generation, shipment, treatment, and disposal of hazardous wastes. Input includes information from facilities on the amounts and kinds of hazardous waste being generated, transported, and stored during the reporting year.

In most cases, the states serve as primary implementers of the program in lieu of EPA regional offices. However, in some states, and for certain aspects of the program, EPA regions retain all, or some, program implementation responsibility. EPA headquarters, regions, and states work in partnership to redefine information needs for the RCRA program under the Waste Information Needs and the Information for Making Environmental Decisions initiative (WIN/Informed).

The system also tracks significant milestones of state and EPA activity supporting program planning, implementation, and reporting of accomplishments. Output also includes data for the National Biennial Report on Hazardous Waste that is prepared under Congressional mandate, as well as ad hoc reports.

The system interfaces with other EPA systems, including the Facility Registry System (FRS) and Envirofacts, which are scheduled separately.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

This item is to be used only by the Office of Land and Emergency Management, Information and Resources Management Division at Headquarters.

NARA Disposal Authority: N1-412-04-8c

- **Permanent**
- Transfer data annually to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: Output and reports - Biennial report

This item is to be used only by the Office of Land and Emergency Management, Information and Resources Management Division at Headquarters.

NARA Disposal Authority: N1-412-04-8d

- **Permanent**
- Close upon publication of the report.
- Transfer to the National Archives along with the electronic data (item c).

Item e: (Reserved)

Item f: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA

regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition.

Input - Input, formerly item b, is covered by schedule 1012 item e.

Output and reports - ad hoc reports - For disposition of output and reports, formerly item e, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item f, refers to those records necessary to document how the system captures, manipulates and outputs data. System documentation is transferred to the National Archives along with the electronic data. Disposition of system documentation is covered by schedule 1012 item a.

RCRAInfo replaces the Biennial Reporting System (BRS), the Resources Conservation and Recovery Information System (RCRIS) and RCRAID.

Related schedules - See schedule 1047 for permits and schedule 1044 for compliance and enforcement. The Facility Registry System (FRS) is scheduled as EPA 0096, the Central Data Exchange (CDX) as EPA 0097, and Envirofacts as EPA 0098.

This schedule also covers RCRARep, a Web-based reporting tool managed in Region 1.

Reasons for Disposition:

The following change was made in the 02/28/2021 version:

- Updated contact information.

The following change was made in the 05/31/2020 version:

- Updated contact information.

The following changes were made in the 01/31/2016 version:

- Deleted items a, b, e and f which are covered by other schedules.
- Updated guidance and contact information.

The following change was made in the 02/28/2009 version:

- Revised information on predecessor systems and moved it from description to guidance.

The following change was made in the 08/31/2008 version:

- Revised guidance to include Region 1's RCRARep software tool.
- Deleted "with exceptions" from applicability.

The following changes were made to the 04/30/2008 version:

- Revised disposition instructions for item b.
- Revised title of disposition item f.

RCRAInfo is the major data system supporting all operations required by RCRA regulations for permitting, hazardous waste tracking, corrective actions and enforcement of hazardous waste generators, transporters, treatment, and disposal facilities. This system replaces the Biennial Reporting System (BRS) and Resource Conservation and Recovery Information System (RCRIS) which were appraised by the National Archives as permanent.

Custodians:

Office of Land and Emergency Management, Program Implementation and Information Division

- **Contact:** Carolyn Cunningham
- **Telephone:** 703-308-7060

Related Schedules:

EPA 0096, EPA 0097, EPA 0098, EPA 1012, EPA 1044, EPA 1047

Previous NARA Disposal Authority:

NC1-412-81-18/5, NC1-412-85-7/18, N1-412-94-5/1 and 2

Entry: 07/02/2002

EPA Approval: 05/19/2004

NARA Approval: 04/22/2005

EPA Records Schedule 0263

Status: Final, 01/31/2016

Title: FOIAonline System

Program: Environmental Information

Applicability: Agency-wide

Function: 305 - Public Affairs

NARA Disposal Authority:

- N1-412-94-2/39

Description:

The FOIAonline System is a Web-based portal used to receive, store, assign, and process Freedom of Information Act (FOIA) requests, create reports, and electronically generate the annual report required by the FOIA statute. The Environmental Protection Agency (EPA) is responsible for managing the system, but each participating agency is responsible for managing its own data. At EPA, this system replaces FOIAXpress and the Freedom of Information Act Tracking System (FOIMATS).

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

This item is to be used only by the Office of Environmental Information, Office of Information Collection, FOIA and Privacy Branch at Headquarters.

NARA Disposal Authority: N1-412-94-2/39c

- **Disposable**
- Follow instructions for schedule 1049.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

The previous FOIA tracking system, FOIAXpress, was moved offline and will be retained for 6 years which is the longest retention authorized by schedule 0030 (GRS 14/11).

See schedule 1049 for information access and protection records, including FOIA.

Electronic software program - The electronic software program is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require the electronic records be retrievable and usable for as long as needed to conduct Agency business and meet NARA-approved disposition. The electronic software program, formerly item a, is covered by schedule 1012 Information and Technology Management, item e.

Input - Input for the system, formerly item b, is covered by schedule 1012, item e.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item e, is covered by EPA 1012, item e.

See EPA 0089 - Electronic Tracking Systems for other disposable electronic tracking systems not requiring their own schedule.

Reasons for Disposition:

The following changes were made in the 01/31/2016 version:

- Updated guidance, cross references and organizational name of system contact.

The following changes were made in the 05/31/2013 version:

- Updated schedule title, description, and guidance.
- Deleted items a, b, d, and e which are covered by other schedules.

The following changes were made in the 04/30/2008 version:

- Revised disposition instructions for items a and b.
- Added applicability to disposition items a, c and e.
- Revised title and disposition instructions for item e.

Disposition for the electronic software program (item a) and output (item d) are consistent with the originally approved schedule. Disposition for input (item b) is consistent with NARA's GRS 20/2. Disposition for electronic data (item c) conforms to NARA's General Records Schedule 14. The disposition for supporting documentation (item e) conforms with GRS 20/11.

Custodians:

Office of Environmental Information, Office of Information Collection, FOIA and Privacy Branch

- **Contact:** Cindy Floyd-Coleman
- **Telephone:** 202-566-1662

Related Schedules:

EPA 1012, EPA 1049

Previous NARA Disposal Authority:

Entry: 01/04/1993

EPA Approval: 10/07/1993

NARA Approval: 11/27/1996

EPA Records Schedule 0264

Status: Final, 11/30/2019

Title: Section Seven Tracking System (SSTS)

Program: Compliance Monitoring

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-02-3

Description:

The Section Seven Tracking system (SSTS) is a database containing company, establishment registration data, and annual pesticide production reports.

Predecessor systems include: Establishment Registration Support System (ERSS) (1974); FIFRA and TSCA Enforcement System (FATES) (1979); FATES was split in 1986 into FATES and FIFRA/TSCA Tracking System (FTTS); SSTS was created in 1991.

Disposition Instructions:

Item a: Electronic software program

This item is to be used only by the Office of Enforcement and Compliance Assurance, Office of Compliance, Agriculture Division at Headquarters.

NARA Disposal Authority: N1-412-02-3a

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

Item b(1): Input - Paper

NARA Disposal Authority: N1-412-02-3b(1)

- **Disposable**
- Close when information has been entered into the system.
- Destroy 7 years after file closure. Shred submissions with confidential information.

Item b(2): Input - Electronic

NARA Disposal Authority: N1-412-02-3b(2)

- **Disposable**
- Close when information has been entered into the system.
- Delete earliest year after closure.

Item c: Electronic data

This item is to be used only by the Office of Enforcement and Compliance Assurance, Office of Compliance, Agriculture Division at Headquarters.

NARA Disposal Authority: N1-412-02-3c

- **Permanent**
- Close at the end of the reporting year.
- Transfer data annually to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: System documentation

This item is to be used only by the Office of Enforcement and Compliance Assurance, Office of Compliance, Agriculture Division at Headquarters.

NARA Disposal Authority: N1-412-02-3e

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

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic

records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Pesticide producing establishments printouts maintained in regional offices are covered by schedule 1035.

Input to the system takes place at the regional level as well as headquarters. The system maintains 5 years of data. To accomplish this, once a year the system deletes "year one" data.

Reasons for Disposition:

The following change was made in the 11/30/2019 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following change was made in the 10/31/2009 version:

- Revised wording of disposition instructions for item a.

The following changes were made in the 08/31/2008 version:

- Revised schedule title.
- Updated contact information.

The following changes were made in the 04/30/2008 version:

- Added applicability to disposition items a, c and e.
- Revised title of disposition item e.

This tracking system is the only one that registers pesticide producing establishments, therefore NARA recommended that the data be appraised as permanent rather than temporary.

Custodians:

Office of Enforcement and Compliance Assurance, Office of Compliance, Agriculture Division

- **Contact:** Michelle Stevenson
- **Telephone:** 202-564-4203

Related Schedules:

EPA 1035

Previous NARA Disposal Authority:

Entry: 01/04/1993

EPA Approval: 02/08/2002

NARA Approval: 01/14/2003

EPA Records Schedule 0273

Status: Final, 05/31/2017

Title: Chemical Update System (CUS)

Program: Toxic Substances

Applicability: Headquarters

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-96-3/1

Description:

The Chemical Update System (CUS) contains confidential data reported by industry (approximately 1200 companies) as a partial update of the TSCA Inventory. Manufacturers and importers are required to report company information (plant site name, address, DUNS number) and chemical information (CAS registry number, PMN/Bonafide/TMEA or CCID Number, and production volume) for chemicals they manufactured or imported in excess of 10,000 pounds in the immediately preceding fiscal year. Polymers, naturally occurring substances, and UVCB's are exempt from reporting requirements. Reporting takes place every four years, beginning in December 1986. Production volumes on the CUS database are discrete amounts, rather than ranges, found on the Chemicals in Commerce Information System (CICIS).

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

This item is to be used only by the Office of Chemical Safety and Pollution Prevention, Records and Dockets Management Branch at Headquarters.

NARA Disposal Authority: N1-412-96-3/1c

- **Permanent**
- Transfer data to the National Archives at the end of each update cycle, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in electronic format only, and is not media neutral. The format of the permanent records is specified in a records schedule approved by NARA, and the electronic records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. The electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Related records - The TRI Processing System (TRIPS) is covered by schedule 0153. Two related systems, Chemicals in Commerce Information System (CICIS) and Confidential Chemicals Identification System (CCID) are covered by schedule 0088.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period. The electronic software program is covered by schedule 1012 item e.

Input - Input from the TSCA chemical inventory file, formerly item b, is covered by schedule 1035 item a.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item e, refers to those records necessary to document how the system captures, manipulates, and outputs data. System documentation is transferred to the National Archives along with the electronic data. Disposition of system documentation is covered by schedule 1012 item a.

In 1993, the data contained in the Chemical Update System was transferred from the mainframe located in Research Triangle Park, North Carolina, to the LAN serving OPPT. As part of the close-out procedure, the information was also transferred to tape. The LAN-based system is updated once every four years from the information extracted from the IUR form.

Reasons for Disposition:

The following changes were made in the 05/31/2017 version:

- Corrected applicability from Agency-wide to Headquarters.
- Deleted items a, b, d, and e which are covered by other schedules.
- Updated guidance and cross references.

The following change was made in the 04/30/2008 version:

- Revised title of disposition items a and e.

Records support operations as required by statute and regulation. Data is from the TSCA Chemical Inventory File which is scheduled as permanent.

Custodians:

Office of Chemical Safety and Pollution Prevention, Pollution Prevention and Toxics, Records and Dockets Management Branch

- **Contact:** Darryl Ballard
- **Telephone:** 202-260-5521

Related Schedules:

EPA 0088, EPA 0153, EPA 1012, EPA 1035

Previous NARA Disposal Authority:

Entry: 03/11/1993

EPA Approval: 01/26/1996

NARA Approval: 09/05/2001

EPA Records Schedule 0299

Status: Final, 11/30/2019

Title: Budget Formulation System (BFS)

Program: Budget Operations

Applicability: Agency-wide

Function: 402 - Financial Management

NARA Disposal Authority:

- N1-412-09-1

Description:

The Budget Formulation System (BFS) automates EPA's budget processes, including planning, budgeting, execution, and reporting. Budget data is entered at a general level by offices and regions or by the Office of the Chief Financial Officer (OCFO). The system maintains snapshots of the budget as it exists at key stages of the process. Budgetary transactions are entered into the system and edited against business rules and budgetary limitations. Authorizations and approvals of transactions are done on-line with an audit trail of each transaction. The system serves as the source of information on EPA's organizational structure, planning structure, budget structure, fiduciary structure, and the business rules.

This system interfaces with the Integrated Financial Management System (IFMS) and the EPA Payroll System (EPAYS) which are scheduled separately. It replaces the Resources Management Information System/Budget Analysis System (RIMS/BARS).

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c(1): Electronic data - Final data

Includes the OMB Submission, President's Budget, Enacted Budget, Performance Annual Report and Congressional Justification. The Office of the Chief Financial Officer, Office of Budget, Systems and Information Management Branch at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-1c(1)

- **Permanent**
- Transfer data annually to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item c(2): Electronic data - Working data

The Office of the Chief Financial Officer, Office of Budget, Systems and Information Management Branch at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-1c(2)

- **Disposable**
- Delete when no longer needed to document budget activities.

Item d: (Reserved)

Item e(1): System documentation - Final data

Includes the OMB Submission, President's Budget, Enacted Budget, Performance Annual Report and Congressional Justification. The Office of the Chief Financial Officer, Office of Budget, Systems and Information Management Branch at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-1e(1)

- **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. Documentation is transferred with the electronic data (subitem c(1)).

Item e(2): (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and meet NARA-approved disposition. The electronic software program is covered by schedule 1012, item e.

Input - Input, formerly item b, is covered by schedule 1012, item e.

Output and reports - For disposition of outputs and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later date.

System documentation - System documentation for the working data, formerly item e(2), is covered by schedule 1012, item e.

IFMS is covered by EPA 0054 and EPAYS by EPA 0573.

The OMB Submission in items c(1) and e(1) begins with the year 2000.

Reasons for Disposition:

The following change was made in the 11/30/2019 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following changes were made in the 04/30/2014 version:

- Revised title of schedule and description.
- Deleted items a, b, d and e(2) which are covered by other schedules.
- Updated guidance.

The following change was made in the 03/31/2009 version:

- Added OMB Submission to items c(1) and e(1) and added statement about it in guidance.

The following change was made in the 11/30/2008 version:

- Removed reference to OMB submission in item e(1).

The following change was made in the 07/31/2008 version:

- Removed reference to OMB submission in item c(1).

The following change was made in the 05/31/2008 version:

- Divided disposition items c and e into two subitems each.
- Added statement about applicability for disposition items a, c and e.

The schedule was previously approved as NC1-412-85-9/3 for the Resources Management Information System (RMIS). It has been revised to reflect current budget practices.

Custodians:

Office of the Chief Financial Officer, Office of Budget, Systems and Information Management Branch

- **Contact:** Jackye Herzfeld
- **Telephone:** 202-564-4599

Related Schedules:

EPA 0054, EPA 0573, EPA 1012

Previous NARA Disposal Authority:

NC1-412-85-9/3

Entry: 01/10/2002

EPA Approval: 11/17/2008

NARA Approval: 08/09/2009

EPA Records Schedule 0300

Status: Final, 01/31/2016

Title: PeoplePlus (PPL)

Program: Financial Management

Applicability: Agency-wide

Function: 402 - Financial Management

NARA Disposal Authority:

- Varies

Description:

The PeoplePlus (PPL) system consists of two modules. One module allows for various time and labor functions such as allowing employees to enter time and attendance and managers to approve time. The other module performs leave management functions which includes streamlining the leave request process. All leave types are available for employees to request based on the pay group. Approved leave is automatically loaded into the time card. Supervisors and timekeepers can view leave balances online.

The PPL system interfaces with the Department of Interior (DOI) Interior Business Center(IBC) system Federal Personnel and Payroll System (FPPS) to transmit time and attendance data for payroll formulation. FPPS returns processed payroll data to EPA. This data is posted back to PPL, Labor Distribution, and subsequently the Agency's core financial system, Compass, and its storage/reporting repository, the Compass Data Warehouse.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Personnel data

NARA Disposal Authority: Varies

- **Varies**
- Follow instructions for the specific type of personnel records (e.g., official personnel folders (OPFs)).

Item d: Payroll data

NARA Disposal Authority: DAA-0412-2013-0020-0002

- **Disposable**
- Follow instructions for EPA 1005c.

Item e: Time and attendance data

NARA Disposal Authority: General Records Schedule 2/7

- **Disposable**
- Follow instructions for EPA 1005f.

Item f: Leave data

NARA Disposal Authority: General Records Schedule 2/6

- **Disposable**
- Follow instructions for EPA 1005d.

Item g: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Electronic software program and system documentation - The electronic software program and system documentation, formerly item a, is to be kept as long as needed to ensure access to, and

use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition. Disposition of the software and system documentation is covered by schedule 1012 item e.

Input - Input, formerly item b, is covered by schedule 1012 item e.

Output and reports - For disposition of output and reports, formerly item g, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

The Office of the Chief Financial Officer, Office of Technology Solutions, is responsible for implementing the disposition for the system data. Documentation such as approved work schedules, maxiflex work records, PeoplePlus time card summary reports, and related time and attendance records maintained by other offices are to be maintained in accordance with item e. Documentation related to leave and leave applications, including leave transfers, requests for restored leave, and similar documents, maintained by other offices are to be maintained in accordance with item f.

A standardized summary report generated by the Superfund Cost Recovery Package Imaging On-line System (SCORPIOS) serves as EPA's official payroll documentation in support of Superfund and oil spill cost recovery rather than the payroll distribution time sheets used with PeoplePlus. SCORPIOS is scheduled as EPA 0052.

Official leave records prepared upon transfer or separation of employees are filed in the OPF, and are covered in EPA 0553 for civilians, or EPA 0554 for Public Health Service personnel.

The Compass Financials system (Compass) is scheduled as EPA 0054.

Records are covered by Privacy Act system of records EPA-1.

Reasons for Disposition:

The following changes were made in the 12/31/2015 version:

- Deleted items a, b, and g which are covered by other schedules.
- Updated guidance and contact information.

The following change was made in the 05/31/2013 version:

- Updated guidance about electronic forms and cross references.

The following change was made in the 05/31/2010 version:

- Revised wording of disposition instructions for item a.

The following changes were made in the 04/30/2008 version:

- Revised title of disposition item a.
- Revised disposition instructions for item b.

The system works in conjunction with the Department of Interior's Interior Business Center (IBC), a government-wide payroll provider. Effective June 9, 2014, the IBC became responsible for processing the EPA payroll and providing payroll services to EPA.

Custodians:

Office of the Chief Financial Officer, Office of Technology Solutions

- **Contact:** Ida Fairnot
- **Telephone:** 202-564-4913

Related Schedules:

EPA 0052, EPA 0054, EPA 0553, EPA 0554, EPA 1005, EPA 1012

Previous NARA Disposal Authority:

Entry: 04/08/2002

EPA Approval: 06/12/2006

NARA Approval: Varies

EPA Records Schedule 0318

Status: Final, 07/31/2014

Title: Bulletins Live

Program: Pesticides

Applicability: Headquarters

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-09-6

Description:

Bulletins Live is a system that helps users determine if limitations on pesticide use are necessary to ensure a pesticide's use will not harm a species listed as threatened or endangered under the Endangered Species Act. It functions as a portal through which the following types of data are available: state and county maps, Endangered Species Protection Bulletins, species protection demarcations and explanations, and pesticide limitation codes. Based on user-entered criteria and maps, bulletins are generated to show under what conditions a pesticide may be applied. Bulletins identify species of concern and the name of the pesticide active ingredient that may affect the species. They also provide a description of the protection measures necessary to protect the species and contain a county-level map showing the geographic area(s) associated with the protection measures, depending on the susceptibility of the species to other factors such as vandalism. Bulletins are effective and enforceable as part of the pesticide product label.

The Bulletins Live system replaces the Endangered Species Map File. The Endangered Species Map File contains 8-1/2 x 11 inch endangered species habitat maps submitted by the U.S. Fish and Wildlife Service and states. Map information was used to produce digitized maps of habitat information. Maps were updated constantly until issued as an enforceable bulletin in the Federal Register. The file includes correspondence, draft and final maps, and supporting information from states, the U.S. Fish and Wildlife Service, and the U.S. Department of Agriculture.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

The Office of Chemical Safety and Pollution Prevention, Office of Pesticide Programs, Field and External Affairs Division at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-6c

- **Permanent**
- Transfer to the National Archives every 5 years, beginning in 2014, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: (Reserved)

Item e: (Reserved)

Item f: (Reserved)

Item g: (Reserved)

Item h: Endangered species map case files, except digitized maps

NARA Disposal Authority: N1-412-09-6h

- **Permanent**
- Close inactive records upon issuance of enforceable bulletin.
- Transfer to the National Archives 30 years after file closure.

Item i: Endangered species map file, digitized maps

NARA Disposal Authority: N1-412-09-6i

- **Disposable**
- Close inactive records upon issuance of the enforceable bulletin.
- Destroy 5 years after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition, and is covered by schedule 1012, item e.

Input - Input, formerly item b, is covered by schedule 1012 item e.

Output and reports - For disposition of output and reports, formerly item e, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item f, refers to those records necessary to document how the system captures, manipulates and outputs data. System documentation is transferred to the National Archives along with the electronic data. Disposition of system documentation is covered by schedule 1012 item a.

Specific legal citations include:

- Endangered Species Act of 1973, Sec. 7(a)(2)
- Federal Insecticide, Fungicide and Rodenticide Act, Sec. 12

Reasons for Disposition:

The following changes were made in the 07/31/2014 version:

- Deleted items a, b, e and f which are covered by other schedules.
- Updated cross references and contact information.

The following changes were made in the 02/28/2010 version:

- Added previous description for the endangered species map file.
- Added disposition items h and i from previously approved schedule, N1-412-95-2/14.

The following changes were made in the 11/30/2009 version:

- Deleted disposition items d and g.

The following change was made in the 02/28/2009 version:

- Revised disposition for item b.

The previously approved schedule (N1-412-95-2/14) has been rewritten to reflect the change in the business process. The bulletins were previously approved as permanent. Items h and i were previously approved as N1-412-95-2/14.

Item c for electronic copies created with word processing and electronic mail applications deleted 08/18/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Chemical Safety and Pollution Prevention, Office of Pesticide Programs

- **Contact:** Anita Pease
- **Telephone:** 703-305-0392

Office of Chemical Safety and Pollution Prevention, Office of Pesticide Programs

- **Contact:** Jennifer Connolly
- **Telephone:** 703-347-0405

Related Schedules:

EPA 1012

Previous NARA Disposal Authority:

N1-412-95-2/14

Entry: 10/19/1994

EPA Approval: 02/20/2009

NARA Approval: 02/25/2010

EPA Records Schedule 0329

Status: Final, 12/31/2013

Title: Pesticide Registration Information System (PRISM)

Program: Pesticides

Applicability: Headquarters

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-09-16

Description:

The Office of Pesticide Programs (OPP) has migrated all of its major data systems including regulatory and scientific data, workflow tracking and electronic document management into one integrated system, the Pesticide Registration Information System (PRISM). PRISM provides a centralized source of information on all registered pesticide products, including chemical composition, toxicity, name and address of registrant, brand names, registration actions, and related data. It consolidates information stored on the mainframe, the OPP LAN, on stand-alone computers and in paper copy. The purpose of this system is to decrease the data entry burden, increase analytical capabilities, better track decision-making processes, prevent loss of and improve access to critical decision documents, and make OPP information readily available to those both within and outside of the Program.

PRISM is the successor to the Office of Pesticide Programs Information System Network (OPPIN). Data has been migrated from the following databases: Chemical Vocabulary (CV), Company Name and Address (CNAD), Pesticide Document Management System (PDMS), Pesticide Product Information System (PPIS), Chemical Review Management System (CRMS), FIFRA CBI Access (FAS), Jackets, Product Data Call-In (PDCI), Phones, Pesticide Regulatory Action Tracking (PRAT), Reference System (REFS), Tolerance Indexes (TIS and TOTS). Sources of the input are paper copy and electronic data. EPA's Central Data Exchange (CDX), scheduled as EPA 097, is the gateway for electronic submissions.

The system is designed mainly for use by OPP staff, however, read-only access to the non-confidential business information (CBI) portion of the data is available to the entire Agency. Non-CBI information is available to the public.

Disposition Instructions:

Item a: Electronic software program

The Office of Chemical Safety and Pollution Prevention, Office of Pesticide Programs, Information Technology and Resources Management Division, Information Services Branch at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-16a

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

Item b: Input

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Item c: Registration and registration review data and documents

Includes end use product data, labeling and PRIA data.

NARA Disposal Authority: N1-412-09-16c

- **Permanent**
- Close inactive records at completion of action.
- Transfer data to the National Archives annually after file closure and completion of any ongoing audits involving review of data and documents, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: (Reserved)

Item e: (Reserved)

Item f: Reference and information tracking databases

NARA Disposal Authority: N1-412-09-16f

- **Disposable**
- Follow instructions for applicable schedule (EPA 0088, EPA 0089).

Item g: Output and reports

NARA Disposal Authority: Varies

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

Item h: System documentation

The Office of Chemical Safety and Pollution Prevention, Office of Pesticide Programs, Information Technology and Resources Management Division, Information Services Branch at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-16h

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

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

The pesticide program divisions in the Office of Pesticide Programs which maintain the records are responsible for the disposition of items b, c, f and h.

Registration review is replacing the pesticide reregistration program, including tolerance reassessment, as these programs approach completion.

The Section Seven Tracking System (SSTS) (EPA 0264) is considered part of the PRISM system, however the Office of Enforcement and Compliance Assurance is solely responsible for maintaining the SSTS data.

Specific legal citations include, but are not limited to:

- Federal Insecticide, Fungicide and Rodenticide Act and Amendments (FIFRA)

- 1996 Food Quality Protection Act (FQPA)
- Pesticide Registration Improvement Act of 2003 (PRIA)

Reasons for Disposition:

PRISM is an integrated relational data system and document repository which allows data analysis required by statute. This system incorporates data and documentation from several previously approved schedules, including the following systems listed below. EPA 0335 and 0349 were previously approved as permanent.

Item c incorporates data and documentation from the following previously approved schedules:

- EPA 0315 - Pesticide Registration Documents, N1-412-07-39
- EPA 0327 - Company Name and Address (CNAD), N1-412-95-2/8
- EPA 0335 - Pesticide Document Management System (PDMS), N1-412-98-3
- EPA 0349 - Pesticide Product Information System (PPIS), NC1-412-85-24/39
- EPA 0352 - Pesticide Incident Documents and Incident System, N1-412-05-7
- EPA 0363 - Pesticide Product Label System (PPLS), N1-412-07-47
- EPA 0366 - Label Use Information System (LUIS), N1-412-95-2/13

It replaces several minor systems listed on two of EPA's "big bucket" system schedules for temporary records. The Chemical Review Management System (CRMS), Jackets, Pesticide Regulatory Action Tracking (PRAT), and Reference System are listed on EPA 0089. Tolerance Indexes are listed on EPA 0088.

The following change was made in the 10/31/2008 version:

- Revised reasons for disposition.
- Updated contact information.

The following changes were made in the 09/30/2008 version:

- Changed title and added file closure instructions for item c.
- Updated contact information.

The following changes were made in the 08/31/2008 version:

- Deleted disposition item d for pesticide labeling data and disposition item e for PRIA tracking data since they are part of registration and reregistration review data and covered by disposition item c.
- Revised title of disposition item h.
- Revised guidance and reasons for disposition.
- Updated contact information.

The following change was made in the 07/31/2008 version:

- Revised reasons for disposition.

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

- Revised description.
- Replaced disposition item c with items c-f, item d with g, and item e with h.
- Revised guidance and reasons for disposition.

The following changes were made in the 04/30/2008 version:

- Revised titles of schedule and disposition items a and e.
- Revised description.
- Revised disposition instructions for items a, b, d and e.

Custodians:

Office of Chemical Safety and Pollution Prevention, Office of Pesticide Programs, Information Technology and Resources Management Division

- **Contact:** Robert Schultz
- **Telephone:** 703-308-8186

Related Schedules:

EPA 0264, EPA 1012

Previous NARA Disposal Authority:

NC1-412-85-24/39, N1-412-95-2/8 and 13, N1-412-98-3, N1-412-05-7, N1-412-07-39, N1-412-07-47

Entry: 12/17/2004

EPA Approval: 09/01/2009

NARA Approval: 12/21/2010

EPA Records Schedule 0352

Status: Final, 11/30/2019

Title: Pesticide Incident Data System (PIDS)

Program: Pesticides

Applicability: Headquarters

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-05-7

Description:

The Pesticide Incident Data System (PIDS) includes correspondence, statistical and narrative documents, summary data related to accidents and incidents under the Federal Insecticide, Fungicide and Rodenticide Act (FIFRA), as amended, Section 6(a)(2) adverse health effects reported by industry, government agencies, and the public. The data is used to provide statistics on pesticide accidents involving human, animal, and environmental injuries. It also serves as a retrieval system to the incident files used in chemical reviews of pesticide products to defend or deny a registration.

PIDS replaces the Pesticide Incident Reporting Monitoring System Master File, the Pesticide Episode Report System, and Pesticide Incident Documents.

Disposition Instructions:

Item a: (Reserved)

Item b: Electronic data for Incident Data System (IDS)

The Office of Chemical Safety and Pollution Prevention, Office of Pesticide Programs, Information Technology and Resources Management Division, Information Services Branch at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-05-7b

- **Permanent**
- Transfer to the National Archives when 50 years old, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item c: Source documents (reports)

NARA Disposal Authority: N1-412-05-7c

- **Disposable**
- Close file annually.
- Destroy 20 years after file closure.

Item d: (Reserved)

Item e: (Reserved)

Item f: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Since 2002, incident reports are being scanned and imaged onto CD-ROM. Prior to that time, all incident reports were in microfiche, all of which have been retired.

System indexes and incident data in electronic format are transferred to NARA's Center for Electronic Records. The index file is organized by product name. The first transfer will consist of all index records with associated images, and subsequent transfers will occur when the incident images are transferred.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period. The electronic software program is covered by schedule 1012 item e.

Input - Input, formerly item d, is covered by schedule 1012 item e.

Output and reports - Output and reports, formerly item e, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item f, refers to those records necessary to document how the system captures, manipulates, and outputs data. System documentation is transferred to the National Archives along with the electronic data. Disposition of system documentation is covered by schedule 1012 item a.

Reasons for Disposition:

The following change was made in the 11/30/2019 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following changes were made in the 06/30/2017 version:

- Deleted items a, d, e, and f which are covered by other schedules.
- Updated guidance and contact information.

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

- Revised the title of the schedule.
- Updated the wording and name of the program office in disposition items a, b and f.
- Revised guidance.
- Updated contact information.

The following changes were made in the 04/30/2008 version:

- Revised disposition instructions for items a and d.
- Added applicability to disposition items a, b and f.
- Revised title of disposition item f.

PIDS, the electronic system, supports the regulatory decisions on pesticide products and replaces the following permanent systems: EPA 0345 - Pesticide Incident Reporting Monitoring System Master File (PIMS) (NC1-412-85-24/34), EPA 0346 - Pesticides Episode Report System (NC1-412-85-24/35), and EPA 0341 - Pesticide Incident Documents (N1-412-03-13).

Custodians:

Office of Chemical Safety and Pollution Prevention, Office of Pesticides, Information Technology and Resources Management Division, Information Services Branch

- **Contact:** Robert Miller
- **Telephone:** 703-347-8012

Related Schedules:

EPA 1012

Previous NARA Disposal Authority:

NC1-412-85-24/30, 34 and 35, N1-412-03-13

Entry: 06/27/2002

EPA Approval: 04/12/2005

NARA Approval: 02/09/2006

EPA Records Schedule 0366

Status: Final, 12/31/2013

Title: Label Use Information System (LUIS)

Program: Pesticides

Applicability: Headquarters

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-95-2/13

Description:

LUIS provides automated access to current and accurate information on the legal uses of pesticides as specified by the registered pesticide products labeling. It is a LAN-based data base system developed to manage pesticide use data derived from product labeling, enabling analysis of use data at the individual product level as well as aggregate information of all products containing a specific active ingredient. Formerly known as the Index to Pesticide Chemicals (paper-based system) scheduled separately.

Disposition Instructions:

Item a: Electronic software system

This item is to be used only by the Office of Chemical Safety and Pollution Prevention, Office of Pesticide Programs, Biological and Economic Analysis Division, Science Information and Analysis Branch at Headquarters.

NARA Disposal Authority: N1-412-95-2/13a

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

Item b: Input

NARA Disposal Authority: DAA-0412-2013-0009

- **Varies**
- Follow instructions for schedule 1012.

Item c: Electronic data

This item is to be used only by the Office of Chemical Safety and Pollution Prevention, Office of Pesticide Programs, Biological and Economic Analysis Division, Science Information and Analysis Branch at Headquarters.

NARA Disposal Authority: N1-412-95-2/13c

- **Permanent**
- Beginning FY 1996, transfer annually to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: System documentation

This item is to be used only by the Office of Chemical Safety and Pollution Prevention, Office of Pesticide Programs, Biological and Economic Analysis Division, Science Information and Analysis Branch at Headquarters.

NARA Disposal Authority: N1-412-95-2/13e

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

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an

Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Reasons for Disposition:

The following changes were made in the 04/30/2008 version:

- Revised disposition instructions of items a and b.
- Added applicability to disposition items a, c and e.
- Revised title of disposition item e.

Disposition for the Index to Pesticide Chemicals, which this system replaces, was previously approved by the National Archives as permanent (NC1-412-85-24/33).

Custodians:

Office of Chemical Safety and Pollution Prevention, Office of Pesticide Programs, Biological and Economic Analysis Division, Science Information and Analysis Branch

- **Contact:** Steve Jarboe
- **Telephone:** 703-308-8105

Related Schedules:

EPA 1012

Previous NARA Disposal Authority:

NC1-412-85-24/33

Entry: 11/24/1992

EPA Approval: 04/28/1995

NARA Approval: 02/11/1999

EPA Records Schedule 0373

Status: Final, 06/30/2017

Title: Toxic Substances Control Act Test Submissions (TSCATS)

Program: Toxic Substances

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-03-14

Description:

The Toxic Substances Control Act Test Submissions (TSCATS) system is an electronic index to non-confidential, unpublished studies on chemical testing and adverse effects of chemicals on health and the environment. TSCATS was developed to make chemical testing studies available to the public, and includes chemical exposure studies, epidemiology, environmental fate, monitoring, episodic incidents, such as spills and case reports. The studies on unique chemical substances are submitted by U.S. industry under the Toxic Substances Control Act, section 4, chemical testing; section 8d, health and safety studies; section 8e, notices of substantial risk; and voluntarily submitted data on potentially hazardous chemicals.

The studies are scheduled separately. Full-text documents of the studies are on microfiche are available from the National Technical Information Service.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

This item is to be used only by the Office of Chemical Safety and Pollution Prevention, Office of Pollution Prevention and Toxics, Information Management Division at Headquarters.

NARA Disposal Authority: N1-412-03-14c

- **Permanent**
- Transfer data annually to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in electronic format only, and is not media neutral. The format of the permanent records is specified in a records schedule approved by NARA, and the electronic records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. The electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period. The electronic software program is covered by schedule 1012 item e.

Input - Input, formerly item b, is covered by schedule 1012 item e.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item e, refers to those records necessary to document how the system captures, manipulates, and outputs data. System documentation is transferred to the National Archives along with the electronic data. Disposition of system documentation is covered by schedule 1012 item a.

Index data or input is from the following series: TSCA Section 4 Chemical Test Program Results and TSCA Section 8 Information and Reporting Files covered by schedule 1035.

The 8(e) Triage database, last updated September 1997, was integrated into TSCATS in 2001.

Reasons for Disposition:

The following changes were made in the 06/30/2017 version:

- Deleted items a, b, d, and e since they are covered by other schedules.
- Updated guidance and contact information.

The following changes were made in the 04/30/2008 version:

- Revised disposition instructions for items a and b.
- Added applicability to disposition items a, c and e.
- Revised title of disposition item e.

Data in this system are pertinent to the chemical risk assessment and hazard evaluation process and is available to the public through NTIS and online through the National Library of Medicine. The data are used by federal and state agencies, researchers, toxicologists, risk assessors, the regulated industry, attorneys, trade and professional associations. As of July, 2000, there were 106,063 studies on 8,304 unique chemical substances contained in 30,924 documents.

Custodians:

Office of Chemical Safety and Pollution Prevention, Office of Pollution Prevention and Toxics, Information Management Division

- **Contact:** Donald Frank
- **Telephone:** 202-564-0302

Related Schedules:

EPA 1012, EPA 1035

Previous NARA Disposal Authority:

Entry: 04/02/1996

EPA Approval: 08/04/2003

NARA Approval: 03/01/2004

EPA Records Schedule 0400

Status: Final, 12/31/2013

Title: Storage and Retrieval of Water Quality Information (STORET)

Program: Water

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-09-12

Description:

The Storage and Retrieval of Water Quality Information (STORET) system is an automated information system which assists state and EPA officials to make pollution control decisions by providing a capability to store, retrieve and analyze water quality information. Information includes chemical, physical, and biological water quality of the Nation's waters, including ambient, intensive survey, effluent, and biological water quality monitoring information. Most STORET information has been added since 1975, however, records go back to 1899. Information is contributed voluntarily by federal, state, interstate agencies, universities, tribes, and volunteers.

STORET has the following components:

- Data Warehouse - serves as a repository for data collected by EPA and agency partners. The STORET Data warehouse is more accessible via online data reports, Web services, and new tools.
- Water Quality Exchange (WQX) - uses standardized data exchange schemas along with technology to load/enter/validate data into the Data warehouse. WQX provides the means for direct computer-to-computer data exchange. WQX leverages both the agency architecture and other agency IT and agency non-IT investments, including the Central Data Exchange (CDX), the Substance Registry System, and the Exchange Network Grant Program. WQX also allows EPA to better integrate water monitoring data with other Federal Agencies (i.e. USGS).
- WQX Web Tool - uses a web portal access to standardize data exchange schemas for loading/entering/validating data into the Data warehouse. The Web Tool provides a User-Web to computer data exchange.

Disposition Instructions:

Item a: Electronic software program

The Office of Water, Office of Wetlands, Oceans and Watersheds, Assessment and Watershed Protection Division, Monitoring Branch at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-12a

- **Disposable**
- Close when no longer needed to ensure access to and use of the electronic records throughout the authorized retention period.
- Delete after file closure.

Item b: Input

NARA Disposal Authority: N1-412-09-12b

- **Disposable**
- Close when information has been transferred to the master file and verified.
- Delete after file closure.

Item c: Electronic data

The Office of Water, Office of Wetlands, Oceans and Watersheds, Assessment and Watershed Protection Division, Monitoring Branch at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-12c

- **Permanent**
- Initial Transfer: Transfer Legacy Data Center data (1994-1999) to the National Archives in 2010, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Interim Transfers: While the system is in operation, transfer STORET data to the National Archives every 5 years, beginning in 2015 (for 2000-2004 data), or whenever a major change to the system occurs, whichever is earlier, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Final Transfer: Close when program is discontinued or system is terminated. Transfer final data to the National Archives 1 year after system is closed, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: System documentation

The Office of Water, Office of Wetlands, Oceans and Watersheds, Assessment and Watershed Protection Division, Monitoring Branch at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-12e

- **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. The documentation is transferred with the electronic data (item c).

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

This schedule covers the STORET and the Water Quality Exchange (WQX) which defines the methods and the data systems by which EPA compiles monitoring data (typically water quality data, but not exclusively water quality data) that are collected by a number of entities. Those entities could be states, tribes, volunteer monitoring groups, or EPA.

Electronic data from 1950-1993 were transferred to the National Archives under previously approved NARA disposal authority NC1-412-81-018, Items 2 and 9. The Initial Transfer of Legacy Data Center data from 1994-1999 to the National Archives was completed in 2010 under NARA disposal authority N1-412-09-12, Item c.

The time line for Interim Transfer of electronic data to the National Archives under Item c is:

- 2015 - Transfer 2000-2004 data.
- 2020 - Transfer 2005-2009 data.
- 2025 - Transfer 2010-2014 data.
- 2030 - Transfer 2015-2019 data.

The previously approved version of this schedule included the following components which have been superseded by the current system:

- Biological System (BIOS)
- Daily Flow System (DFS)
- Fish Kill File (FK)
- Ocean Data Evaluation System (ODES)
- Parameter (PARM)
- Taxonomic Index File (TAXFILE)
- Water Quality System (WQS)

EPA schedules 0238 and 0239 for the New York Bight Water Quality Helicopter Monitoring System (R2NY-BIGHT) and U.S. Virgiin Island Ambient Monitoring Survey (VI-SURVEY) respectively, were deleted since the systems are no longer used and the legacy data added to STORET.

Reasons for Disposition:

The following changes were made in the 07/31/2010 version:

- Revised guidance to include information about legacy data from systems covered by schedules 0238 and 0239.
- Added previously approved disposal authorities for schedules 0238 and 0239.

The following changes were made in the 05/31/2010 version:

- Made minor revisions to wording in description.
- Revised transfer dates in disposition instructions for item c.
- Added transfer dates in guidance.
- Added ODES and PARM as superseded components or systems in guidance.
- Added NARA disposal authority for ODES as previously approved NARA disposal authority.

The following change was made in the 12/31/2009 version:

- Revised disposition instructions for item c to include the date range (1994-1999) for the legacy data.

The following change was made in the 10/31/2009 version:

- Revised disposition instructions for item c.

- Revised guidance.

The following changes were made in the 06/30/2009 version:

- Added applicability information to disposition items a, c and e.
- Added file closure instructions to items a and b and deleted file closure instructions for item c.
- Revised title of item e.
- Revised guidance and contact information.

This item is a major system supporting operations required by statute and regulations. Items 2 and 9 of NC1-412-81-18 were combined into one schedule item because item 2 is a component of the STORET system (item 9). Both items were previously appraised as permanent by the National Archives. ODES was previously approved as N1-412-95-4/1.

Custodians:

Office of Water, Office of Wetlands, Oceans and Watersheds, Assessment and Watershed Protection Division, Monitoring Branch

- **Contact:** Kevin Christian
- **Telephone:** 202-566-1180

Related Schedules:

Previous NARA Disposal Authority:

NC1-412-81-18/9, N1-412-95-4/1, N1-412-96-1/26, N1-412-96-1/27

Entry: 01/04/1993

EPA Approval: 07/14/2009

NARA Approval: 12/10/2009

EPA Records Schedule 0405

Status: Final, 11/30/2019

Title: Clean Watersheds Needs Survey (CWNS)

Program: Water

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-07-58/1

Description:

The Clean Watersheds Needs Survey (CWNS) assesses the capital investment necessary for the nation's wastewater pipes and treatment facilities, as well as in the nation's municipal stormwater management, decentralized wastewater (e.g., septic system) treatment, and nonpoint source (NPS) pollution control to meet Clean Water Act (CWA) water quality objectives. The Survey is a joint effort of EPA and the states to assess the capital investment required to build or improve municipal wastewater treatment facilities. Includes information on locations and characteristics, construction cost estimates and how they are documented, populations served by collection and treatment, flow capacity, effluent characteristics, and treatment processes. Information is collected and/or updated from states and territories and used to compile the Needs Survey Report to Congress.

Disposition Instructions:

Item a: CWNS program file

Includes contracts for assistance, pilot study, procedures for conduct of survey, weekly status reports, analysis of results, and allocation formulas.

NARA Disposal Authority: N1-412-07-58/1a

- **Disposable**
- Close file when Office of Management and Budget (OMB) approval has been received and final report has been delivered to Congress.
- Destroy 10 years after file closure.

Item b(1): Final report to Congress - Nonelectronic

NARA Disposal Authority: N1-412-07-58/1b(1)

- **Permanent**
- Close when final report has been delivered to Congress.
- Transfer to the National Archives in 6 year blocks 10 years after closure.

Item b(2): Final report to Congress - Electronic

NARA Disposal Authority: N1-412-07-58/1b(2)

- **Permanent**
- Close when final report has been delivered to Congress.
- Transfer to the National Archives 5 years after closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item b(3): (Reserved)

Item c: (Reserved)

Item d: Database and database documentation

NARA Disposal Authority: N1-412-07-58/1d

- **Permanent**
- Close when data have been published on the Web site of the Environmental Protection Agency, Office of Water, for public distribution.
- Transfer a copy of the final data and documentation to the National Archives after closure, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item e: (Reserved)

Item f: Reference copy of CWNS

Includes database, database documentation, and final report.

NARA Disposal Authority: N1-412-07-58/1f

- **Disposable**
- Close when no longer needed for data comparison and reference purposes.
- Destroy immediately after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources

Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Survey information is available for 1984, 1986, 1988, 1992, 1996, 2000 and 2004 and available to the public.

The Industrial Facilities Discharge (IFD) File is scheduled as EPA 0444.

Specific legal citations include:

- Clean Water Act, as amended, Sec. 205(a), 516(b)(1)

Reasons for Disposition:

The following change was made in the 11/30/2019 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following change was made in the 12/31/2013 version:

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

The following changes were made in the 04/30/2010 version:

- Revised the description for the records schedule.
- Revised the description and closure instructions for item a.
- Revised the closure and disposition instructions for items b(1), b(2), and d.
- Deleted item b(3) for Final report to Congress - Electronic copy of records transferred to the National Archives.
- Deleted item c for Questionnaires and incorporated it into item d.
- Added item f.

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

- Revised last sentence in description to delete reference to two-year update cycle and change "each state" to "states and territories."
- Revised disposition instructions for item d to delete reference to two-year update cycle.
- Revised guidance by adding additional years for survey information.

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

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

The following item was changed in the 04/27/2007 version: Database documentation was added to item d.

Item e for electronic copies created with word processing and electronic mail applications deleted 08/21/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Water, Office of Wastewater Management, Municipal Support Division

- **Contact:** Ted Czado
- **Telephone:** 202-564-0674

Related Schedules:

EPA 0444

Previous NARA Disposal Authority:

NC1-412-77-1/15, NC1-412-85-6/18a and b, N1-412-94-1

Entry: 12/28/1992

EPA Approval: 06/20/2007

NARA Approval: 08/07/2008

EPA Records Schedule 0413

Status: Final, 07/31/2018

Title: SDWIS/Operational Data System (SDWIS/ODS)

Program: Water

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-03-6

Description:

The SDWIS/Operational Data System (SDWIS/ODS) is a national database storing routine information which the Agency needs to monitor approximately 175,000 public water systems (PWS) and their compliance with monitoring requirements, maximum contaminant level (MCL) regulations, and other requirements of the Safe Drinking Water Act Amendments of 1986 and 1996. On October 1, 2005, a modernized version of SDWIS/FED replaced the legacy mainframe-based version. This new version is composed of several components, notably the SDWIS/Operational Data System (SDWIS/ODS) and the SDWIS Data Warehouse. The SDWIS/ODS database receives, processes, and stores data from the states. The Data Warehouse extracts data from SDWIS/ODS quarterly and makes it available for end user access. SDWIS/ODS is not accessible to end users. The complete set of data from the legacy SDWIS/FED was copied over into SDWIS/ODS.

Information tracked includes: PWS ID number, location (including city, county), whether system is active or inactive, the type of system (community, non-transient non-community, transient non-community), population served, number of service connections, water system's source of water, primary source of drinking water, past names, dates of the most recent update, whether or not the system is a significant non-complier, service area characteristics, longitude and latitude, treatment data, milestones for lead and copper and surface water treatment rules, and unregulated monitoring data.

Data is input by the states and used by EPA headquarters to provide required quarterly reports to other components of EPA and to satisfy external reporting requirements. It is also used by headquarters, regional offices, and states to perform oversight.

The system contains compliance information from 1980 to present and relates follow-up actions to specific violations.

Disposition Instructions:

Item a: (Reserved)

Item b: Input

NARA Disposal Authority: N1-412-03-6b

- **Disposable**
- Close when data have been successfully transferred by the states and when data have been successfully tested.
- Delete input after file closure.

Item c(1): Electronic data - Excluding sensitive enforcement data and sensitive location data

The Office of Water, Office of Ground Water and Drinking Water, Drinking Water Protection Division, Infrastructure Branch at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-03-6c(1)

- **Permanent**
- Close when program is discontinued or system is terminated.
- While system is in operation, transfer data annually in January to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Transfer final data to the National Archives one year after system is closed.

Item c(2): Electronic data - Enforcement data

The Office of Water, Office of Ground Water and Drinking Water, Drinking Water Protection Division, Infrastructure Branch at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-03-6c(2)

- **Permanent**
- Close when enforcement action is concluded and data have changed from sensitive to nonsensitive status.
- While system is in operation, transfer closed data annually in January to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Transfer final data to the National Archives one year after system is closed.

Item c(3): Electronic data - Sensitive location data

The Office of Water, Office of Ground Water and Drinking Water, Drinking Water Protection Division, Infrastructure Branch at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-03-6c(3)

- **Permanent**
- Close when program is discontinued or system is terminated.

- While system is in operation, transfer data annually as Critical Infrastructure Information to the Department of Homeland Security. Transfer final data as Records of Concern restricted from access under Freedom of Information Act, 5 U.S.C. 552, exemption (b)(2), to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time, one year after system is closed.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Electronic software program - The electronic software program, formerly item a, is covered by EPA 1012, item e. The electronic software program is to be kept as long as needed to ensure access to, and use of, the SDWIS/ODS electronic data throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and meet NARA-approved disposition.

Transfers of Nonsensitive Data while System is in Operation (items c(1) and c(2)) - Initial Transfer: Transfer data from January 1, 1976 through compliance year ending September 30, 2016. Subsequent Annual Transfers: In January, transfer new data or changes to existing data through preceding compliance year ending September 30.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, formerly item e, is covered by EPA 1012, item a, for historically significant records necessary to document how the system captures, manipulates, and outputs data, and includes software source code, data systems specifications, file specifications, codebooks, code translations, record layouts, user guides, and output specifications.

Media neutral - This schedule authorizes the disposition of the record copy in electronic format only, and is not media neutral. The format of the permanent records is specified in a records schedule approved by NARA, and the electronic records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. The electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI),

personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

This system also covers the Long Term 2 Enhanced Surface Water Treatment (LT2) Rule Data Collection System (LT2ESWTR). LT2ESWTR contains cryptosporidium E. coli and turbidity data generated during the Long Term 2 monitoring program.

Formerly known as the Federal Reporting Data System (FRDS) and Safe Drinking Water Information System - FED (SDWIS/FED).

The Drinking Water Supply File is a component of the Reach File which is the responsibility of the U.S. Geological Survey. Drinking water management and direct implementation files are scheduled as EPA 1035, item c.

Reasons for Disposition:

The following change was made in the 07/31/2018 version:

- Updated contact information.

The following changes were made in the 10/31/2016 version:

- Deleted item a - Electronic software program, which is covered by EPA 1012, item e.
- Updated wording of disposition instructions in item b - Input to conform to current style.
- Deleted item c and replaced with items c(1), c(2), and c(3).
- Deleted item d - Output and reports, which is covered by other schedules as explained in the Guidance.
- Deleted item e - System documentation, which is covered by EPA 1012, item a.
- Revised Guidance to include cutoff and transfer dates for Nonsensitive Data while System is in Operation.
- Revised Guidance that the schedule is not media neutral because it covers electronic records only.
- Updated references to Related Schedules.

The following changes were made in the 04/30/2009 version:

- Added applicability to disposition items a, c and e.
- Revised wording for file closure and disposition instructions for item c.
- Revised title of item e.
- Revised guidance to include information on LT2ESWTR.
- Updated contact information.

This is a major system supporting operations required by statute and regulations for compliance and enforcement. In 1997, SDWIS/FED replaced the system known as the Federal Reporting Data System (FRDS). FRDS was previously appraised as permanent by the National Archives. SDWIS - States, a counterpart to this system is scheduled as EPA 0089.

Custodians:

Office of Water, Office of Ground Water and Drinking Water, Drinking Water Protection Division, Infrastructure Branch

- **Contact:** Towana Dorsey
- **Telephone:** 202-564-4099

Related Schedules:

EPA 0089, EPA 1035

Previous NARA Disposal Authority:

NC1-412-81-18/4

Entry: 01/04/1993

EPA Approval: 11/26/2002

NARA Approval: 08/28/2003

EPA Records Schedule 0420

Status: Final, 12/31/2013

Title: National Compliance Database (NCDB)

Program: Enforcement and Compliance Assurance

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-03-3

Description:

The National Compliance Data Base (NCDB) is a reporting application for managers at headquarters. The system tracks regional compliance and enforcement activity and manages the pesticides and toxic substances compliance and enforcement program at a national level. NCDB provides reporting, retrieval, and analytical capabilities that support all members of the user community. There are three categories of reports: (1) reporting and enforcement and compliance assurance priorities (RECAP) reports, (2) standard reports, and (3) ad hoc reports.

NCDB is the national repository of the 10 regional and headquarters FIFRA/TSCA Tracking System (FFTS) data and contains approximately 65% of the FTTS data elements. Regional FFTS data entry personnel send their data to headquarters once a month to rebuild the NCDB.

Excludes: The FTTS which is scheduled as EPA 0421.

Disposition Instructions:

Item a: Electronic software program

This item is to be used only by the Office of Enforcement and Compliance Assurance, Enforcement Planning, Targeting and Data Division at Headquarters.

NARA Disposal Authority: N1-412-03-3a

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

Item b: Input

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Item c: Electronic data

This item is to be used only by the Office of Enforcement and Compliance Assurance, Enforcement Planning, Targeting and Data Division at Headquarters.

NARA Disposal Authority: N1-412-03-3c

- **Permanent**
- Close after monthly updates from FTTS.
- Transfer data annually to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: System documentation

This item is to be used only by the Office of Enforcement and Compliance Assurance, Enforcement Planning, Targeting and Data Division at Headquarters.

NARA Disposal Authority: N1-412-03-3e

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

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14,

and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

This system has a single source of input data which is selected from the regional FTTS, scheduled as EPA 0421. Monthly update data is transmitted to the EPA headquarters Office of Compliance and loaded into NCDB monthly.

Reasons for Disposition:

The following changes were made in the 04/30/2008 version:

- Revised schedule title.
- Revised disposition instructions for items a and b.
- Added applicability to disposition items a, c and e.
- Revised title of disposition item e.

Initially this system was submitted as part of EPA 0267 - FIFRA/TSCA Tracking System/National Compliance Data Base (FTTS/NCDB). During the appraisal review held on August 8, 2000, it was determined that the two systems should be scheduled separately, with the data for NCDB considered of permanent value.

Custodians:

Office of Enforcement and Compliance Assurance, Enforcement Planning, Targeting and Data Division

- **Contact:** James Johnson
- **Telephone:** 202-564-2501

Related Schedules:

EPA 0421, EPA 1012

Previous NARA Disposal Authority:

Entry: 10/05/2000

EPA Approval: 11/27/2002

NARA Approval: 05/03/2004

EPA Records Schedule 0421

Status: Final, 12/31/2013

Title: FIFRA/TSCA Tracking System (FTTS)

Program: Enforcement and Compliance Assurance

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-03-2

Description:

The FIFRA/TSCA Tracking System (FTTS) is a regional system used to track compliance activities such as inspections, case review, enforcement actions taken, samples collected, and pesticide grants and cooperative agreement information. The compliance monitoring and enforcement activities are tracked from the time an inspector conducts (or schedules) an inspection until the time the case is closed or the enforcement action is settled. The system provides for four categories of reports: (1) reporting and enforcement and compliance assurance priorities (RECAP), (2) standard reports, (3) ad hoc reports, and (4) tracking reports.

All 10 regions and headquarters use FTTS, but the FTTS regional databases work independently of one another. Regional FTTS data entry personnel send their data to headquarters every month to rebuild the National Compliance Data Base (NCDB).

Excludes: The NCDB scheduled as EPA 0420.

Disposition Instructions:

Item a: Electronic software program

NARA Disposal Authority: N1-412-03-2a

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

Item b: Input

NARA Disposal Authority: DAA-0412-2013-0009

- **Varies**
- Follow instructions for schedule 1012.

Item c: Electronic data

NARA Disposal Authority: N1-412-03-2c

- **Disposable**
- Delete individual records 15 years after final action.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: System documentation

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

FTTS acts as a local activity tracking and management tool. Each FTTS system is a stand-alone system for each regional office and is capable of functioning as a reporting tool. FTTS interacts with the NCDB to provide support for the national pesticides and toxics program.

Input data for FTTS is extracted from a variety of documents such as inspection reports, import reviews, samples, etc. In addition, all of the data contained in FTTS is not transferred to NCDB. For example, selected data such as dates and comments are not included in the monthly update to NCDB. NCDB is scheduled as EPA 0420.

Specific legal citations include, but are not limited to:

- Federal Insecticide, Fungicide and Rodenticide Act (FIFRA), as amended, Sec. 2, 7 U.S.C. Sec. 136 et seq.
- Toxic Substances Control Act (TSCA), as amended, Sec. 2, 15 U.S.C. Sec. 2601 et seq.
- Emergency Planning and Community Right-to-Know Act (EPCRA), Sec. 13, 42 U.S.C. Sec. 11001 et seq.

Reasons for Disposition:

The following changes were made in the 04/30/2008 version:

- Revised the disposition instructions for items a, b and e.
- Revised title of disposition item e.

Initially this system was submitted as part of EPA 0267 - FIFRA/TSCA Tracking System/National Compliance Data Base (FTTS/NCDB). During the appraisal review held on August 8, 2000, it was determined that the two systems should be scheduled separately, with the data for FTTS as disposable. The retention meets program needs.

Custodians:

Multiple units

Related Schedules:

EPA 0420, EPA 1012

Previous NARA Disposal Authority:

Entry: 10/10/2000

EPA Approval: 11/26/2002

NARA Approval: 03/04/2004

EPA Records Schedule 0432

Status: Final, 11/30/2019

Title: Underground Injection Control Program Summary System (UIC PSS)

Program: Water

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- DAA-0412-2016-0001

Description:

Contains summary reports of individual injection well activities conducted by Underground Injection Control (UIC) primacy programs. The summary information is used by EPA for the monitoring and enforcement of the UIC portion of the Safe Drinking Water Act (SDWA). EPA's monitoring and enforcement are primarily achieved through initial, bi-annual, and annual reporting requirements. EPA uses a set of standardized forms, EPA form 7520-1 through 7520-4 (7520 forms) to collect and maintain UIC information.

The following procedures for records workflow and custodianship are documented in "Underground Injection Control: Procedures for 7520 Reporting," available from the Office of Ground Water and Drinking Water.

- States with primary enforcement authority (primacy) submit 7520 forms and annual well inventory by e-reporting via the UIC National Database or in paper or by scan to EPA Regions. Regions maintain the 7520 forms by primacy state agency.
- Regions with direct primacy responsibilities submit 7520 forms by e-reporting via the UIC National Database or in paper or by scan to EPA Headquarters (HQ).
- The 7520 forms summarize activities conducted by all UIC programs. The annual well inventory counts the number of wells by well class as of September 30 of each fiscal year.
- HQ maintains e-reported well specific information in an oracle database called the UIC National Database, covered by EPA 0754.
- Regions submit scanned copies of state paper forms to HQ which maintains them as the National 7520 Compilation.
- HQ also maintains the summary information from the scanned 7520 forms and the e-reported data on a PC-based system called the UIC Program Summary System (UIC PSS).

The 7520 forms summaries represent the minimum information necessary to achieve the Agency's goals and satisfy regulatory requirements (e.g., permits, compliance and enforcement, inspection and mechanical integrity testing). Annual inventory is submitted separately and maintained in HQ.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

NARA Disposal Authority: DAA-0412-2016-0001-0001

- **Disposable**
- Close when end of fiscal year occurs and when no longer needed for current Agency business.
- Delete 5 years after file closure.

Item d: (Reserved)

Item e: (Reserved)

Item f: EPA Forms 7520-1 through 7520-4 (7520 forms)

Includes paper and scanned 7520 forms maintained by Regions or HQ; the National 7520 Compilation which consists of scanned 7520 forms and 7520 reports generated from e-reported data; the UIC annual well inventory; and internal data analyses.

NARA Disposal Authority: Pending

- **Disposable**
- Close when end of fiscal year occurs and when no longer needed for current Agency business.
- Destroy 5 years after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Some confidential business information (CBI) restrictions apply to access of individual Class I hazardous waste injection well information maintained at the state and regional levels.

A similar system for Region 4 is scheduled as EPA 0234. Information from the regional system is extracted and sent by mail to headquarters.

Due to a reorganization, some duplicated enforcement data is also sent to the Office of Enforcement and Compliance Assurance.

Electronic software program - The electronic software program, formerly item a, is covered by EPA 1012, item e. The electronic software program is to be kept as long as needed to ensure access to, and use of, the UIC PSS electronic data throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct agency business and meet NARA-approved disposition.

Input - Input, formerly item b, is covered by EPA 1012, item e. Input to the UIC PSS consists of duplicate, scanned copies of forms 7520 used for data entry, spreadsheets used to import data during an update process, and electronic data exported from the UIC National Database.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule item applies, follow the disposition instructions with the later dates.

System documentation - Supporting documentation, formerly item e, is covered by EPA 1012, item e, for system documentation, and includes software source code, data systems specifications, file specifications, code translations, record layouts, user guides, and output specifications.

Information requests - Requests for information submitted from inside EPA, and responses to those requests, are considered internal data analyses, covered by item f for 7520 forms. Requests for information submitted from outside EPA under the Freedom of Information Act (FOIA), and responses to those requests, are covered by EPA 1049.

Reasons for Disposition:

The following change was made in the 11/30/2019 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following change was made in the 07/31/2018 version:

- Updated contact information.

The following changes were made in the 07/31/2016 version:

- Moved from draft status to final.
- Added NARA approval date.

The following changes were made in the 04/30/2016 version.

- Moved from development status to draft.
- Added NARA disposal authority number.
- Added EPA approval date.

The following changes were made in the 03/31/2016 version:

- Deleted item a - Electronic software program, which is covered by EPA 1012, item e.
- Deleted item b - Input, which is covered by EPA 1012, item e.
- Updated disposition instructions for item c - Electronic data.
- Deleted item d - Output and reports, which is covered by other schedules as explained in the Guidance.
- Deleted item e - Supporting documentation, which is covered by EPA 1012, item e.
- Added item f - EPA Forms 7520-1 through 7520-4 (7520 forms).
- Updated Description to clarify records covered by this schedule.
- Updated Guidance for records covered by related records schedules.
- Updated Custodians contact information.

The purpose of the UIC program is to establish a federal-state regulatory system to ensure that actual or potential sources of drinking water are not endangered by the underground injection of contaminants. EPA information users include regional and headquarters staff who make decisions to:

- justify budget request/program plans;
- make fair resource allocation/grant allotments;
- satisfy public and other group requests;
- assess program progress and implementation;
- identify environmental success against litigation;
- plan the budget; track and evaluate regional performance;
- identify research needs and respond to inquiries from the Office of Management and Budget, Congress, Government Accountability Office, and the public.

Primary enforcement agencies in states use the information to target inspection and enforcement activity; to establish permit terms and conditions; to track performance against demands; identify violations; assess their significance; and evaluate their own program activities.

Custodians:

Office of Water, Office of Ground Water and Drinking Water, Drinking Water Protection Division

- **Contact:** William Bates
- **Telephone:** 202-564-6165

Related Schedules:

EPA 0089, EPA 0234, EPA 0754, EPA 1012, EPA 1049

Previous NARA Disposal Authority:

N1-412-95-4/4

Entry: 01/11/1993

EPA Approval: 04/18/2016

NARA Approval: 06/27/2016

EPA Records Schedule 0434

Status: Final, 11/30/2019

Title: Additives Files

Program: Water

Applicability: Headquarters

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-07-58/8

Description:

Files include documentation relating to the additives products files which are the administrative and evidentiary record of EPA approval of products used in the production of potable water. Also includes collections of relevant technical papers and other information.

Disposition Instructions:

Item a: Record copy

NARA Disposal Authority: N1-412-07-58/8a

- **Disposable**
- Close when program is completed or discontinued.
- Destroy when 25 years old.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an

Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

The Additive Information System (AIS) is covered in EPA 0088.

Program discontinued in 1989. Records for period May 1981 through February 1982 retired as accession 412-92-0072.

Reasons for Disposition:

The following change was made in the 11/30/2019 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following change was made in the 12/31/2013 version:

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

Custodians:

Office of Water, Office of Ground Water and Drinking Water, Standards and Risk Management Division, Targeting and Analysis Branch

- **Contact:** Jitendra Saxena, Ph.D.
- **Telephone:** 202-564-5243

Related Schedules:

EPA 0088

Previous NARA Disposal Authority:

NC1-412-85-6/55

Entry: 12/21/1992

EPA Approval: 06/20/2007

NARA Approval: 08/07/2008

EPA Records Schedule 0436

Status: Final, 12/31/2013

Title: National Contaminant Occurrence Database (NCOD)

Program: Water

Applicability: Headquarters

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-08-2

Description:

The National Contaminant Occurrence Database (NCOD) includes data used to identify contaminants on the Candidates Contaminant List (CCL). The data is used to determine whether to develop drinking water standards for a particular contaminant and to develop standards for the contaminants that the Agency selects. The information comes from a number of sources, including public water systems and source (ambient) water data. For public systems, the database holds historical data on regulated and unregulated contaminants. The data is available to the public.

The Safe Drinking Water Accession and Review System (SDWARS) serves as the input to NCOD, and is scheduled as EPA 0253.

Disposition Instructions:

Item a: Electronic software program

The Office of Water, Office of Ground Water and Drinking Water at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-08-2a

- **Disposable**
- Close when no longer needed to ensure access to and use of the electronic records throughout the authorized retention period.
- Delete after file closure.

Item b: Input

NARA Disposal Authority: N1-412-08-2b

- **Disposable**
- Close when information has been transferred and verified.
- Delete after file closure.

Item c: Electronic data

The Office of Water, Office of Ground Water and Drinking Water at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-08-2c

- **Disposable**
- Beginning in 2007, close when each 5 year cycle is concluded.
- Delete 5 years after file closure.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: System documentation

The Office of Water, Office of Ground Water and Drinking Water at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

See EPA 0253 for SDWARS. Records related to the development of regulations, standards, and guidelines and dockets are covered by schedule 1023.

Legal citations include, but are not limited to:

- Safe Drinking Water Act, as amended, Section 1445(a)(2)
- 40 CFR 141.24-141.40

Reasons for Disposition:

The following changes were made in the 05/31/2008 version:

- Revised wording about applicability for disposition items a, c and e.
- Deleted file closure instructions and revised wording of disposition instructions for item e.

The following changes were made in the 03/31/2008 version:

- Added file closure instructions and revised disposition instructions for items a, b and e.

The Safe Drinking Water Act requires the collection of this data. NCOD is a subset of the Safe Drinking Water Accession and Review System (SDWARS), scheduled as EPA 253. Retention meets EPA's business needs.

Item f for electronic copies created with word processing and electronic mail applications was deleted 08/14/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Water, Office of Ground Water and Drinking Water

- **Contact:** Roger Howard
- **Telephone:** 202-564-9907

Related Schedules:

EPA 0253, EPA 1012, EPA 1023

Previous NARA Disposal Authority:

None

Entry: 04/24/2006

EPA Approval: 09/13/2007

NARA Approval: 07/30/2008

EPA Records Schedule 0443

Status: Final, 12/31/2013

Title: Hazardous Waste Injection Well Database

Program: Water

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-95-4/5

Description:

The Hazardous Waste Injection Well Database is a PC-based inventory of Class I wells as defined by the Safe Drinking Water Act. The system stores information obtained during a special study to collect information for the 1985 Report to Congress on Injection of Hazardous Wastes. It also provides information on alternative treatment capacity analysis in addition to scheduling which wells are affected by the Resource Conservation and Recovery Act (RCRA).

The database includes the following data: facility or well owner/operator, identification and well class codes, chemical information concerning the injectate, well construction information, hydrogeological information about the area where injection occurs, waste information, RCRA codes and volumes.

The database consists of well records of active, inactive, and abandoned Class I wells and some limited information on Class I nonhazardous and Class IV wells. Since the completion of the study, few states have elected to update their information, therefore the major portion of records are only up-to-date as of 1987.

Disposition Instructions:

Item a: Electronic software program

NARA Disposal Authority: N1-412-95-4/5a

- **Disposable**
- Delete when superseded by routine software updates or when no longer needed.

Item b: Input

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Item c: Electronic data

NARA Disposal Authority: N1-412-95-4/5c

- **Disposable**
- Maintain individual records 10 years after closure, then delete.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: Supporting documentation

NARA Disposal Authority: N1-412-95-4/5e

- **Disposable**
- Keep inactive materials in office up to 2 years after closure, then retire to FRC. Destroy when 15 years old.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Reports to Congress are covered by schedule 1020.

Reasons for Disposition:

Records support program rulemaking activities and operations required by statute and regulation. The disposition meets program and administrative needs.

Custodians:

Office of Water, Office Ground Water and Drinking Water

- **Contact:** Robert E. Smith
- **Telephone:** 202-260-5559

Related Schedules:

EPA 1012, EPA 1020

Previous NARA Disposal Authority:

Entry: 01/07/1993

EPA Approval: 07/14/1997

NARA Approval: 06/12/1998

EPA Records Schedule 0444

Status: Final, 12/31/2013

Title: Industrial Facilities Discharge (IFD) File

Program: Water

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-95-4/6

Description:

The Industrial Facilities Discharge (IFD) File is a database of industrial point source dischargers to surface waters in the United States. There are three basic kinds of information:

- Facility - Includes site identification codes and summary effluent discharge.
- Discharge - Includes the components of individual discharges, including location, flow, and Standard Industrial Code (SIC). Nearly half of the direct dischargers tracked are POTWs (publicly-owned treatment works). Also includes indirect dischargers - industrial flows from industries that discharge to other facilities, such as POTWs, rather than directly to surface waters.
- Superfund sites on the National Priority List - Includes location name, State and county codes, latitude/longitude coordinates, Reach number, and the mileage offset within the reach.

Information is derived from several sources including the Permit Compliance System (PCS), the Needs Survey database, and EPA regional offices, states and local agencies. The File can be used for regulatory impact analyses, best available technology studies, regulation development, and special projects. It can be linked to other databases such as PCS and STORET as well as outside databases such as CETIS (Complex Effluent Toxicity Information System).

Disposition Instructions:

Item a: Electronic software program

NARA Disposal Authority: N1-412-95-4/6a

- **Disposable**
- Delete when superseded by routine software updates and quality assurance check completed or when no longer needed.

Item b: Input

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Item c: Electronic data

NARA Disposal Authority: N1-412-95-4/6c

- **Disposable**
- Delete when superseded or no longer needed.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: Supporting documentation

NARA Disposal Authority: N1-412-95-4/6e

- **Disposable**
- Maintain most current version and destroy when system is discontinued.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

See EPA 0405 for the Needs Survey. The Storage and Retrieval Water Quality Data Base (STORET) is covered in EPA 0400 and The Waterbody System (WBS) in EPA 0446.

Reasons for Disposition:

Records support operations of Office of Wetlands, Oceans and Watersheds as required by statute and regulation. Database consists of data extracted from other EPA databases already scheduled for permanent retention. It is a subset of the Permit Compliance System (PCS) for industrial permittees only with some publicly available information added.

Custodians:

Office of Water, Office of Wetlands, Oceans, and Watersheds, Assessment and Watershed Protection Division

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

Related Schedules:

EPA 0400, EPA 0405, EPA 0446, EPA 1012

Previous NARA Disposal Authority:

Entry: 01/08/1993

EPA Approval: 07/14/1995

NARA Approval: 06/12/1998

EPA Records Schedule 0446

Status: Final, 12/31/2013

Title: The Waterbody System (WBS)

Program: Water

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-95-4/8

Description:

The Waterbody System (WBS) is a database of state water quality assessment information collected to meet the Agency's Congressional reporting requirements under Section 305(b) of the Clean Water Act. States submit information to EPA on several types of surface waters affected by point or nonpoint source pollution, lakes monitored under the Clean Lakes Program, and surface waters requiring the assigning of total maximum daily loads limits to restore or maintain their water quality.

Information entered into WBS includes: waterbody identification, water quality status, sources of impairment, assessment information, and causes of impairment. States, territories, and interstate commissions assemble available monitoring information and make judgments on water quality before summary information can be entered into the system. Information is submitted to EPA every two years. WBS stores the components and the results of the assessment, and is not designed to store, manipulate, or analyze raw monitoring data.

The WBS is linked to STORET. The NPDES number also links facilities reported in WBS to Industrial Facilities Discharge (IFD) system.

Disposition Instructions:

Item a: Electronic software program

NARA Disposal Authority: N1-412-95-4/8a

- **Disposable**
- Delete when superseded by routine software updates and quality assurance check completed or when no longer needed.

Item b: Input

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Item c: Electronic data

NARA Disposal Authority: N1-412-95-4/8c

- **Disposable**
- Delete when superseded or no longer needed.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: Supporting documentation

NARA Disposal Authority: N1-412-95-4/8e

- **Disposable**
- Maintain most current version and destroy when system is discontinued.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Other related series include:

- EPA 0400 - Storage and Retrieval Water Quality Data Base (STORET)
- EPA 0444 - Industrial Facilities Discharge (IFD) File

Reasons for Disposition:

Records support operations required by statute and regulation. Disposition meets administrative and program needs. This is an automated version of the information in EPA 0429 - State 305(b) Water Quality Reports, which is disposable. Long-term responsibility for the data should lie with the submitting state.

Custodians:

Region 5, Water Division, Ground Water and Drinking Water Branch

- **Contact:** Cary McElhinney
- **Telephone:** 312-886-4313

Related Schedules:

EPA 0400, EPA 0444, EPA 1012

Previous NARA Disposal Authority:

Entry: 01/08/1993

EPA Approval: 12/19/1996

NARA Approval: 06/12/1998

EPA Records Schedule 0447

Status: Final, 12/31/2013

Title: Environmental Monitoring and Assessment Program Information Management System (EMAP IMS)

Program: Research and Development

Applicability: National Health and Environmental Effects Research Laboratory (NHEERL)

Function: 316 - Applied Research and Science Support

NARA Disposal Authority:

- N1-412-96-1/14

Description:

The EMAP IMS is a scientific system developed and implemented to support collection, analysis, documentation, and dissemination of environmental and ecosystem monitoring and assessment information. System components include a distributed databases, a database housing spatial information, documented EMAP data sets and EMAP documents. The system has been active since 1992. Since 1994 the system has been available through the EMAP Web site.

Disposition Instructions:

Item a: Electronic software program

This item is to be used only by the Office of Research and Development, Environmental Effects Research Laboratory, Atlantic Ecology Division.

NARA Disposal Authority: N1-412-96-1/14a

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

Item b: Input

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Item c: Electronic data

This item is to be used only by the Office of Research and Development, Environmental Effects Research Laboratory, Atlantic Ecology Division.

NARA Disposal Authority: N1-412-96-1/14c

- **Permanent**
- Transfer data every 2 years to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: System documentation

This item is to be used only by the Office of Research and Development, Environmental Effects Research Laboratory, Atlantic Ecology Division.

NARA Disposal Authority: N1-412-96-1/14e

- **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 with the electronic data (item c).

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

From 1990 to 1992 various labs were collecting data. In 1992, the system was created for centralized collection. The system redesign was completed in 1996. Data continues to be collected. Very little data was collected in FY 1996 and a substantial amount of data was collected for FY 1997. Access is through the EPA Web site.

Reasons for Disposition:

The following changes were made in the 04/30/2008 version:

- Revised disposition instructions for items a and b.
- Added applicability to disposition items a, c and e.
- Revised title of disposition item e.

This system is used to support EMAP scientific activities that target ecological risk assessment.

Custodians:

Office of Research and Development, Environmental Effects Research Laboratory, Atlantic Ecology Division

- **Contact:** Michael E. McDonald, Ph.D.
- **Telephone:** 919-541-7973

Related Schedules:

EPA 1012

Previous NARA Disposal Authority:

Entry: 09/30/1996

EPA Approval: 12/19/1996

NARA Approval: 01/20/1999

EPA Records Schedule 0467

Status: Final, 12/31/2013

Title: Office of Research and Development Management Information System (OMIS)

Program: Research and Development

Applicability: Agency-wide

Function: 316 - Applied Research and Science Support

NARA Disposal Authority:

- N1-412-06-21

Description:

The Office of Research and Development (ORD) Management Information System (OMIS) was created to provide a comprehensive automated system to assist ORD managers and staff with financial management, project tracking, human resources management, and laboratory implementation plan decisions. It allows for uniform reporting across all organizational units, reduces the number of ORD-wide calls for similar types of data, and provides a single repository of information that serves as the basis for decision making.

The system currently has four interrelated modules: Integrated Resources Management System (IRMS); Human Resources Management System (HRS); Procurement and Acquisition of Capital Equipment (PACE); and Facilities Management System (FMP).

The modules link as follows: IRMS links to the Integrated Financial Management System (IFMS); HRS links to the PeoplePlus system. All of the above links included in this schedule are or will be scheduled separately. End user access is through the EPA Internet.

Disposition Instructions:

Item a: Electronic software programs

This item is to be used only by the Office of Research and Development, Office of Science Information Management.

NARA Disposal Authority: N1-412-06-21a

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

Item b: Input

NARA Disposal Authority: DAA-0412-2013-0009

- **Varies**
- Follow instructions for schedule 1012.

Item c: Electronic data

This item is to be used only by the Office of Research and Development, Office of Science Information Management.

NARA Disposal Authority: N1-412-06-21c

- **Disposable**
- Maintain individual records for 7 years after completion of action, then delete.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: System documentation

This item is to be used only by the Office of Research and Development, Office of Science Information Management.

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements

of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

The PeoplePlus system is scheduled as EPA 0300. The Management Accounting Reporting System (MARS) is part of the Integrated Financial Management System (IFMS) which is scheduled as EPA 0054.

Reasons for Disposition:

The following change was made in the 01/31/2013 version:

- Updated contact information.

The following changes were made in the 04/30/2011 version:

- Revised applicability in disposition items a, c and e and custodian information.

The following changes were made in the 04/30/2008 version:

- Revised disposition instructions for items a, b and e.
- Added applicability to disposition items a, c and e.
- Revised title of disposition item e.

This system is used to improve the process of planning, developing, and tracking performance in response to the Government Performance and Results Act (GPRA) requirements. IRMS ensures that ORD's annual budget is linked to ORD programmatic plans and to reconcile the budget with IFMS. HRS is designed to assist senior managers to manage their resources. PACE is designed to manage the scientific equipment program from needs review to purchase approval. FMP is designed to assist senior management in the planning, coordination, and oversight of all buildings and facilities at ORD locations. Retention meets administrative and program needs.

Custodians:

Office of Research and Development, Office of Science Information Management

- **Contact:** Carla Adkins
- **Telephone:** 513-569-7759

Related Schedules:

EPA 0054, EPA 0300, EPA 1012

Previous NARA Disposal Authority:

None

Entry: 06/02/2000

EPA Approval: 03/09/2006

NARA Approval: 06/23/2006

EPA Records Schedule 0468

Status: Final, 12/31/2013

Title: Integrated Risk Information System (IRIS)

Program: Research and Development

Applicability: Agency-wide

Function: 316 - Applied Research and Science Support

NARA Disposal Authority:

- N1-412-01-1/2

Description:

The Integrated Risk Information System (IRIS) database contains summary toxicity information for use in human health risk assessment. IRIS is the Agency's primary vehicle for communication of chronic health hazard information representing EPA consensus positions following comprehensive review by Agency scientists. It is a useful information resource tool that points the user to the underlying human and/or animal data used to support the Agency's opinion. The system contains hazard identification and dose-response risk information for more than 500 chemicals.

IRIS is comprised of three major sections: non-cancer health effects resulting from oral exposure, non-cancer health effects resulting from inhalation exposure, and carcinogenic assessment for both oral and inhalation exposure. It contains full bibliographic citations for each substance file, directing the user to the primary cited studies and pertinent scientific literature. IRIS is accessible to the public as well as EPA staff.

Disposition Instructions:

Item a: Electronic software program

This item is to be used only by the Office of Research and Development, National Center for Environmental Assessment at Headquarters.

NARA Disposal Authority: N1-412-01-1/2a

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

Item b: Input

NARA Disposal Authority: DAA-412-2013-0021

- **Varies**
- See IRIS Documentation Files covered by schedule 1035.

Item c: Electronic data

This item is to be used only by the Office of Research and Development, National Center for Environmental Assessment at Headquarters.

NARA Disposal Authority: N1-412-01-1/2c

- **Permanent**
- Transfer data annually to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: System documentation

This item is to be used only by the Office of Research and Development, National Center for Environmental Assessment at Headquarters.

NARA Disposal Authority: N1-412-01/1/2e

- **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 with the electronic data (item c).

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012,

Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

IRIS documentation files are scheduled as EPA 0460.

Reasons for Disposition:

The following change was made in the 06/30/2008 version:

- Updated contact information.

The following changes were made in the 04/30/2008 version:

- Revised the disposition instructions for item a.
- Added applicability to disposition items a, c and e.
- Revised title of disposition item e.

IRIS was developed in response to a growing demand for consistent chemical substance risk information, representing EPA consensus opinions, for use in decision making and regulatory activities. It is intended to serve as a pointer system to more detailed data contained in supporting scientific studies. IRIS is available electronically on EPA's Web server, and updated as needed.

Custodians:

Office of Research and Development, National Center for Environmental Assessment

- **Contact:** Brenda E. Washington
- **Telephone:** 703-347-8581

Related Schedules:

EPA 1035

Previous NARA Disposal Authority:

Entry: 03/01/1993

EPA Approval: 10/25/2000

NARA Approval: 10/20/2001

EPA Records Schedule 0471

Status: Final, 12/31/2013

Title: Pesticide and Industrial Chemical Risk Analysis and Hazard Assessment (PIRANHA)

Program: Research and Development Laboratories

Applicability: National Exposure Research Laboratory (NERL)

Function: 316 - Applied Research and Science Support

NARA Disposal Authority:

- N1-412-96-1/20

Description:

The Pesticide and Industrial Chemical Risk Analysis and Hazard Assessment (PIRANHA) system is a tool kit for conducting ecological risk assessments of synthetic organic chemicals. It includes databases of agricultural practices, biographical distribution of species at risk, meteorology and soils, and ecosystem factors controlling mobility and persistence of pesticides and industrial chemicals in the natural environment. The system incorporates a geographic information system database for regional site properties, and linked simulation models for chemical data needed for biological and ecological risk assessments.

Disposition Instructions:

Item a: Electronic software program

This item is to be used only by the Office of Research and Development, National Exposure Research Laboratory, Ecosystems Research Division.

NARA Disposal Authority: N1-412-96-1/20a

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

Item b: Input

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Item c: Electronic data

This item is to be used only by the Office of Research and Development, National Exposure Research Laboratory, Ecosystems Research Division.

NARA Disposal Authority: N1-412-96-1/20c

- **Disposable**
- Maintain individual records for at least 2 years, then delete when no longer needed.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: System documentation

This item is to be used only by the Office of Research and Development, National Exposure Research Laboratory, Ecosystems Research Division.

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

System users should be sure to document results of analyses completely. Complete documentation may require results, input data used, search parameters, software used, or similar information to ensure a complete record is maintained.

Reasons for Disposition:

The following changes were made in the 04/30/2008 version:

- Revised disposition instructions for items a, b and e.
- Added applicability to disposition items a, c and e.
- Revised title of disposition item e.

System documentation must be kept to support litigation and mission-critical decisions.

Custodians:

Office of Research and Development, Ecosystems Research Division

- **Contact:** Lawrence Burns
- **Telephone:** 706-355-8119

Related Schedules:

EPA 1012

Previous NARA Disposal Authority:

Entry: 03/01/1993

EPA Approval: 12/19/1996

NARA Approval: 01/20/1999

EPA Records Schedule 0485

Status: Final, 03/31/2017

Title: Vehicles and Engines Compliance Information System (EV-CIS)

Program: Air

Applicability: National Vehicle and Fuel Emissions Laboratory (NVFEL)

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-09-17

Description:

The Vehicles and Engines Compliance Information System (EV-CIS) collects emissions and fuel economy compliance information for a variety of engines, vehicles and equipment used in transportation and other mobile source applications. EV-CIS collects this information for EPA from manufacturers and importers. Manufacturers submit information to EPA, pay fees, and receive certificates of conformity. The information is used by EPA for compliance and enforcement activities.

The Engine and Vehicle Exemptions System (EV-ES), which is a subsystem of EV-CIS, is used to collect and maintain the information required to determine if an exemption should be granted and to identify the individual or organization that is the grantee of the exemption. The information that is collected and maintained by the system includes contact, description of the vehicles or engines being exempted (VIN, serial number, make, model), and the type of exemption requested. The requests are in PDF format and uploaded into EV-ES.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

The Office of Air and Radiation, Office of Transportation and Air Quality, Compliance Division is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-17c

- **Permanent**

- Close at end of the model or calendar year, whichever is appropriate.
- Transfer a snapshot of the data to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time, 7 years after the file closure.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Records containing copies of the certification and analyses are covered by Certification Records in schedule 1035.

To assure the protection of confidential business information (CBI) after transfer to the Center for Electronic Records, the transferring EPA office should prepare a memo setting out the statutory restrictions associated with the data. The Archivist and employees of NARA are subject to the same restrictions.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition.

Input - Input, formerly item b, is covered by schedule 1012 item e.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for

the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item e, refers to those records necessary to document how the system captures, manipulates and outputs data. System documentation is transferred to the National Archives along with the electronic data. Disposition of system documentation is covered by schedule 1012 item a.

Reasons for Disposition:

The following changes were made in the 03/31/2017 version:

- Revised description.
- Revised file closure instructions for item c.
- Updated contact information.

The following changes were made in the 02/28/2015 version:

- Deleted items a, b, d and e which are covered by other schedules.
- Updated guidance and contact information.

The following changes were made in the 10/31/2010 version:

- Revised schedule title and description.
- Revised disposition instructions for item c to include 7 year transfer after file closure.
- Updated guidance and contact information.

The following changes were made in the 07/31/2008 version:

- Revised schedule title and description.
- Updated guidance and reasons for disposition.

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

- Revised the description.
- Updated contact information.

The following changes were made in the 04/30/2008 version:

- Revised disposition instructions for items a and b.
- Added applicability to disposition items a, c and e.
- Revised title of disposition item e.

The predecessor system, CFEIS, was previously approved as permanent (N1-412-02-8).

Custodians:

Office of Air and Radiation, Office of Transportation and Air Quality, Compliance Division

- **Contact:** Robert Peavyhouse
- **Telephone:** 734-214-4814

Office of Air and Radiation, Office of Transportation and Air Quality, Compliance Division

- **Contact:** Sandra Somoza
- **Telephone:** 202-564-7119

Related Schedules:

EPA 1012, EPA 1035

Previous NARA Disposal Authority:

NC1-412-81-8/5, N1-412-02-8

Entry: 02/02/2000

EPA Approval: 09/01/2009

NARA Approval: 11/30/2010

EPA Records Schedule 0493

Status: Final, 12/31/2013

Title: Ann Arbor In-Use Test Data System (IUTD)

Program: Air

Applicability: National Vehicle and Fuel Emissions Laboratory (NVFEL)

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-99-5

Description:

The In-Use-Test Data System (IUTD) consists of the emission measurements obtained from autos and trucks owned and operated by the motoring public. This database is the source of information used to develop the mobile source emission factors model (MOBILE5 and successors), inspection and maintenance (I/M) effectiveness estimates, and anti-tampering credits. Most of the data is collected through the Emission Factor Program (EFP) which has been conducted annually since the early 1970s.

Disposition Instructions:

Item a: Electronic software program

This item is to be used only by the Office of Air and Radiation, National Vehicle and Fuel Emissions Laboratory, Assessment and Modeling Division.

NARA Disposal Authority: N1-412-99-5a

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

Item b: Input

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Item c: Electronic data

This item is to be used only by the Office of Air and Radiation, National Vehicle and Fuel Emissions Laboratory, Assessment and Modeling Division.

NARA Disposal Authority: N1-412-99-5c

- **Disposable**
- Maintain individual records at least 2 years after completion of action, then delete when no longer needed.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: System documentation

This item is to be used only by the Office of Air and Radiation, National Vehicle and Fuel Emissions Laboratory, Assessment and Modeling Division.

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Emission Factors Program (EFP) Test Records are covered by schedule 1035.

Reasons for Disposition:

The following changes were made in the 04/30/2008 version:

- Revised disposition instructions for items a, b and e.
- Added applicability to disposition items a, c and e.
- Revised title of disposition item e.

Records support program operations required by statute and regulations.

Custodians:

Office of Air and Radiation, National, Vehicle and Fuel Emissions Laboratory, Assessment and Modeling Division

- **Contact:** Carl Scarbro
- **Telephone:** 734-214-4209

Related Schedules:

EPA 1012, EPA 1035

Previous NARA Disposal Authority:

Entry: 06/05/1993

EPA Approval: 09/24/1998

NARA Approval: 06/14/2000

EPA Records Schedule 0494

Status: Final, 12/31/2013

Title: Trends Report (TRRP)

Program: Air

Applicability: Agency-wide, with exceptions

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-99-6

Description:

The Trends Report (TRRP) system provides standard national reports used to prepare the annual "National Air Quality and Trends Report." The system is also used to set new air quality standards, and determine impacts of new standards and other air regulations. It uses standard Air Quality System (AQS) data retrieval programs to acquire AQS data on NAMS (national air monitoring station) and SLAMS (state/local air monitoring station) siting, air quality concentrations, and 50 to 100 small statistical packages (SAS) programs to perform ad hoc statistical analyses.

Disposition Instructions:

Item a: Electronic software program

To be used only by the Office of Air and Radiation, Office of Air Quality Planning and Standards, Air Quality Assessment Division.

NARA Disposal Authority: N1-412-99-6a

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

Item b: Input

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Item c: Electronic data

To be used only by the Office of Air and Radiation, Office of Air Quality Planning and Standards, Air Quality Assessment Division.

NARA Disposal Authority: N1-412-99-6c

- **Disposable**
- Destroy 1 year after data is superseded.

Item d: Output and reports

NARA Disposal Authority: Varies

- **Varies**
- Close when Trends Report sent to NTIS for distribution.
- File with related records and follow instructions for related records.

Item e: System documentation

To be used only by the Office of Air and Radiation, Office of Air Quality Planning and Standards, Air Quality Assessment Division.

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

The Trends Report is retained according to the disposition instructions for schedule 1022 for publications and promotional items.

AQS is scheduled as EPA 0496.

Reasons for Disposition:

The following changes were made in the 04/30/2008 version:

- Revised disposition instructions for items a and e.
- Revised title of disposition item e.

This system supports various reporting functions for the Air program and is used to produce the Agency's "National Air Quality and Emissions Trends Report." It is also used for trend assessments and development of regulations and standards.

Custodians:

Office of Air and Radiation, Office of Air Quality Planning and Standards, Air Quality Assessment Division

- **Contact:** David Mintz
- **Telephone:** 919-541-5224

Related Schedules:

EPA 0496, EPA 1012, EPA 1022

Previous NARA Disposal Authority:

Entry: 06/05/1993

EPA Approval: 09/24/1998

NARA Approval: 04/27/2000

EPA Records Schedule 0495

Status: Final, 12/31/2021

Title: RadNet

Program: Radiation

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-99-7

Description:

RadNet, formerly known as the Environmental Radiation Ambient Monitoring System (ERAMS), is a national system of monitoring stations that regularly collect air, precipitation, and drinking water to track radiation in the environment. Over time, RadNet sample testing and monitoring results show the fluctuations in normal background levels of environmental radiation. The RadNet system will also detect higher than normal background levels of environmental radiation and higher than normal radiation levels during a radiological incident.

RadNet has more than 135 stationary air monitors located across all 50 states. RadNet also has 40 deployable air monitors that can be sent anywhere in the United States if needed. RadNet stationary monitors run 24 hours a day, 7 days a week, and send near-real-time measurements of gamma radiation to EPA's National Analytical Radiation Environmental Laboratory (NAREL). Computers continuously review these data. If there is a meaningful increase in radiation levels, laboratory staff are alerted and then investigate the cause.

RadNet data are available in databases and reports. EPA releases analytical and monitoring results after checking to ensure they meet quality standards. Envirofacts RadNet Database contains laboratory analysis results from air monitor filters and samples of precipitation and drinking water. Historical RadNet milk sampling data is available in the Envirofacts RadNet database as well. This database includes both the current and historical data needed to estimate long-term trends in environmental radiation levels. The RadNet Database in EPA's Central Data Exchange (CDX) contains the near-real-time environmental data from fixed and deployable air monitors. Environmental Radiation Data (ERD) is an electronic (and formerly print) journal published quarterly by NAREL in Montgomery, Alabama. It contains data from RadNet and its predecessor systems.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

This item is to be used only by the Office of Air and Radiation, National Analytical Radiation Environmental Laboratory.

NARA Disposal Authority: N1-412-99-7c

- **Permanent**
- Transfer data annually to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in electronic format only, and is not media neutral. The format of permanent records is specified in a records schedule approved by NARA, and the electronic records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. The electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site.

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition, and is covered by schedule 1012, item c.

Input - Input, formerly item b, is covered by schedule 1012, item e.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for

the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item e, refers to those records necessary to document how the system captures, manipulates, and outputs data. System documentation is transferred to the National Archives along with the electronic data. Disposition of system documentation is covered by schedule 1012, item a.

Related records schedules - Published data from this system is covered by schedule 1022, item a. Envirofacts is covered by schedule 0098 and CDX is covered by schedule 0097.

Reasons for Disposition:

The following changes were made in the 12/31/2021 version:

- Updated contact information.
- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following changes were made in the 02/28/2017 version:

- Revised description.
- Deleted items a, b, d and e since they are covered by other schedules.
- Revised name of Laboratory in item c.
- Updated guidance and custodian.

The following change was made in the 08/31/2010 version:

- Added calibration data to disposition item e.

The following changes were made in the 04/30/2008 version:

- Added applicability to disposition items a, c and e.
- Revised title of disposition item e.

This system supports program operations required by statute and regulations. It is also used for trend and risk assessment. The paper output records were previously approved by the National Archives as permanent.

Custodians:

Office of Air and Radiation, National Analytical Radiation Environmental Laboratory

- **Contact:** Velinda Herbert
- **Telephone:** 334-270-3441

Related Schedules:

EPA 0097, EPA 0098, EPA 1012, EPA 1022

Previous NARA Disposal Authority:

Entry: 06/05/1993

EPA Approval: 09/24/1998

NARA Approval: 12/03/1999

EPA Records Schedule 0496

Status: Final, 07/31/2022

Title: Air Quality System (AQS)

Program: Air

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-08-12

Description:

The Air Quality System (AQS) serves as the national repository for ambient air quality measurements and descriptive information about the locations where the ambient air quality data are collected. The data, which is collected by state, local and tribal agencies, is periodically uploaded into AQS. It is used to track progress in implementing the national air pollution control program. For example, EPA uses the data to determine non-attainment areas for pollutants that have national ambient air quality standards (NAAQS) for trends analysis, modeling, providing the public with information about the cleanliness of the air in various areas, and for various air quality reports for Congress and others.

Users submit data via the EPA Central Data Exchange (CDX), on an as-needed basis, and the data is transferred from AQS to the Envirofacts information warehouse.

Disposition Instructions:

Item a: Electronic software program

This item is to be used only by the Office of Air and Radiation, National Air Data Group, Outreach and Information Division.

NARA Disposal Authority: N1-412-08-12a

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

Item b: Input

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Item c: Electronic data

This item is to be used only by the Office of Air and Radiation, National Air Data Group, Outreach and Information Division.

NARA Disposal Authority: N1-412-08-12c

- **Permanent**
- Transfer data annually to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: System documentation

This item is to be used only by the Office of Air and Radiation, National Air Data Group, Outreach and Information Division.

NARA Disposal Authority: N1-412-08-12e

- **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 with the electronic data (item c).

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

The Central Data Exchange is covered by schedule 0097. See schedule 0098 for Envirofacts.

Reasons for Disposition:

The following change was made in the 07/31/2022 version:

- Updated contact information.

The following change was made in the 03/31/2021 version:

- Updated contact information.

The following changes were made in the 04/30/2008 version:

- Revised disposition instructions for item b.
- Added applicability to disposition items a, c and e.
- Revised title of disposition item e.

This system was previously approved as the Aerometric Information Retrieval System (AIRS), N1-412-99-8, and consisted of four databases: Air Quality System (AQS), Air Facility System (AFS), Geo-Common (GCS), and a mapping utility called AIRS graphic (AG). Three of the four systems have been phased out. The emissions portion of AFS was phased out in 2000, and new submissions are submitted to the National Emissions Inventory (NEI), scheduled as EPA 0002. The data from the Precision and Accuracy Reporting System (PARS), approved as NC1-412-81-12/33, was transferred to AIRS in 1992. The compliance data is now managed by the Office of Enforcement and Compliance Assurance (OECA) and will be scheduled separately.

Custodians:

Office of Air and Radiation, Office of Air Quality Planning and Standards, Outreach Information Division

- **Contact:** Robert Coats
- **Telephone:** 919-541-5448

Related Schedules:

EPA 0002, EPA 0097, EPA 0098, EPA 1012

Previous NARA Disposal Authority:

NC1-412-81-8/7, NC1-412-81-8/13, NC1-412-81-12/33, NC1-412-82-4/2, N1-412-99-8

Entry: 06/05/1993

EPA Approval: 08/08/2008

NARA Approval: 01/23/2009

EPA Records Schedule 0499

Status: Final, 12/31/2019

Title: Employee Occupational Exposure to Ionizing Radiation

Program: Radiation, Research and Development

Applicability: Agency-wide

Function: 316 - Applied Research and Science Support

NARA Disposal Authority:

- N1-412-07-71/10

Description:

Consists of documentation of EPA employee occupational exposure to ionizing radiation while using radioactive materials or radiation producing devices in research. Includes quarterly employee exposure reports, lists of approved radioactive isotope users, Nuclear Regulatory Commission (NRC) correspondence, policies regarding handling of radiation, questionnaires, requisitions for radioactive materials and inventories of radioactive materials.

Disposition Instructions:

Item a: Record copy

NARA Disposal Authority: N1-412-07-71/10a

- **Disposable**
- Close inactive records at expiration or termination of license.
- Destroy 75 years after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information

and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Reasons for Disposition:

The following change was made in the 12/31/2019 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following changes were made in the 03/31/2016 version:

- Expanded program to include Research and Development and applicability to Agency-wide.

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:

Previous NARA Disposal Authority:

N1-412-97-5

Entry: 02/22/1995

EPA Approval: 08/27/2007

NARA Approval: 06/22/2008

EPA Records Schedule 0537

Status: Final, 09/30/2021

Title: EPA Newsroom Database

Program: Public Affairs

Applicability: Headquarters

Function: 305 - Public Affairs

NARA Disposal Authority:

- N1-412-08-9

Description:

The EPA Newsroom Database contains the text of speeches and remarks by EPA Administrators and Deputy Administrators and press releases posted to the EPA Internet Newsroom. The speeches and remarks of the Administrators are from November 1995 forward, and for the Deputy Administrators, from 1997 forward. The Headquarters Office of Public Affairs distributes national press releases while regional offices distribute local press releases. Both national and regional releases are posted in the database.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

This item is to be used only by the Office of the Administrator, Office of Public Affairs at Headquarters.

NARA Disposal Authority: N1-412-08-9c

- **Permanent**
- Transfer annually to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in electronic format only, and is not media neutral. The electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition.

Input - Input, formerly item b, is covered by schedule 1012 item e.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item e, refers to those records necessary to document how the system captures, manipulates and outputs data. System documentation is transferred to the National Archives along with the electronic data. Disposition of system documentation is covered by schedule 1012 item a.

If speeches are not added to the databases, the disposition is covered by schedule 1051 for senior officials and 1022 for all other employees. Records used to produce outreach materials for the public are covered by schedule 1022.

Reasons for Disposition:

The following change was made in the 09/30/2021 version:

- Updated contact information.

The following changes were made in the 07/31/2017 version:

- Deleted items a, b, d, and e which are covered by other schedules.
- Updated guidance and contact information.

The following changes were made in the 04/30/2008 version:

- Revised disposition instructions for item b.
- Added applicability to disposition items a, c and e.
- Revised title of disposition item e.

This schedule was previously approved as N1-412-03-9 for the Administrators' and Deputy Administrators' Speeches Database. It has expanded to include final press releases that are kept in the same database.

Custodians:

Office of the Administrator, Office of Public Affairs

- **Contact:** Reggie Washington
- **Telephone:** 202-564-0423

Related Schedules:

EPA 1012, EPA 1022, EPA 1051

Previous NARA Disposal Authority:

N1-412-03-9

Entry: 03/06/2001

EPA Approval: 06/09/2008

NARA Approval: 07/30/2008

EPA Records Schedule 0541

Status: Final, 12/31/2013

Title: Equal Employment Opportunity (EEO) Records

Program: Civil Rights

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/25

Description:

Contains records related to equal employment opportunity, workplace discrimination, and affirmative action.

Excludes: External discrimination complaints filed by individuals or groups alleging civil rights have been violated by environmental means which are handled by EPA's environmental justice program covered by schedule 1044.

Disposition Instructions:

Item a: Official discrimination complaint case files

Includes originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the agency, by Equal Employment Opportunity Commission, or by a U.S. Court.

NARA Disposal Authority: General Records Schedule 1/25a

- **Disposable**
- Destroy 4 years after resolution of case.

Item b: Copies of complaint case files

NARA Disposal Authority: General Records Schedule 1/25b

- **Disposable**
- Destroy 1 year after resolution of case.

Item c(1): Preliminary and background files not filed in the official file

NARA Disposal Authority: General Records Schedule 1/25c(1)

- **Disposable**
- Destroy 2 years after final resolution of case.

Item c(2): Preliminary and background files for complaints that do not develop into official discrimination complaint cases

NARA Disposal Authority: General Records Schedule 1/25c(2)

- **Disposable**
- Destroy when 2 years old.

Item d(1): Compliance review files for contractor employment practices

Includes reviews, background documents, and correspondence.

NARA Disposal Authority: General Records Schedule 1/25d(1)

- **Disposable**
- Destroy when 7 years old.

Item d(2): EEO compliance reports

NARA Disposal Authority: General Records Schedule 1/25d(2)

- **Disposable**
- Destroy when 3 years old.

Item e: Employee housing requests

Includes forms requesting agency assistance in housing matters, such as rental or purchase.

NARA Disposal Authority: General Records Schedule 1/25e

- **Disposable**
- Destroy when 1 year old.

Item f: Employment statistics files relating to race and sex

NARA Disposal Authority: General Records Schedule 1/25f

- **Disposable**
- Destroy when 5 years old.

Item g: EEO general files

Includes general correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation, agency EEO Committee meeting records, including minutes and reports, and special programs related to workforce diversity.

NARA Disposal Authority: General Records Schedule 1/25g

- **Disposable**
- Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.

Item h(1): Consolidated EEO affirmative action plans (AAP)

NARA Disposal Authority: General Records Schedule 1/25h(1)

- **Disposable**
- Destroy 5 years from date of plan.

Item h(2): Feeder plan for EEO affirmative action plans (AAP)

NARA Disposal Authority: General Records Schedule 1/25h(2)

- **Disposable**
- Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.

Item h(3): Report of on-site reviews of affirmative action programs

NARA Disposal Authority: General Records Schedule 1/25h(3)

- **Disposable**
- Destroy 5 years from date of report.

Item h(4): Annual report of affirmative action accomplishments

NARA Disposal Authority: General Records Schedule 1/25h(4)

- **Disposable**
- Destroy 5 years from date of report.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic

format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Reasons for Disposition:

The following change was made in the 04/30/2010 version:

- Added wording about special programs related to workforce diversity to disposition item g.

Conforms with NARA's General Records Schedule 1, item 25.

Item i for electronic mail and word processing system copies deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 1044

Previous NARA Disposal Authority:

N1-412-75-8/1, N1-412-87-3/2, 3, 4 and 5

Entry: 07/22/1993

EPA Approval: Not applicable

NARA Approval: 04/00/2003

EPA Records Schedule 0546

Status: Final, 12/31/2013

Title: Personnel Counseling Records

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/26

Description:

Includes counseling files consisting of reports of interviews, analyses, and related records. Also includes alcohol and drug abuse program files consisting of records created in planning, coordinating, and directing an alcohol and drug abuse program.

Disposition Instructions:

Item a: Counseling files

NARA Disposal Authority: General Records Schedule 1/26a

- **Disposable**
- Destroy 3 years after termination of counseling.

Item b: Alcohol and drug abuse program files

NARA Disposal Authority: General Records Schedule 1/26b

- **Disposable**
- Destroy when 3 years old.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic

Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Federal workplace drug testing program files are covered by EPA 0569. Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered in EPA 0564.

Reasons for Disposition:

Disposition conforms to NARA's General Records Schedule 1, item 26.

Custodians:

Multiple units

Related Schedules:

EPA 0564, EPA 0569

Previous NARA Disposal Authority:

N1-412-87-3/7

Entry: 07/22/1993

EPA Approval: Not applicable

NARA Approval: 04/00/2003

EPA Records Schedule 0553

Status: Final, 03/31/2017

Title: Official Personnel Folders (OPF) - Civilian

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

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.

- General Records Schedule 1/1a (Item a(1))
- General Records Schedule 1/1b (Item a(2))
- General Records Schedule 1/10a (Item b(1))
- General Records Schedule 1/10b (Item b(2))

Description:

Contains personnel records as detailed in The Guide to Personnel Recordkeeping.

Disposition Instructions:

Item a(1): Transferred employee records filed on the right side of the OPF

Includes records for employment terminated after December 31, 1920, excluding those selected by the National Archives and Records Administration for permanent retention.

NARA Disposal Authority: General Records Schedule 1/1a

- **Disposable**
- See Chapter 7 of The Guide to Personnel Recordkeeping for instructions relating to folders of employees transferred to another agency.

Item a(2): Separated employee records filed on the right side of the OPF

Includes records for employment terminated after December 31, 1920, excluding those selected by the National Archives and Records Administration for permanent retention.

NARA Disposal Authority: General Records Schedule 1/1b

- **Disposable**
- Transfer folder to National Personnel Records Center, St. Louis, MO, 30 days after latest separation.

Item b(1): Correspondence and forms maintained on the left side of the OPF for temporary individual employee records

Includes all copies maintained in accordance with Chapter 3 of The Guide to Personnel Recordkeeping, excluding the Immigration and Naturalization Service Form I-9 and performance-related records.

NARA Disposal Authority: General Records Schedule 1/10a

- **Disposable**
- Destroy when superseded or obsolete, or upon separation or transfer of employee unless specifically required to be transferred with the OPF.

Item b(2): Immigration and Naturalization Service Form I-9 for temporary individual employee records

NARA Disposal Authority: General Records Schedule 1/10b

- **Disposable**
- Destroy 3 years after employee separates from service or transfers to another agency.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

With the implementation of the electronic OPF (eOPF), legacy hard copy OPFs (through August 2008), are to be retired to the National Personnel Records Center (NPRC) after they are scanned into the system. Beginning September 2008, hard copy OPFs are to be destroyed one year after they have been imaged and verified. For additional information, see OPM's Guide to Personnel Recordkeeping at: https://www.opm.gov/policy-data-oversight/data-analysis-documentation/personnel-documentation/personnel-recordkeeping/recguide2011.pdf and instructions for making requests from NPRC at: http://www.opm.gov/efoia/html/foia_contacts.asp.

Records for employees separated for active military duty who have restoration rights and employees transferred to public international organizations with reemployment rights should be kept until reemployment or expiration of restoration or reemployment rights.

Records for employees reached for reduction in force whose names have been entered on the Reemployment Priority List should be kept until employees names are removed from the Reemployment Priority List.

Records for employees who were involuntarily separated and who appeal their separation should be kept until appeals are resolved.

Records for separated employees for whom records are outstanding or for whom retirement, insurance, or other claims are being adjudicated should be kept for the additional time required to obtain and file the records or to adjudicate claims. Records for separated employees (item a(2)) will be destroyed by the National Personnel Records Center 65 years after separation from federal service.

Where there is a work situation which makes it probable that the same people will be employed repeatedly for short periods of time records should be kept for a maximum period of two years after the date of their last separation.

Records for employees who were involuntarily separated and who are entitled to severance pay under section 550.702 of the Office of Personnel Management regulations should be kept until the former employee is reemployed under an appointment limited to more than one year, after a break of more than three days, or until the severance pay fund is exhausted, whichever comes sooner.

Personnel records for Public Health Service Corps Commissioned Personnel are scheduled as EPA 0554. Appointment Files are covered in EPA 0557. Employee Performance records are scheduled as EPA 0107.

Reasons for Disposition:

The following change was made in the 03/31/2017 version:

- Updated the link to the Guide to Personnel Recordkeeping in guidance.

The following change was made in the 04/30/2010 version:

- Added guidance about eOPF and retirement and destruction of hard copy records.

The following change was made in the 07/31/2008 version:

- Moved statement about destruction of records for separated employees by National Personnel Records Center from disposition item a(2) to guidance.

Conforms to NARA's General Records Schedule 1, items 1 and 10.

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

Custodians:

Multiple units

Related Schedules:

EPA 0107, EPA 0554, EPA 0557

Previous NARA Disposal Authority:

NC-412-75-4/1, NC1-412-85-28/3

Entry: 07/27/1993

EPA Approval: Not applicable

NARA Approval: 12/00/1998

EPA Records Schedule 0554

Status: Final, 12/31/2013

Title: Agency Personnel Folders - Public Health Service Commissioned Corps Personnel

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- N1-412-07-62/3

Description:

Documents accumulated to provide a record of status and service of personnel temporarily assigned to EPA. The Public Health Service (PHS) personnel office specifies the "duplicate" documents to be maintained by non-PHS agencies.

Disposition Instructions:

Item a: Record copy

NARA Disposal Authority: N1-412-07-62/3a

- **Disposable**
- Close inactive records upon transfer or separation.
- Destroy 2 years after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR

1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

This item is to be applied by personnel offices. Other official personnel folders (OPFs) are scheduled as EPA 0553.

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 0553

Previous NARA Disposal Authority:

NC1-412-85-28/4

Entry: 07/27/1993

EPA Approval: 06/15/2007

NARA Approval: 03/06/2009

EPA Records Schedule 0556

Status: Final, 12/31/2013

Title: Examining and Certification Records

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/33

Description:

Consists of delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the Office of Personnel Management (OPM) and agencies, allowing for the examination and certification of applicants for employment.

Disposition Instructions:

Item a: Delegated agreements

NARA Disposal Authority: General Records Schedule 1/33a

- **Disposable**
- Destroy 3 years after termination of agreement.

Item b: Correspondence concerning applications, certification of eligibles, and all other examining and recruiting operations

Includes, but is not limited to, correspondence from Congress, White House, and the general public, and correspondence regarding accommodations for holding examinations and shipment of test materials.

NARA Disposal Authority: General Records Schedule 1/33b

- **Disposable**
- Close file annually.
- Destroy 1 year after file closure.

Item c: Correspondence or notices received from eligibles indicating a change in name, address, or availability

NARA Disposal Authority: General Records Schedule 1/33c

- **Disposable**
- Destroy 90 days after updating the appropriate record in the registry or inventory.

Item d: Test material stock control

Includes stock control records of examination test material, including running inventory of test material in stock.

NARA Disposal Authority: General Records Schedule 1/33d

- **Disposable**
- Destroy when test is superseded or obsolete.

Item e: Application Record Card

Includes OPM Form 5000A, or equivalent.

NARA Disposal Authority: General Records Schedule 1/33e

- **Disposable**
- Close file after examination.
- Destroy no later than 90 days after file closure.

Item f: Examination announcement case documentation files

Includes correspondence regarding examination requirements, final version of announcement(s) issued, subsequent amendments to announcement(s), public notice documentation, rating schedule, job analysis documentation, record of selective and quality rating factors, rating procedures, transmutation tables, and other documents associated with the job announcement(s) and the development of the register/inventory or case examination.

NARA Disposal Authority: General Records Schedule 1/33f

- **Disposable**
- Close file after termination of related register or inventory or after final action is taken on the certificate generated by case examining procedures.
- Destroy 2 years after file closure.

Item g: Register or inventory of eligibles

Includes OPM Form 5001-C or equivalent, documenting eligibility of an individual for federal jobs.

NARA Disposal Authority: General Records Schedule 1/33g

- **Disposable**
- Destroy 2 years after the date on which the register or inventory is terminated.

Item h: Letters to applicants denying transfer of eligibility

Includes OPM Form 4896 or equivalent.

NARA Disposal Authority: General Records Schedule 1/33h

- **Disposable**
- Close file annually.
- Destroy 1 year after file closure.

Item i: Test answer sheets

Includes written test answer sheets for both eligibles and ineligibles. Filed by date of processing.

NARA Disposal Authority: General Records Schedule 1/33i

- **Disposable**
- Destroy when 6 months old.

Item j: Lost or exposed test material case files

Includes records showing the circumstances of loss, nature of the recovery action, and corrective action required.

NARA Disposal Authority: General Records Schedule 1/33j

- **Disposable**
- Close files annually.
- Destroy 5 years after file closure.

Item k: Canceled and ineligible applications for positions filled from a register or inventory

Includes Optional Form (OF) 612, resumes, supplemental forms, and attachments.

NARA Disposal Authority: General Records Schedule 1/33k

- **Disposable**
- Close file annually.

- Destroy 1 year after file closure.

Item l(1): Eligible applications for positions filled from an active register or inventory

Includes OF 612, resumes, supplemental forms, and attachments.

NARA Disposal Authority: General Records Schedule 1/33l(1)

- **Disposable**
- Destroy 90 days after termination of the register or inventory, (except for those applications that may be brought forward to a new register or inventory, if any).

Item l(2): Eligible applications for positions filled from an inactive register or inventory

Includes OF 612, resumes, supplemental forms, and attachments.

NARA Disposal Authority: General Records Schedule 1/33l(2)

- **Disposable**
- Close file annually.
- Destroy 1 year after file closure.

Item m: Ineligible or incomplete applications for positions filled by case examining

Includes OF 612, resumes, and supplemental forms.

NARA Disposal Authority: General Records Schedule 1/33m

- **Disposable**
- Close file annually.
- Destroy 2 years after file closure.

Item n: Eligible applications for positions filled by case examining that either are not referred to the hiring official or are returned to the examining office by the hiring official

Includes OF 612, resumes, supplemental forms, and attachments.

NARA Disposal Authority: General Records Schedule 1/33n

- **Disposable**
- Close file annually.
- Destroy 2 years after file closure.

Item o: Request for prior approval of personnel actions taken by agencies

Includes requests on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, OPM 648, or equivalent form.

NARA Disposal Authority: General Records Schedule 1/33o

- **Disposable**
- Close file annually.
- Destroy 1 year after file closure.

Item p: Certificate files

Includes SF 39, SF 39A, or equivalent, and all papers upon which the certification was based; the list of eligibles screened for the vacancies, ratings assigned, availability statements, the certificate of eligibles that was issued to the selecting official, the annotated certificate of eligibles that was returned from the selecting official, and other documentation material designated by the examiner for retention.

NARA Disposal Authority: General Records Schedule 1/33p

- **Disposable**
- Close file annually.
- Destroy 2 years after file closure.

Item q: Certification request control index and certificate control log system

Includes records of information (e.g., receipt date, series, and grade of position, duty station) pertaining to requests for lists of eligibles from a register or inventory.

NARA Disposal Authority: General Records Schedule 1/33q

- **Disposable**
- Close file annually.
- Destroy 2 years after file closure.

Item r: Interagency Placement Program (IPP) application and registration sheet

NARA Disposal Authority: General Records Schedule 1/33r

- **Disposable**
- Destroy upon expiration of employee's DEP eligibility.

Item s: DEP control cards, if maintained

NARA Disposal Authority: General Records Schedule 1/33s

- **Disposable**

- Close file annually.
- Destroy 2 years after file closure.

Item t: Reports of audits of delegated examining operations

NARA Disposal Authority: General Records Schedule 1/33t

- **Disposable**
- Destroy 3 years after date of the report.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Offers of Employment Files are covered in EPA 0557 and Certificate of Eligibles Files in EPA 0558.

Reasons for Disposition:

Disposition conforms with NARA's General Records Schedule 1, item 33.

Item u for electronic mail and word processing system copies deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 0557, EPA 0558

Previous NARA Disposal Authority:

NC-412-75-4/3, NC1-412-85-28/6

Entry: 07/27/1993

EPA Approval: Not applicable

NARA Approval: 04/00/2003

EPA Records Schedule 0557

Status: Final, 12/31/2013

Title: Offers of Employment Files

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/4

Description:

Contains correspondence, including letters and telegrams, offering appointments to potential employees.

Disposition Instructions:

Item a: Accepted offers

NARA Disposal Authority: General Records Schedule 1/4a

- **Disposable**
- Destroy when appointment is effective.

Item b(1): Declined offers - When name is received from certificate of eligibles

NARA Disposal Authority: General Records Schedule 1/4b(1)

- **Disposable**
- Return to OPM with reply and application.

Item b(2): Declined offers - Temporary or excepted appointment

NARA Disposal Authority: General Records Schedule 1/4b(2)

- **Disposable**
- File with related records and follow instructions for related records (EPA 0556).

Item b(3): Declined offers - All others

NARA Disposal Authority: General Records Schedule 1/4b(3)

- **Disposable**
- Destroy immediately.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

If offer is accepted, file with temporary personnel papers on left side of folder (See EPA 0553, item b). Declined offers for temporary or excepted appointments are filed with the employment applications covered by EPA 0556 for examining and certification records.

Official personnel folders for civilians are covered in EPA 0553 and Public Health Service Corps commissioned personnel in EPA 0554. See EPA 0100 for appointee clearance and vetting files.

Reasons for Disposition:

Disposition conforms to NARA's General Records Schedule 1, item 4.

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

Custodians:

Multiple units

Related Schedules:

EPA 0100, EPA 0553, EPA 0554, EPA 0556

Previous NARA Disposal Authority:

NC-412-75-4/4, NC1-412-85-28/7

Entry: 07/27/1993

EPA Approval: Not applicable

NARA Approval: 04/00/2003

EPA Records Schedule 0558

Status: Final, 12/31/2013

Title: Certificate of Eligibles Files

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/5

Description:

Consists of copies from the Office of Personnel Management (OPM) of certificates of eligibles with related requests, forms, correspondence, and statement of reason for passing over a preference eligible and selecting a non-preference eligible.

Disposition Instructions:

Item a: Record copy

NARA Disposal Authority: General Records Schedule 1/5

- **Disposable**
- Destroy when 2 years old.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR

1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Reasons for Disposition:

Conforms to NARA's General Records Schedule 1, item 5.

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:

Previous NARA Disposal Authority:

NC-412-75-4/5, NC1-412-85-28/8

Entry: 07/27/1993

EPA Approval: Not applicable

NARA Approval: 12/00/1998

EPA Records Schedule 0559

Status: Final, 12/31/2019

Title: Position Classification Files

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/7

Description:

Consists of records relating to classification of positions within the organization.

Disposition Instructions:

Item a(1): Position classification standards files

NARA Disposal Authority: General Records Schedule 1/7a

- **Disposable**
- Destroy when superseded or obsolete.

Item a(2)(a): Case file

Includes correspondence and other records relating to the development of standards for classification of positions peculiar to EPA, and OPM approval or disapproval.

NARA Disposal Authority: General Records Schedule 1/7a(2)(a)

- **Disposable**
- Destroy 5 years after position is abolished or description is superseded.

Item a(2)(b): Review file

Includes correspondence and other records relating to the development of standards for classification of positions peculiar to EPA, and OPM approval or disapproval.

NARA Disposal Authority: General Records Schedule 1/7a(2)(b)

- **Disposable**
- Destroy when 2 years old.

Item b: Position descriptions

NARA Disposal Authority: General Records Schedule 1/7b

- **Disposable**
- Destroy 2 years after position is abolished or description is superseded.

Item c(1): Survey files - Classification survey reports

Includes reports on various positions prepared by classification specialists, including periodic reports.

NARA Disposal Authority: General Records Schedule 1/7c(1)

- **Disposable**
- Destroy when 3 years old, or 2 years after regular inspection, whichever is sooner.

Item c(2): Survey files - Inspection, audit, and survey files

Includes correspondence, reports, and other records relating to inspections, surveys, desk audits, and evaluations.

NARA Disposal Authority: General Records Schedule 1/7c(2)

- **Disposable**
- Destroy when obsolete or superseded.

Item d(1): Appeals files - Case files relating to classification appeals, excluding OPM classification certificate

NARA Disposal Authority: General Records Schedule 1/7d(1)

- **Disposable**
- Destroy 3 years after case is closed.

Item d(2): Appeals files - Certificates of classification issued by OPM

NARA Disposal Authority: General Records Schedule 1/7d(2)

- **Disposable**
- Destroy after affected position is abolished or superseded.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Reasons for Disposition:

The following change was made in the 12/31/2019 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

Disposition conforms to NARA's General Records Schedule 1, item 7.

Item e for electronic mail and word processing system copies deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

Previous NARA Disposal Authority:

NC-412-75-4/6, NC1-412-85-28/9

Entry: 07/27/1993

EPA Approval: Not applicable

NARA Approval: 04/00/2003

EPA Records Schedule 0560

Status: Final, 12/31/2013

Title: Notifications of Personnel Actions - Standard Form 50

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/14

Description:

Consists of Standard Form (SF) 50, documenting all individual personnel actions such as employment, promotions, transfers, separation, exclusive of the copy in the Official Personnel Folders.

Disposition Instructions:

Item a: Chronological file copies, including fact sheets, maintained in personnel offices

NARA Disposal Authority: General Records Schedule 1/14a

- **Disposable**
- Destroy when 2 years old.

Item b: All other copies maintained in personnel offices

NARA Disposal Authority: General Records Schedule 1/14b

- **Disposable**
- Destroy when 1 year old.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic

Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Official Personnel Folders - Civilian are scheduled as EPA 0553. Agency Personnel Folders - Public Health Service Corps Commissioned Personnel are covered in EPA 0554 and Appointment Files as EPA 0557.

Reasons for Disposition:

Conforms to NARA's General Records Schedule 1, item 14.

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

Custodians:

Multiple units

Related Schedules:

EPA 0553, EPA 0554, EPA 0557

Previous NARA Disposal Authority:

N1-412-75-4/7, NC1-412-85-28/10

Entry: 07/30/1993

EPA Approval: Not applicable

NARA Approval: 12/00/1998

EPA Records Schedule 0561

Status: Final, 05/31/2016

Title: Personnel Correspondence and Forms Files Relating to Individual Employees

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/17

Description:

Contains operating personnel office records relating to individual employees not maintained in the Official Personnel Folders (OPFs) and not provided for elsewhere.

Disposition Instructions:

Item a: Correspondence and forms relating to pending personnel actions

NARA Disposal Authority: General Records Schedule 1/17a

- **Disposable**
- Destroy when action is completed.

Item b(1): (Reserved)

Item b(2): (Reserved)

Item c: All other correspondence and forms

NARA Disposal Authority: General Records Schedule 1/17c

- **Disposable**
- Destroy when 6 months old.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records

schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Form 3110-49 - The EPA Records Management Checklist for Separating/Transferring or Separated Personnel maintained by records liaison officers (RLOs) is covered by schedule 0568.

Retention registers - Retention registers, formerly items b(1) and b(2) are covered by schedule 1032, items a and b.

Reasons for Disposition:

The following changes were made in the 05/31/2016 version:

- Deleted items b(1) and b(2).
- Updated guidance.

The following change was made in the 03/31/2014 version:

- Revised guidance stating that checklists for separating, transferring and separated personnel are covered by schedule 0568.

Conforms to NARA's General Records Schedule 1, item 17.

Item d for electronic mail and word processing system copies deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 0568, EPA 1032

Previous NARA Disposal Authority:

NC-412-75-4/8, NC1-412-85-28/11

Entry: 07/30/1993

EPA Approval: Not applicable

NARA Approval: 12/00/1998

EPA Records Schedule 0562

Status: Final, 12/31/2013

Title: Merit Promotion Case Files

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/32

Description:

Contains records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates.

Disposition Instructions:

Item a: Record copy

NARA Disposal Authority: General Records Schedule 1/32

- **Disposable**
- Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR

1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Reasons for Disposition:

Conforms to NARA's General Records Schedule 1, item 32.

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:

Previous NARA Disposal Authority:

N1-412-75-4/9, NC1-412-85-28/12

Entry: 07/30/1993

EPA Approval: Not applicable

NARA Approval: 12/00/1998

EPA Records Schedule 0563

Status: Final, 12/31/2013

Title: Performance Rating Appeals

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- N1-412-07-62/4

Description:

Contains performance rating appeals files, including copies of employee's appeals of performance rating, copies of decisions rendered and other material pertaining to the case.

Disposition Instructions:

Item a: Record copy

NARA Disposal Authority: N1-412-07-62/4a

- **Disposable**
- Close inactive records at end of year in which final decision is made.
- Destroy 3 years after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR

1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Employee performance file system records are covered in EPA 0107. See EPA 0553 for official personnel folders (OPF) for civilians, and EPA 0554 for Public Health Service Corps commissioned personnel.

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 0107, EPA 0553, EPA 0554

Previous NARA Disposal Authority:

NC-412-75-4/10c, NC1-412-85-28/13c

Entry: 07/30/1993

EPA Approval: 06/15/2007

NARA Approval: 03/06/2009

EPA Records Schedule 0564

Status: Final, 12/31/2019

Title: Administrative Grievance, Disciplinary, and Adverse Action Files

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/30

Description:

Consists of administrative grievance files. Records relate to grievances raised by Agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

Also includes adverse action files and performance-based actions. Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-trade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports and decisions; reversal of action; and appeal records, excluding letters of reprimand which are filed in the official personnel folder (OPF).

Disposition Instructions:

Item a: Administrative grievance files

NARA Disposal Authority: General Records Schedule 1/30a

- **Disposable**
- Close inactive records at end of year after case is closed.
- Destroy when 4 years old.

Item b: Adverse action files and performance-based actions

NARA Disposal Authority: General Records Schedule 1/30b

- **Disposable**
- Close inactive records at end of year after case is closed.

- Destroy when 4 years old.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Official personnel folders for civilians are scheduled as EPA 0553 and for Public Health Service Corps commissioned personnel as EPA 0554. EEO complaint files are covered in EPA 0541.

Records of complaint files of actions filed before administrative agencies or in federal courts and maintained as EPA personnel law files by the Office of General Counsel are covered by schedule 1025.

Reasons for Disposition:

The following change was made in the 12/31/2019 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following change was made in the 08/31/2010 version:

- Revised the file closure instructions to "after case is closed" for items a and b to match the General Records Schedule.

Conforms to NARA's General Records Schedule 1, item 30.

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

Custodians:

Multiple units

Related Schedules:

EPA 0541, EPA 0553, EPA 0554, EPA 1025

Previous NARA Disposal Authority:

NC-412-75-4/11, NC1-412-85-28/14

Entry: 07/30/1993

EPA Approval: Not applicable

NARA Approval: 12/00/1998

EPA Records Schedule 0565

Status: Final, 12/31/2013

Title: Donated Leave Program Case Files

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/37

Description:

Includes case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, Agency approvals or denials, medical or physician certifications, leave donation records or OF 630-A, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records. Also known as "leave bank" records.

Disposition Instructions:

Item a: Record copy

NARA Disposal Authority: General Records Schedule 1/37

- **Disposable**
- Beginning in January 1994, destroy 1 year after the end of the year in which the file is closed.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information

and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Other leave records are covered by schedule 1005 for copies held by the finance office; all other copies are covered by schedule 1006.

Reasons for Disposition:

Conforms to NARA's General Records Schedule 1, item 37.

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

Custodians:

Multiple units

Related Schedules:

EPA 1005, EPA 1006

Previous NARA Disposal Authority:

Entry: 08/06/1999

EPA Approval: Not applicable

NARA Approval: 12/00/1998

EPA Records Schedule 0566

Status: Final, 12/31/2013

Title: Employee Medical Folder (EMF)

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/21

Description:

Includes medical records for employees.

Disposition Instructions:

Item a(1): Transferred employees - Long-term medical records as defined in 5 CFR 293, subpart E

NARA Disposal Authority: General Records Schedule 1/21a(1)

- **Disposable**
- See 5 CFR part 293, Subpart E for instructions.

Item a(2): Separated employees - Long-term medical records as defined in 5 CFR 293, subpart E

NARA Disposal Authority: General Records Schedule 1/21a(2)

- **Disposable**
- Transfer to National Personnel Records Center (NPRC), St. Louis, MO, 30 days after separation.

Item b: Temporary or short-term records as defined in the Federal Personnel Manual (FPM)

NARA Disposal Authority: General Records Schedule 1/21b

- **Disposable**
- Destroy 1 year after separation or transfer of employee.

Item c: Individual employee health case files created prior to establishment of the EMF system that have been retired to a NARA records storage facility

NARA Disposal Authority: General Records Schedule 1/21c

- **Disposable**
- Destroy 60 years after retirement to the NARA records storage facility.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Personnel records for civilians are scheduled as EPA 0553 and Public Health Service Corps commissioned personnel as EPA 0554. Records related to employee visits to government health facilities for nonwork-related purposes not covered by this schedule are covered by EPA 0016 - Individual Non-Occupational Health Record Files. See EPA 0023 - Health Unit Control Files for logs or registers of visits to dispensaries, first aid rooms, and other types of health units.

Health care facilities' clinical records for treatment rendered to non-government workers and non-occupational injuries/illnesses are governed by the policy and guidance of the Public Health/Federal Occupational Health Agency (PH/FOH). According to those policies, non-government workers are not eligible for treatment at these centers. However, if an emergency does occur and treatment is rendered, a medical folder is established. The Health Care Provider in charge establishes the retention period for those records. A non-government worker includes AARPs, Stay-In-Schools, contractors, and the general public. For additional information, refer to the Occupational Health Center Services manual.

The NPRC will destroy long-term medical records for separated employees (Item a(2)) 75 years after birth date of employee; 60 years after date of the earliest document in the folder, if the date of birth cannot be ascertained, or 30 years after latest separation, whichever is later.

Reasons for Disposition:

The following change was made in the 08/31/2010 version:

- Corrected reference about NPRC destruction from 60 days to 60 years in guidance.

The following change was made in the 07/31/2008 version:

- Moved statement about destruction of records for separated employees by National Personnel Records Center from disposition item a(2) to guidance.

Conforms to NARA's General Records Schedule 1, item 21.

Item d for electronic mail and word processing system copies deleted 08/23/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 0016, EPA 0023, EPA 0553, EPA 0554

Previous NARA Disposal Authority:

NC-412-75-4/13, NC1-412-85-28/16

Entry: 07/30/1993

EPA Approval: Not applicable

NARA Approval: 12/00/2003

EPA Records Schedule 0568

Status: Final, 05/31/2016

Title: Personnel Correspondence Files Related to General Administration

Program: All Programs

Applicability: Agency-wide

Function: 403 - Human Resource Management

NARA Disposal Authority:

- General Records Schedule 1/3

Description:

Consists of correspondence, reports, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in the records schedules and records maintained at agency staff planning levels.

Disposition Instructions:

Item a: Record copy

NARA Disposal Authority: General Records Schedule 1/3

- **Disposable**
- Destroy when 3 years old.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR

1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Panel interview notes - This item includes panel interview notes for candidates held in any office. Panel interview notes for candidates under merit promotion maintained by personnel offices are covered by EPA 0562.

SEE timesheets and intern records - This item also covers timesheets for Senior Environmental Employment (SEE) Program employees and personnel records related to interns.

EPA Form 3110-49 - The EPA Records Management Checklist for Separating/Transferring, or Separated Personnel maintained by Records Liaison Officers (RLOs) is covered by this schedule. If the employee's records are subject to a litigation hold, the form must (like other records associated with said employee) be retained until the hold is lifted..

Employee separation records maintained by human resources offices - Employee separation records not filed in the official personnel folder (OPF) and maintained by the human resources offices are covered by schedule 1032; OPFs are covered by schedule 0553.

For personnel correspondence and forms related to individual employees not maintained in the Official Personnel Folders (OPFs) and not covered by other schedules, see EPA 0561.

Reasons for Disposition:

The following change was made in the 05/31/2016 version:

- Updated guidance about retention of EPA Form 3110-49 if departing employee has records that are subject to a litigation hold.

The following change was made in the 03/31/2014 version:

- Revised guidance stating that the checklists for separating, transferring, and separated personnel are covered by this schedule.

The following change was made in the 05/31/2011 version:

- Updated guidance to include records related to interns.

The following change was made in the 10/31/2010 version:

- Updated guidance to include the employee separation checklist.

The following change was made in the 01/31/2009 version:

- Updated guidance to include the senior officials separation checklist.

Conforms to NARA's General Records Schedule 1, item 3.

Item b for electronic mail and word processing system copies deleted 08/23/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 0553, EPA 0561, EPA 0562, EPA 1032

Previous NARA Disposal Authority:

Entry: 08/06/2003

EPA Approval: Not applicable

NARA Approval: 04/00/2003

EPA Records Schedule 0569

Status: Final, 12/31/2013

Title: Federal Workplace Drug Testing Program Files

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/36

Description:

Includes drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101 Stat. 468).

Excludes: Consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Pub. L. 100-71, 503(f).

Disposition Instructions:

Item a: Drug test plans and procedures

Excludes documents that are filed in record sets of formal issuances (directives, procedures handbooks, operating manuals, and the like).

NARA Disposal Authority: General Records Schedule 1/36a

- **Disposable**
- Destroy when 3 years old or when superseded or obsolete.

Item b: Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested

NARA Disposal Authority: General Records Schedule 1/36b

- **Disposable**
- Destroy when employee separates from testing-designated position.

Item c: Selection and scheduling records

Includes records relating to the selection of specific employees and applicants for testing and the scheduling of tests, including lists of selectees, notification letters, and testing schedules.

NARA Disposal Authority: General Records Schedule 1/36c

- **Disposable**
- Destroy when 3 years old.

Item d(1): "Permanent" record books

Includes bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.

NARA Disposal Authority: General Records Schedule 1/36d(1)

- **Disposable**
- Destroy 3 years after date of last entry.

Item d(2): Chain of custody records

Includes forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen.

NARA Disposal Authority: General Records Schedule 1/36d(2)

- **Disposable**
- Destroy when 3 years old.

Item e(1)(a): Positive test results for employees

Includes records documenting individual test results, including reports of testing, notifications of employees and applicants and employing offices, and documents relating to follow-up testing.

NARA Disposal Authority: General Records Schedule 1/36e(1)(a)

- **Disposable**
- Destroy when employee leaves the Agency or when 3 years old, whichever is later.

Item e(1)(b): Positive test results for applicants not accepted for employment

Includes records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

NARA Disposal Authority: General Records Schedule 1/36e(1)(b)

- **Disposable**

- Destroy when 3 years old.

Item e(2): Negative test results

NARA Disposal Authority: General Records Schedule 1/36e(2)

- **Disposable**
- Destroy when 3 years old.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered in EPA 0564. See EPA 0546 for personnel counseling files related to the alcohol and drug abuse program.

Reasons for Disposition:

Disposition conforms to NARA's General Records Schedule, item 1/36.

Item f for electronic mail and word processing system copies deleted 08/23/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 0546, EPA 0564

Previous NARA Disposal Authority:

Entry: 07/01/2003

EPA Approval: Not applicable

NARA Approval: 04/00/2003

EPA Records Schedule 0570

Status: Final, 12/31/2013

Title: Intergovernmental Personnel Act (IPA) Assignment Files

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- N1-412-07-62/5

Description:

Consists of records documenting the temporary assignment of personnel between the federal government and state or local governments, institutions of higher education, Indian tribal governments, and other eligible organizations.

Disposition Instructions:

Item a: Record copy

NARA Disposal Authority: N1-412-07-62/5a

- **Disposable**
- Close inactive records upon termination of assignment.
- Destroy 2 years after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR

1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

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 08/23/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

Previous NARA Disposal Authority:

NC1-412-85-28/21

Entry: 08/03/1993

EPA Approval: 06/15/2007

NARA Approval: 03/06/2009

EPA Records Schedule 0572

Status: Final, 02/28/2018

Title: Employee Awards Files

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/12

Description:

Files contain records related to employee awards.

Disposition Instructions:

Item a(1): General awards case files

Includes recommendations, approved nominations, correspondence, reports, and related handbooks pertaining to Agency-sponsored cash and noncash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.

NARA Disposal Authority: General Records Schedule 1/12a(1)

- **Disposable**
- Destroy 2 years after approval or disapproval.

Item a(2): General awards correspondence for awards from other federal agencies or non-federal organizations

NARA Disposal Authority: General Records Schedule 1/12a(2)

- **Disposable**
- Destroy when 2 years old.

Item b: Length of service and sick leave awards files

Includes correspondence, reports, computations of service and sick leave, and lists of awardees.

NARA Disposal Authority: General Records Schedule 1/12b

- **Disposable**
- Destroy when 1 year old.

Item c: Letters of commendation and appreciation

Includes letters recognizing length of service and retirement and letters of appreciation and commendation for performance, and excludes copies filed in the official personnel file (OPF).

NARA Disposal Authority: General Records Schedule 1/12c

- **Disposable**
- Destroy when 2 years old.

Item d: Lists of or indexes to Agency award nominations

NARA Disposal Authority: General Records Schedule 1/12d

- **Disposable**
- Destroy when superseded or obsolete.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Incentive awards program reports are scheduled as EPA 0574.

Reasons for Disposition:

Disposition conforms to the General Records Schedule 1, item 12.

Item e for electronic mail and word processing system copies deleted 08/23/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

Previous NARA Disposal Authority:

NC-412-75-4/10a, NC1-412-85-28/13a

Entry: 11/17/2000

EPA Approval: Not applicable

NARA Approval: 12/00/1998

EPA Records Schedule 0573

Status: Final, 12/31/2013

Title: EPA Payroll System (EPAYS)

Program: Financial Management

Applicability: Headquarters

Function: 402 - Financial Management

NARA Disposal Authority:

- N1-412-96-1/28

Description:

The EPA Payroll System (EPAYS) is a major system featuring a standardized nationwide data entry system for time and attendance and payroll and personnel data. The system also contains a labor distribution function for Agency payroll accounting and biweekly production of payroll requirements. Additionally, the system has the ability to distribute personnel management information to meet management and regulatory reporting requirements.

EPAYS has the following components:

- PPRS - A reporting facility providing extensive data extract and report generation capability with a small subsystem to support specialized reporting for the Office of Civil Rights.
- TAPP - Provides on-line data entry and edit facilities for EPAYS processed transactions and supports the collection and edit of all payroll and personnel related data.

Disposition Instructions:

Item a: Electronic software program

This item is to be used only by the Office of the Chief Financial Officer, Office of Financial Management, Financial Systems Staff at Headquarters.

NARA Disposal Authority: N1-412-96-1/28a

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

Item b: Input

NARA Disposal Authority: N1-412-96-1/28b

- **Disposable**
- Close after data entry completed and verified.
- Destroy after GAO audit or when 6 years old, whichever is sooner.

Item c: Electronic data

This item is to be used only by the Office of the Chief Financial Officer, Office of Financial Management, Financial Systems Staff at Headquarters.

NARA Disposal Authority: N1-412-96-1/28c

- **Disposable**
- Maintain individual records at least 2 years after completion of action, then delete when no longer needed.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: System documentation

This item is to be used only by the Office of the Chief Financial Officer, Office of Financial Management, Financial Systems Staff at Headquarters.

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Close when superseded.
- Follow instructions for schedule 1012.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012,

Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Records covered by items b and d held in other offices are retained according to the disposition instructions for records they support.

Record copies of source documents are covered by the following schedules: Schedule 1005 for time and attendance source records held by the finance office; and all other copies are covered by schedule 1006. Pay folders are covered by schedule 1005. Official personnel folders (OPFs) are covered by schedule 0553 and agency personnel folders for Public Health Service Corps commissioned personnel are covered by schedule 0554.

A related system, the Integrated Financial Management System is scheduled as EPA 0054 and its predecessor the Financial Management System (FMS) as EPA 0053. The PeoplePlus system is scheduled as EPA 0300.

Reasons for Disposition:

The following changes were made in the 04/30/2008 version:

- Revised disposition instructions for items a and e.
- Added applicability to disposition items a, c and e.
- Revised title of disposition item e.

EPAYS was the primary system used for time and attendance and payroll and personnel data as well as production of reports required by regulations. Input and output records are scheduled separately.

Custodians:

Office of the Chief Financial Officer, Office of Financial Management, Financial Systems Staff

- **Contact:** Martin Poch
- **Telephone:** 202-564-4912

Related Schedules:

EPA 0053, EPA 0054, EPA 0300, EPA 0553, EPA 0554, EPA 1005, EPA 1006, EPA 1012

Previous NARA Disposal Authority:

Entry: 08/09/1993

EPA Approval: 12/12/1996

NARA Approval: 01/20/1999

EPA Records Schedule 0575

Status: Final, 12/31/2013

Title: Grants Information and Control System (GICS)

Program: Grants

Applicability: Agency-wide

Function: 205 - Federal Financial Assistance

NARA Disposal Authority:

- N1-412-00-4

Description:

The Grants Information and Control System (GICS) is a national information management system containing administrative, project, and financial data for all EPA's grants, interagency agreements, and cooperative agreements. The system has the following components:

Municipal construction grants program - Provides information on wastewater treatment grant applications and active construction grant projects.

State revolving fund (SRF) program - Tracks federal funding provided to the states.

Non-construction grants program - Contains any program's nonconstruction grants information, including Superfund, Pesticides, and Research and Development.

Information is entered by headquarters, regions, or states. Input data includes data from automated systems. The system offers a customized data entry module, report writer, look-up tables, batch capabilities, and an online dictionary.

GICS will be replaced by the Integrated Grants Management System (IGMS).

Disposition Instructions:

Item a: Electronic software program

This item is to be used only by the Office of Administration and Resources Management at Headquarters.

NARA Disposal Authority: N1-412-00-4a

- **Disposable**

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

Item b: Input

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Item c: Electronic data

This item is to be used only by the Office of Administration and Resources Management at Headquarters.

NARA Disposal Authority: N1-412-00-4c

- **Disposable**
- Maintain individual records at least 7 years after completion of grant or agreement, then delete when no longer needed.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: System documentation

This item is to be used only by the Office of Administration and Resources Management at Headquarters.

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to

meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

The Grants Administration Division with the assistance of the Enterprise Systems Division of the Office of Administration and Resources Management is responsible for implementing the disposition of items a, c, and e. All related records held in other offices should be destroyed according to instructions for items b and d.

Ad hoc and monthly reports needed to document program management should be included in program management files covered by schedule 1006; otherwise they may be destroyed when no longer needed.

Grant records for programs other than Superfund are covered by schedule 1003 and Superfund site specific as schedule 1036. Waste Water Construction and State Revolving Fund Grants are covered by 1003.

The replacement system, IGMS, will be a paperless administrative system. Phase 1 includes development and deployment of the modules of the Partnership 2000 (P2000) project to States. Phase 2 includes development and deployment of modules for post award management and closeout, integration with IFMS, and development of a replacement database for GICS. Phase 3 integrates IGMS with the government-wide electronic grant application system, links grants with environmental goals and results, and extends electronic commerce to tribes and other grantees.

Reasons for Disposition:

The following change was made in the 07/31/2008 version:

- Moved statement about destruction of ad hoc and monthly reports from disposition item d to guidance.

The following changes were made in the 04/30/2008 version:

- Revised disposition instructions for items a, b and e.
- Added appllicability to disposition items a, c and e.
- Revised title of disposition item e.

This national system is used by headquarters, regions, and states to administer and monitor grants. It is used for program planning and oversight, project tracking and management, and information

reporting. Proposed retention will meet all audit and litigation documentation purposes. The paper records, scheduled separately, are disposable.

Custodians:

Office of Administration and Resources Management, Grants Administration Division

- **Contact:** Kathleen Herrin
- **Telephone:** 202-564-5346

Office of Administration and Resources Management, Enterprise Systems Division

- **Contact:** Betty McClaugherty
- **Telephone:** 202-260-5398

Related Schedules:

EPA 1003, EPA 1006, EPA 1012, EPA 1036

Previous NARA Disposal Authority:

Entry: 08/10/1993

EPA Approval: 11/14/1995

NARA Approval: 04/27/2000

EPA Records Schedule 0577

Status: Final, 12/31/2013

Title: Labor Management Relations Records

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- General Records Schedule 1/28

Description:

Consists of labor management relations general and case files, including correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other groups.

Also includes labor arbitration general and case files, including correspondence, forms, and background papers relating to labor arbitration cases.

Disposition Instructions:

Item a(1): Labor management relations general and case files for the office negotiating the agreement

NARA Disposal Authority: General Records Schedule 1/28a(1)

- **Disposable**
- Destroy 5 years after expiration of agreement.

Item a(2): Labor management relations general and case files for other offices

NARA Disposal Authority: General Records Schedule 1/28a(2)

- **Disposable**
- Destroy when superseded or obsolete.

Item b: Labor arbitration general and case files

NARA Disposal Authority: General Records Schedule 1/28b

- **Disposable**
- Destroy 5 years after final resolution of case.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Reasons for Disposition:

Conforms to NARA's General Records Schedule 1, item 28.

Item c for electronic mail and word processing system copies deleted 08/23/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

Previous NARA Disposal Authority:

Entry: 01/27/1994

EPA Approval: Not applicable

NARA Approval: 12/00/1998

EPA Records Schedule 0579

Status: Final, 12/21/2013

Title: Personal Injury Files

Program: Safety and Health

Applicability: Agency-wide

Function: 401 - Administrative Management

NARA Disposal Authority:

- General Records Schedule 1/31

Description:

Consists of forms, reports, correspondence, and related materials and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made.

Excludes: Copies filed in the Employee Medical Folder which are scheduled as EPA 0566 and copies submitted to the Department of Labor (See Agency-wide Guidance).

Disposition Instructions:

Item a: Record copy

NARA Disposal Authority: General Records Schedule 1/31

- **Disposable**
- Close inactive records at termination of compensation or when deadline for filing a claim has passed.
- Destroy 3 years after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10,

, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Copies of workers compensation records filed with the U.S. Department of Labor's Office of Workers' Compensation Programs (OWCP) are to be retained for 2 years after case closure in accordance with OWCP requirements (See http://www2.dol.gov/esa/regs/compliance/owcp/feca810m.htm#9).

Reasons for Disposition:

Conforms to NARA General Records Schedule 1, item 31.

Item b for electronic mail and word processing system copies deleted 08/23/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 0566

Previous NARA Disposal Authority:

NC-412-75-2/VI/2, NC1-412-85-8/6

Entry: 08/13/1993

EPA Approval: Not applicable

NARA Approval: 07/00/2004

EPA Records Schedule 0583

Status: Final, 12/31/2013

Title: Occupational Injury and Illness Files

Program: Safety and Health

Applicability: Agency-wide

Function: 401 - Administrative Management

NARA Disposal Authority:

- General Records Schedule 1/34

Description:

Consists of reports and logs (including OSHA Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment.

Disposition Instructions:

Item a: Record copy

NARA Disposal Authority: General Records Schedule 1/34

- **Disposable**
- Destroy when 5 years old.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR

1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Documents relating to employee medical history are scheduled as EPA 0566.

Reasons for Disposition:

The following change was made in the 12/31/2011 version:

- Revised guidance.

Conforms to NARA's General Records Schedule 1, item 34.

Item b for electronic mail and word processing system copies deleted 08/23/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 0566

Previous NARA Disposal Authority:

NC1-412-85-8/10

Entry: 08/13/1993

EPA Approval: Not applicable

NARA Approval: 12/00/1998

EPA Records Schedule 0584

Status: Final, 12/31/2019

Title: Industrial Hygiene Files

Program: Safety and Health

Applicability: Agency-wide

Function: 401 - Administrative Management

NARA Disposal Authority:

- N1-412-07-63/4

Description:

Contains standards and practices documents created in the development of industrial hygiene standards and practices to protect health and safety of workers, including developmental and production operations; the location design, layout, equipment, and construction of facilities and other areas requiring industrial hygiene standards. Includes recommendations, coordination actions, studies and other actions taken to establish standards. Also includes employee exposure reports, asbestos and medical monitoring and surveillance records.

Disposition Instructions:

Item a: (Reserved)

Item b: Employee exposure records

NARA Disposal Authority: N1-412-07-63/4b

- **Disposable**
- Close inactive records when report is completed.
- Destroy 75 years after file closure.

Item c: Asbestos monitoring records

NARA Disposal Authority: N1-412-07-63/4c

- **Disposable**
- Close inactive records when report is completed.
- Destroy 75 years after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

See EPA 0499 for records related to employee occupational exposure to ionizing radiation maintained by the Radiation and Indoor Environments National Laboratory (RIENL).

Reasons for Disposition:

The following change was made in the 12/31/2019 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following change was made in the 12/31/2013 version:

- Deleted item a for Standards and practices documents and routine medical monitoring records which was moved to EPA 1001.

The following changes were made in the 12/31/2008 version:

- Revised retention of items b and c from 30 years to 75 years to be consistent with other records monitoring long-term health effects of employees.
- Added cross reference.

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 d for electronic copies created with word processing and electronic mail applications deleted 08/23/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 0499

Previous NARA Disposal Authority:

NC1-412-85-8/12

Entry: 08/11/1993

EPA Approval: 06/15/2007

NARA Approval: 03/06/2009

EPA Records Schedule 0684

Status: Final, 04/30/2016

Title: Criminal Case Reporting System (CCRS)

Program: Enforcement and Compliance Assurance

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-09-10

Description:

The Criminal Case Reporting System (CCRS) maintains information pertaining to individuals and companies associated with the Criminal Investigation Division's criminal leads and cases, as well as other information related to the conduct of criminal investigations. The information collected in CCRS includes investigative activity reports, investigative summary reports, subject information, and sentencing information. The information is obtained as a result of various investigative activities, including tips, complaints, interviews, surveillance, records review, evidence collection and analysis, and judicial action. The data is used to document the progress and results of criminal investigations.

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

This item is to be used only by the Office of Enforcement and Compliance Assurance, Criminal Investigation Division.

NARA Disposal Authority: N1-412-09-10c

- **Permanent**
- Transfer data annually to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition. The electronic software program is covered by EPA 1012, Information and Technology Management, item a.

Input - Input, formerly item b, is covered by schedule 1012 item e.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item e, refers to those records necessary to document how the system captures, manipulates and outputs data. System documentation is transferred to the National Archives along with the electronic data. Disposition of system documentation is covered by schedule 1012 item a.

CCRS replaced the Criminal Docket System (CRIMDOCK) in 2006. Criminal enforcement counsel records, criminal investigation records, and enforcement actions are covered by schedule 1044, except for site-specific records which are covered by schedule 1036.

Access to CCRS data is restricted to OECA, Office of Criminal Enforcement, Forensics and Training (OCEFT) employees and Regional Criminal Enforcement Counsels (RCECs).

Collection of CCRS information is inherent to CID's investigative responsibilities as mandated by Title 18 United States Code, Section 3063 (18 USC 3063), enacted under Public Law 100-582.

Reasons for Disposition:

The following changes were made in the 04/30/2016 version:

- Deleted items a, b, d and e which are covered by other schedules.
- Revised guidance, cross references, and contact information.

The following changes were made in the 09/30/2008 version:

- Revised schedule title and description.
- Updated contact information.
- Revised guidance and reasons for disposition.

The following changes were made in the 04/30/2008 version:

- Revised disposition instructions for items a and b.
- Added applicability to disposition items a, c and e.
- Revised title of disposition item e.

Disposition previously approved by the National Archives.

Custodians:

Office of Enforcement and Compliance Assurance, Criminal Investigation Division

- **Contact:** Matthew Shepherd
- **Telephone:** 202-564-1164

Related Schedules:

EPA 1012, EPA 1036, EPA 1044

Previous NARA Disposal Authority:

NC1-412-81-13/2

Entry: 11/02/1993

EPA Approval: 05/14/2009

NARA Approval: 08/17/2009

EPA Records Schedule 0720

Status: Final, 12/31/2013

Title: EPIC Aerial Photographs

Program: Environmental Information

Applicability: Environmental Photographic Interpretation Center (EPIC)

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-06-4

Description:

The EPIC aerial photographic collection consists of photographs acquired from various sources such as NOAA, USGS, and local governments as well as those taken for EPA as part of overflight of sites being studied. Photographs are in roll, cut frames, and digital form. The collection consists of 5,500 rolls and over 150,000 cut frames of imagery dated from 1930 to the present. The digital images are being created as part of an ongoing internal project.

Also includes analytical reports consisting of approximately 6,000 photo analysis reports, including aerial prints as well as overlays.

Also includes indexes and a database containing report metadata.

Disposition Instructions:

Item a(1): Photographic collection - Nonelectronic

Includes roll film and cut frames.

NARA Disposal Authority: N1-412-06-4a(1)

- **Permanent**
- Close file upon conclusion of EPA's business needs.
- Transfer to the National Archives after file closure in accordance with 36 CFR 1235.42.

Item a(2): Photographic collection - Electronic

Includes digital images.

NARA Disposal Authority: N1-412-06-4a(2)

- **Permanent**
- Transfer to the National Archives every 5 years, with any related documentation and external finding aids, in accordance with 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item a(3): Photographic collection - Electronic copy of records transferred to the National Archives

NARA Disposal Authority: N1-412-06-4a(3)

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

Item b(1): Analytical reports - Nonelectronic

NARA Disposal Authority: N1-412-06-4b(1)

- **Permanent**
- Close file upon conclusion of EPA's business needs
- Transfer to the National Archives after file closure.

Item b(2): Analytical reports - Electronic

NARA Disposal Authority: N1-412-06-4b(2)

- **Permanent**
- Transfer to the National Archives every 5 years, with any related documentation and external finding aids, in accordance with 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item b(3): Analytical reports - Electronic copy of records transferred to the National Archives

NARA Disposal Authority: N1-412-06-4b(3)

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

Item c(1): Indexes - Nonelectronic

Includes paper map indexes with overlays.

NARA Disposal Authority: N1-412-06-4c(1)

- **Permanent**
- Close file upon conclusion of EPA's business needs.
- Transfer textual records to the National Archives after file closure.

Item c(2): Indexes - Electronic

Includes database tracking system(s) with documentation.

NARA Disposal Authority: N1-412-06-4c(2)

- **Permanent**
- Transfer to the National Archives every 5 years, with any related documentation and external finding aids, in accordance with 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item c(3): Indexes - Electronic copy of records transferred to the National Archives

NARA Disposal Authority: N1-412-06-4c(3)

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

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

This schedule covers a unique, program-specific collection used by EPA to produce analytical reports. Copies of aerial photographs maintained in other offices as part of a related series (e.g.,

Superfund remedial site files), are to be retired according to the disposition requirements of the related series.

Reference copies may be destroyed when no longer needed to support current activities.

Reasons for Disposition:

N1-412-01-4 has been rewritten to account for all versions in any media format of reports, images, and indexes.

The following changes were made in the 02/29/2008 version:

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

The following items were changed 08/09/2006:

- Item c - Image Report Locator database and documentation and item d - Record copy of indexes were combined into item c - Record copy of indexes, including database tracking system(s) with documentation as well as paper map indexes with overlays.
- Item e for electronic copies of reports and indexes created with word processing and electronic mail applications was deleted pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Research and Development

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

Related Schedules:

Previous NARA Disposal Authority:

N1-412-01-4

Entry: 05/09/1997

EPA Approval: 12/29/2005

NARA Approval: 11/09/2006

EPA Records Schedule 0738

Status: Final, 07/31/2017

Title: Audiovisual Records

Program: All Programs

Applicability: Agency-wide

Function: 401 - Administrative Management

NARA Disposal Authority:

- General Records Schedule 21/2 (item b)
- General Records Schedule 21/11 (item i)
- General Records Schedule 21/18 (item n)
- General Records Schedule 21/22 (item q)
- General Records Schedule 21/23 (item r)

Description:

Consists of audiovisual and related records created by or for EPA as well as those acquired in the course of business. Audiovisual records include still images, sound recordings, moving images, and graphic arts. Related documentation includes (1) production files or other files documenting the creation, justification, ownership, and rights to the records; and (2) finding aids used to identify or access the records.

Excludes: Audiovisual records related to EPA's environmental missions that are covered by specific mission-related schedules (e.g., photographs related to Superfund site-specific cleanup activities); audiovisuals received as contract or other deliverables covered by schedules for the content (e.g., 1006 Administrative Management, 1035 Environmental Programs and Projects, and 1036 Environmental Programs and Projects - Site-Specific); audiovisuals used for training covered by schedule 1029; and audiovisuals used for public affairs activities covered by schedule 1022.

Disposition Instructions:

Item a: (Reserved)

Item b: Still photography - Personnel identification or passport photographs

NARA Disposal Authority: General Records Schedule 21/2

- **Disposable**
- Destroy when 5 years old or when superseded or obsolete, whichever is later.

Item c: (Reserved)

Item d: (Reserved)

Item e: (Reserved)

Item f: (Reserved)

Item g: (Reserved)

Item h: (Reserved)

Item i: Motion pictures - Routine surveillance footage

NARA Disposal Authority: General Records Schedule 21/11

- **Disposable**
- Destroy when 6 months old.

Item j: (Reserved)

Item k: (Reserved)

Item l: (Reserved)

Item m: (Reserved)

Item n: Video recordings - Routine surveillance recordings

NARA Disposal Authority: General Records Schedule 21/18

- **Disposable**
- Destroy when 6 months old.

Item o: (Reserved)

Item p: (Reserved)

Item q: Audio recordings - Recordings of meetings made exclusively for note taking or transcription

NARA Disposal Authority: General Records Schedule 21/22

- **Disposable**
- Destroy immediately after use.

Item r: Audio recordings - Dictation belts or tapes

NARA Disposal Authority: General Records Schedule 21/23

- **Disposable**
- Destroy immediately after use.

Item s: (Reserved)

Item t: (Reserved)

Item u: (Reserved)

Item v: (Reserved)

Guidance:

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

NARA standards for managing audiovisual records - NARA's standards for managing audiovisual records are found at 36 CFR 1237.

Disposition

- The organization responsible for producing or acquiring the audiovisuals maintains the record copy and implements the disposition. All other copies may be destroyed when no longer needed.
- In cases where an item has been deleted from this schedule, the audiovisuals are covered by the records schedule for the activity supported by the audiovisuals (e.g., audiovisuals for an enforcement case are covered by schedule 1044 Compliance and Enforcement).

Related schedules

- If audiovisuals are maintained separately from the records they support and they are related to EPA's environmental missions (e.g., enforcement actions, site cleanups, etc.), they must be linked to the appropriate file (e.g., cross reference in the case file and notation on the audiovisual label) and dispositioned according to the instructions for the records they support.
- Collections of audiovisuals supporting EPA's environmental missions and not covered by existing schedules must be scheduled separately. Training audiovisuals are covered by schedule 1029. Audiovisuals used for public affairs purposes are covered by schedule 1022.

Reasons for Disposition:

The following change was made in the 07/31/2017 version:

- Added guidance about items deleted from the schedule.

The following changes were made in the 04/30/2017 version:

- Deleted items a, c, d, e, f, g, h, k, l, m, p, s, t and u to conform to GRS 2.6 and 6.4, transmittal no. 27, issued January 2017.
- Updated guidance and cross references.

The following changes were made in the 11/30/2016 version:

- Deleted items j and o since they were rescinded in GRS transmittal no. 26, issued September 2016.

The following changes were made in the 11/30/2015 version:

- Deleted item v - Related documentation - Finding aids to conform to GRS revision, and added a reference to schedule 0089 in guidance.

Conforms to NARA's General Records Schedule 21.

The following EPA schedules were deleted and combined into this schedule:

- EPA 0708 - Routine Photographs and Slides. See item a.
- EPA 0713 - Audiovisual Finding Aids and Related Documentation. See items u and v.
- EPA 0714 - Viewgraphs. See item d.
- EPA 0717 - Routine Surveillance Motion Pictures. See item i.
- EPA 0718 - Routine Scientific, Medical or Engineering Motion Pictures. See item j.
- EPA 0721 - Routine Meeting and Award Presentation Videos. See item p.
- EPA 0723 - Internal Management News or Information Videos. See item p.
- EPA 0726 - Videos Acquired from Outside Sources. See item k.
- EPA 0727 - Sound Recordings of Meetings for Notetaking or Transcription. See item q.
- EPA 0728 - Pre-Mix Sound Recording Elements. See item s.
- EPA 0729 - Daily or Spot News Sound Recordings. See item t.

Custodians:

Multiple units

Related Schedules:

EPA 1022, EPA 1029

Previous NARA Disposal Authority:

NC1-412-83-1/I/3, NC1-412-83-1/II/1, N1-412-06-6/6

Entry: 08/24/2006

EPA Approval: Not applicable

NARA Approval: 01/00/2017

EPA Records Schedule 0740

Status: Final, 05/31/2017

Title: Office of Administrative Services Information System (OASIS)

Program: Administration and Resources Management

Applicability: Headquarters

Function: 401 - Administrative Management

NARA Disposal Authority:

- Varies

Description:

The Office of Administrative Services Information System (OASIS) serves as a Web-based portal to several legacy administrative systems. The current legacy systems include, but are not limited to:

- Building Services Desk (BSD)
- Combinations, Locks, Incidents, Keys, and Safes (CLIKS)
- COOP Action Tracking System (CATS)
- COOP Record of Personnel System
- Credentials System Financial Management System
- Driver Tracking System
- Fitness Center System
- Inspector General Operations and Reporting System (IGOR)
- Parking/Transit System
- Personnel Security System
- Physical Security System
- Postal Mail Management System (PMMS)
- Smart Benefits
- Strategic Lease and Asset Tracking Enterprise (SLATE)
- Warehouse Management Module

Disposition Instructions:

Item a: (Reserved)

Item b: (Reserved)

Item c: Electronic data

This item is to be used only by the Office of Administration and Resources Management, Office of Administrative Services at Headquarters.

NARA Disposal Authority: Varies

- **Disposable**
- Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later.

Item d: (Reserved)

Item e: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in electronic format only and is not media neutral. The electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. The electronic software program is covered by schedule 1012 item e.

Input - Input, formerly item b, is covered by schedule 1012 item e.

Output and reports - For disposition of output and reports, formerly item d, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, formerly item e, refers to those records necessary to document how the system captures, manipulates, and outputs data. Disposition of system documentation is covered by schedule 1012 item e. Copies of systems documentation (e.g., user manuals) held in offices other than OARM are nonrecords and can be destroyed when no longer needed.

Reasons for Disposition:

The following changes were made in the 05/31/2017 version:

- Deleted items a, b, d, and e since they are covered by other schedules.
- Updated guidance.

The following changes were made in the 04/30/2009 version:

- Revised title of disposition item e.
- Made minor edits to guidance.

The following change was made in the 03/31/2009 version:

- Revised description and cross references.

The following change was made in the 04/30/2008 version:

- Revised title of disposition item a.
- Revised the disposition instructions for items b and e.

The purpose of this system is to centralize a number of legacy systems under common control to comply with EPA's Enterprise Architecture. The retention of the data conforms to General Records Schedule (GRS) 20/3b(1) and the retention of the input conforms to GRS 20/1 and 2.

Custodians:

Office of Administration and Resources Management, Office of Administrative Services

- **Contact:** Ray Lee
- **Telephone:** 202-564-4625

Related Schedules:

EPA 1012

Previous NARA Disposal Authority:

None

Entry: 11/17/2006

EPA Approval: 04/23/2009

NARA Approval: Varies

EPA Records Schedule 0742

Status: Final, 11/30/2018

Title: Enterprise Content Management System (ECMS)

Program: All Programs

Applicability: Agency-wide

Function: 404 - Technology Management

NARA Disposal Authority:

- Varies

Description:

The Enterprise Content Management System (ECMS) is a platform for managing EPA's information resources, including records, throughout their lifecycle. ECMS provides the policies, standards and tools used to capture, manage, store, preserve and deliver information Agency-wide.

Disposition Instructions:

Item a: Electronic software program

The Office of Mission Support, Enterprise Records Management Division at Headquarters is responsible for the disposition of this item.

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

Item b: Source data

The office entering the data is responsible for the disposition of this item.

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Item c: System data

The ECMS project management office, the National Records Management Program and the Records Liaison Officers are responsible for the disposition of this item.

NARA Disposal Authority: Varies

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

Item d: Reports

The ECMS project management office, the National Records Management Program and the Records Liaison Officers are responsible for the disposition of this item.

NARA Disposal Authority: Varies

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

Item e: System documentation

The Office of Mission Support, Enterprise Records Management Division is responsible for the disposition of this item.

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

The ECMS project management office in the Office of Mission Support, Office of Enterprise Information Programs, Enterprise Records Management Division is responsible for maintaining the

software application. The National Records Management Program manages the retention policies and Agency-wide file structure, and creates records holds on records subject to litigation. Records Liaison Officers manage event-based retentions, implement records holds and maintain their organizational file structures.

Records related to operation of the system and IT customer service files such as help desk logs and reports are covered by schedule 1012. ECMS retains and dispositions RLO reports (both auto-generated and manually run); copies that are exported from the system may be destroyed when no longer needed.

Reasons for Disposition:

The following changes were made in the 11/30/2018 version:

- Revised description.
- Updated description for items a and e to reflect office reorganization.
- Updated guidance to reflect office reorganization.
- Updated contact information.

The following changes were made in the 11/30/2008 version:

- Changed program and applicability to All Programs, Agency-wide.

The following change was made in the 04/30/2008 version:

- Revised disposition instructions for item e.

Retention policies for records maintained in ECMS are based on EPA's approved records schedules.

Custodians:

Office of Mission Support, Enterprise Records Management Division

- **Contact:** Andrew Yuen
- **Telephone:** 202-566-1308

Related Schedules:

EPA 1012

Previous NARA Disposal Authority:

None

Entry: 09/05/2007

EPA Approval: 08/22/2008

NARA Approval: Varies

EPA Records Schedule 0744

Status: Final, 12/31/2013

Title: Beach Advisory and Closing On-line Notification (BEACON)

Program: Water

Applicability: Agency-wide, with exceptions

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-09-18

Description:

The Beach Advisory and Closing On-line Notification (BEACON) is an electronic system that receives and displays nonrecord copies of state beach water quality and swimming advisory data. The Beaches Environmental Assessment and Coastal Health Act of 2000 requires EPA to collect, store and maintain a public right-to-know pollution occurrence database on state designated coastal recreation waters. These record copies are stored in the Program Tracking, Advisories, Water Quality Standards, and Nutrients (PRAWN) database.

State agencies send beach data via EPA's Central Data Exchange (CDX). Input for the system flows through the Electronic Beaches Environmental Assessment and Coastal Health (eBeaches) system and includes: (1) monitoring and station location information from the Water Quality Exchange (WQX) and STORET; (2) notification data flows from the Program tracking, Beach Advisory, Water quality standard, and Nutrient database (PRAWN); and, (3) beach location data from the Reach Address Database (RAD). BEACON was formerly known as the National Health Beach Survey (NHBS).

Excludes: STORET (including WQX) scheduled as EPA 400, Reach (including RAD) which is the responsibility of the United States Geological Survey, and PRAWN which is scheduled separately.

Disposition Instructions:

Item a: Electronic software program

The Office of Water, Standards and Health Protection Division at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-18a

- **Disposable**

- Close when no longer needed to ensure access to and use of the electronic records throughout the authorized retention period.
- Destroy after file closure.

Item b: Input

NARA Disposal Authority: N1-412-09-18b

- **Disposable**
- Close when information has been transferred to the master file and verified.
- Delete after file closure.

Item c: Electronic data

The Office of Water, Standards and Health Protection Division at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-18c

- **Disposable**
- Close when program is discontinued or system is terminated.
- Delete after file closure.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: System documentation

The Office of Water, Standards and Health Protection Division at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources

Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

See EPA 0097 for CDX, EPA 0400 for STORET, and EPA 0753 for PRAWN.

Reasons for Disposition:

The following changes were made in the 11/30/2010 version:

- Revised the description.
- Added cross reference to EPA 0753 for PRAWN.
- Updated contact information.

The following change was made in the 01/31/2010 version:

- Updated the systems excluded in the description and cross references in the guidance.

The following change was made in the 06/30/2009 version:

- Removed file closure instructions for item e.

The following changes were made in the 04/30/2009 version:

- Removed reference to WebRIT from description since it has been decommissioned.
- Revised file closure instructions for item c.
- Added file closure instructions to item e.

The following changes were made in the 05/31/2008 version:

- Revised wording about applicability for disposition items a, c and e.
- Deleted file closure instructions and revised wording of disposition instructions for item e.

The following changes were made in the 03/31/2008 version:

- Removed statement that PRAWN is scheduled as 0089 since it is covered by this schedule. (Note: As of 11/30/2010, PRAWN is being rescheduled as EPA 0753.)

- Added file closure instructions and revised the disposition instructions for items a, b, c and e.
- Revised the title of disposition item e.

Retention meets EPA's program needs.

Custodians:

Office of Water, Office of Science and Technology, Standards and Health Protection Division

- **Contact:** Bill Kramer
- **Telephone:** 202-566-0385

Related Schedules:

EPA 0097, EPA 0400, EPA 0753, EPA 1012

Previous NARA Disposal Authority:

None

Entry: 01/04/2008

EPA Approval: 09/01/2009

NARA Approval: 12/21/2010

EPA Records Schedule 0746

Status: Final, 12/31/2013

Title: Stationary Source Audit Program (SSAP)

Program: Air

Applicability: Headquarters

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-09-3

Description:

The Stationary Source Audit Program (SSAP) is a database that allows federal, state and local regulatory agencies to order audit samples for compliance testing and report their results to EPA. The regulatory agencies key the data into the system and can get pass/fail results as well as print a variety of reports. The database was created in 2000 and includes data from 1984 to the present.

Disposition Instructions:

Item a: Electronic software program

The Office of Air and Radiation, Office of Air Quality Planning and Standards, Air Quality Assessment Division, Measurement Technology Group is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-3a

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

Item b: Input

NARA Disposal Authority: DAA-0412-2013-0009

- **Varies**
- Follow instructions for schedule 1012.

Item c: Electronic data

The Office of Air and Radiation, Office of Air Quality Planning and Standards, Air Quality Assessment Division, Measurement Technology Group is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-3c

- **Disposable**
- Delete when superseded or obsolete.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: System documentation

The Office of Air and Radiation, Office of Air Quality Planning and Standards, Air Quality Assessment Division, Measurement Technology Group is responsible for the disposition of this item.

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Reasons for Disposition:

The database provides a centralized point for audit sampling for compliance testing for stakeholders. Retention meets program needs.

Custodians:

Office of Air and Radiation, Office of Air Quality Planning and Standards, Air Quality Assessment Division, Measurement Technology Group

- **Contact:** Candace Sorrell
- **Telephone:** 919-541-1064

Related Schedules:

EPA 1012

Previous NARA Disposal Authority:

None

Entry: 07/03/2008

EPA Approval: 01/29/2009

NARA Approval: 06/15/2009

EPA Records Schedule 0747

Status: Final, 12/31/2013

Title: RACT/BACT/LAER Clearinghouse (RBLC)

Program: Air

Applicability: Headquarters

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-09-2

Description:

The RACT (Reasonably Available Control Technology)/BACT (Best Available Control Technology)/LAER (Lowest Achievable Emission Rate) Clearinghouse (RBLC) helps permit applicants and reviewers make pollution prevention and control technology decisions for stationary air pollution sources. RBLC contains summary information from state and local air pollution control permits issued in the U.S. since 1982. Data includes facilities that apply for construction permits; the basis for emission limits for each facility; pertinent source operating parameters such as process types, pollutant emission rates, pollution prevention techniques, add-on control equipment or other technology; permitting agency contacts; and scheduling data. A regulation database contains data about federal regulations governing air pollutant emissions. State and local air pollution control agency personnel submit data to EPA or directly enter data via EPA's Web site.

Disposition Instructions:

Item a: Electronic software program

The Office of Air and Radiation, Office of Air Quality Planning and Standards, Sector Policies and Programs Division is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-2a

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

Item b: Input

NARA Disposal Authority: DAA-0412-2013-0009

- **Varies**
- Follow instructions for schedule 1012.

Item c: Electronic data

The Office of Air and Radiation, Office of Air Quality Planning and Standards, Sector Policies and Programs Division is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-2c

- **Disposable**
- Delete when superseded or obsolete.

Item d: Output and reports

NARA Disposal Authority: Varies

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

Item e: System documentation

The Office of Air and Radiation, Office of Air Quality Planning and Standards, Sector Policies and Programs Division is responsible for the disposition of this item.

NARA Disposal Authority: DAA-0412-2013-0009

- **Disposable**
- Follow instructions for schedule 1012.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Specific legal citations include, but are not limited to:

- Clean Air Act, as amended, Sections 173(d) and 108(h)

Reasons for Disposition:

The RBLC helps permit applicants and reviewers make pollution prevention and control technology decisions. Retention meets program needs.

Custodians:

Office of Air and Radiation, Office of Air Quality Planning and Standards, Sector Policies and Programs Division

- **Contact:** Joseph E. Steigerwald
- **Telephone:** 919-541-2736

Related Schedules:

EPA 1012

Previous NARA Disposal Authority:

None

Entry: 07/03/2008

EPA Approval: 01/29/2009

NARA Approval: 06/15/2009

EPA Records Schedule 0752

Status: Final, 12/31/2013

Title: Drinking Water State Revolving Fund (DWSRF) National Information Management System (DWNIMS)

Program: Water

Applicability: Headquarters

Function: 108 - Environmental Management

NARA Disposal Authority:

- N1-412-09-15

Description:

The Drinking Water State Revolving Fund (DWSRF) National Information Management System (DWNIMS) is EPA's information system for national management of the DWSRF program. The purpose is to report the status and progress of the DWSRF program. The data are also used for oversight purposes and financial analysis. Results from the data collections are presented at the Council of Infrastructure Financing Authorities (CIFA) annual conferences. All current DWSRF strategic goals are measured and updated with data from DWNIMS.

Current and proposed measures include number of loans, number of projects initiating operations, the Return on Federal Investments, the Fund Utilization Rate, and number of out-of-compliance systems brought into compliance with health-based standards. Input data is received from states and entered into the database either through a Web-portal or a spreadsheet. Output includes national, regional and state reports. Data is currently available for state fiscal years (July-June) beginning 1997.

Disposition Instructions:

Item a: Electronic software program

The Office of Water, Office of Ground Water and Drinking Water, Drinking Water Protection Division at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-15a

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

- Delete after file closure.

Item b: Input

NARA Disposal Authority: N1-412-09-15b

- **Disposable**
- Close when information has been transferred to the master file and verified.
- Delete after file closure.

Item c: Electronic data - Record copy

The Office of Water, Office of Ground Water and Drinking Water, Drinking Water Protection Division at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-15c

- **Permanent**
- Close when program is discontinued or system is terminated. While system is in operation, transfer a copy of the data, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time, to the National Archives prior to migration to new system version with major changes or every 5 years, whichever occurs first.
- Transfer final data to the National Archives 6 months after system is closed.

Item d: Electronic copy of records transferred to the National Archives

The Office of Water, Office of Ground Water and Drinking Water, Drinking Water Protection Division at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-15d

- **Disposable**
- Close when electronic record copy is successfully transferred to the National Archives.
- Delete after file closure.

Item e: Output and reports

NARA Disposal Authority: Varies

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

Item f: System documentation

The Office of Water, Office of Ground Water and Drinking Water, Drinking Water Protection Division at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: N1-412-09-15f

- **Permanent**
- Close when program is discontinued or system is terminated. While system is in operation, transfer a copy, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time, to the National Archives prior to migration to new system version with major changes, or every 5 years, whichever occurs first.
- Transfer final system documentation to the National Archives 6 months after system is closed, with the electronic data (item c).

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Specific legal citations include, but are not limited to:

- Safe Drinking Water Act (SDWA), Amendments of 1996

Reasons for Disposition:

The following change was made in the 09/30/2010 version:

- Revised disposition instructions for items c and f to transfer to the National Archives every 5 years instead of every 10 years.

The retention meets EPA's business needs. The system is used for oversight purposes and financial analysis. It is also used to meet data requests from EPA, OMB, GAO, Congress, stakeholders, and the public.

Custodians:

Office of Water, Office of Ground Water and Drinking Water, Drinking Water Protection Division

- **Contact:** Howard E. Rubin
- **Telephone:** 202-564-2051

Related Schedules:

Previous NARA Disposal Authority:

None

Entry: 08/01/2009

EPA Approval: 08/28/2009

NARA Approval: 10/12/2010

EPA Records Schedule 0753

Status: Final, 12/31/2013

Title: Program Tracking, Advisories, Water Quality Standards, and Nutrients (PRAWN)

Program: Water

Applicability: Headquarters

Function: 108 - Environmental Management

NARA Disposal Authority:

- DAA-0412-2012-0001

Description:

The Program Tracking, Advisories, Water Quality Standards, and Nutrients (PRAWN) specifically supports the EPA Beach Program by storing national information on beach advisories and closings, as required by 33 U.S.C. 1346.

Disposition Instructions:

Item a: Electronic data

The Office of Water, Office of Science and Technology, Standards and Health Protection Division at Headquarters is responsible for the disposition of this item.

NARA Disposal Authority: DAA-0412-2012-0001-0001

- **Permanent**
- Close when program is discontinued or system is terminated.
- While system is in operation, transfer a copy of the data, as specified in 36 CFR §1235.44-1235.50 or standards applicable at the time, to the National Archives prior to migration to new system version with major changes (e.g., V2.0 to V3.0), or every 10 years, whichever occurs first.Transfer final data to the National Archives 6 months after system is closed.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic

records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Electronic software program - The electronic software program, formerly item a, is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition.

Input - For disposition of input, formerly item b, follow the instructions in schedule 1012.

Electronic copy of records transferred to the National Archives - The electronic copy of records transferred to the National Archives, formerly item d, are nonrecords and can be deleted after the transfer is successful.

Output and reports - For disposition of output and reports, formerly item e, refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, formerly item f, refers to those records necessary to document how the system captures, manipulates and outputs data. System documentation is transferred to the National Archives along with the electronic data. Disposition of system documentation conforms to schedule 1012 which provide direction to follow the disposition instructions for the electronic data.

The Beach Advisory and Closing On-line Notification (BEACON) system is scheduled as EPA 0744.

Reasons for Disposition:

The following changes were made in the 03/31/2012 version:

- Moved from development status to final.
- Added NARA disposal authority number and approval date.
- Deleted items a - electronic software program, b - input, d - electronic copy of records transferred to the National Archives, e - output and reports, and f - system documentation and moved them to guidance since they are covered by other schedules.

- Moved item c - electronic data to item a.
- Moved disposition statement about the copy of the data while the system is in operation to the disposition instructions instead of the file closure instructions.

The retention meets EPA's business needs.

Custodians:

Office of Water, Office of Science and Technology, Standards and Health Protection Division

- **Contact:** Bill Kramer
- **Telephone:** 202-566-0385

Related Schedules:

EPA 0744, EPA 1012

Previous NARA Disposal Authority:

None

Entry: 11/10/2010

EPA Approval: 10/11/2011

NARA Approval: 02/22/2012

EPA Records Schedule 0754

Status: Final, 12/31/2013

Title: Underground Injection Control National Database (UIC DB)

Program: Water

Applicability: Headquarters

Function: 108 - Environmental Management

NARA Disposal Authority:

- DAA-0412-2013-0003-0001 (Item a)
- DAA-0412-2013-0003-0002 (Item b)

Description:

The UIC National Database (UIC DB) supports the EPA oversight and management of the Underground Injection Control (UIC) programs directly implemented by the EPA Regions, State and tribal governments to regulate the owners and operators of underground injection wells (UIC) in order to prevent endangerment of underground sources of drinking water. EPA has awarded selected States with primary enforcement authority (primacy) to implement federal requirements and has assumed direct implementation authority (DI) for all State and Tribal programs without primacy.

The UIC DB, initially deployed in 2007, is a relational database management system composed of UIC facility and well inventory permit, inspection, violation and enforcement data. The UIC DB flows data from the 69 UIC programs (57 states, 2 Tribal and 10 Regional DI). The source data received from the primacy states and Regional DI programs are submitted through the Central Data Exchange (CDX), validated and then parsed and loaded into the preproduction version of the UIC DB. Once reviewed and accepted by EPA, the preproduction version is imported into the production version of the UIC DB. Submitted data replace the previous data files on a quarterly basis. The UIC data in the production version of the UIC DB will be used to support the Agency's response to any queries, including from the public. Both versions of the UIC DB are on an Oracle application server at the National Computer Center (NCC). This database is maintained by the headquarters Office of Water.

Disposition Instructions:

Item a: Electronic data

NARA Disposal Authority: DAA-0412-2013-0003-0001

- **Permanent**

- Close when program is discontinued or system is terminated.
- When system is in operation, transfer a copy of the data from the production version of the UIC DB every 5 years to the National Archives, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Transfer final data to the National Archives 6 months after system is closed.

Item b: Input

Includes input from primacy states and Regional DI programs.

NARA Disposal Authority: DAA-0412-2013-0003-0002

- **Disposable**
- Close when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as backup to, a master file or database, whichever is later.
- Destroy immediately after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Until a primacy state or regional DI program transitions to the UIC database as its data of record, all official UIC reporting to EPA from a primacy state and regional DI program continues to be done at a summary level through the 7520s or the Performance Accountable Measures. Full implementation of the UIC National Database for all UIC programs is projected to be 2013. The regional DI databases will continue in operation after its other reporting transitions to use of the UIC database.

EPA regional offices maintain separate databases for the State and Tribal programs they directly implement containing detailed information on wells including well operators, ownership, nature

and type of wells, operating status, and permits. Implementation varies from region to region. Some information from these regional systems is extracted and sent to EPA headquarters for the UIC Program Summary System. Regional systems may include additional fields not reported in the UIC DB, but deemed to be important by the offices. In the EPA regional office in Chicago, for example, a tribal code is entered to designate which reservation the well is located within.

UIC permits are covered by schedule 1047. See schedule 1044 for enforcement action and compliance files. The Underground Injection Control (UIC) Program Summary System maintained by headquarters is covered by EPA 0432.

Electronic software program - The electronic software program is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and meet NARA-approved disposition. The electronic software program is covered by schedule 1012 Information and Technology Management.

Output and reports - For disposition of output and reports refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation consisting of those records necessary to document how the system captures, manipulates and outputs data while in operation at EPA is covered by schedule 1012.

System development documentation - System development documentation, including but not limited to implementation plans, flow status, milestones, target completion dates, and business rules for data validation, is maintained in EPA's Central Data Exchange (CDX) and covered by EPA 0097, item c.

Reasons for Disposition:

The following changes were made in the 05/31/2013 version:

- Revised item a disposition instructions to transfer the data every five years.

The following changes were made in the 04/30/2013 version:

- Revised item a disposition instructions to identify which version of system is transferred.
- Updated contact information.

The UIC National Database was developed in response to a growing need for consistent well related information for use in decision making, regulatory activities and reporting to Congress. The data in the regional databases was previously approved as permanent (N1-412-06-31).

Custodians:

Office of Water, Office of Ground Water and Drinking Water, Drinking Water Protection Division, Infrastructure Branch

- **Contact:** Towana Dorsey
- **Telephone:** 202-564-4099

Related Schedules:

EPA 0097, EPA 0234, EPA 0432, EPA 1012, EPA 1044, EPA 1047

Previous NARA Disposal Authority:

None

Entry: 08/09/2012

EPA Approval: 01/16/2013

NARA Approval: 07/03/2013

EPA Records Schedule 0756

Status: Final, 07/31/2015

Title: Labor and Employee Relations Information System (LERIS)

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- DAA-0412-2015-0002

Description:

The Labor and Employee Relations Information System (LERIS) is a case management and tracking system. The system contains a variety of information pertaining to union activity (grievances, unfair labor practices (ULPs)), and employee disciplinary/adverse actions (suspensions, removals, etc.). LERIS can produce various data reports and analyze comparable cases from across the Agency. Common searches are for (1) comparable cases, i.e., searching for cases involving similar offenses in order to compare the penalties given; and, (2) linking labor relations (LR) and employee relations (ER) cases, i.e., disciplinary actions and subsequent appeals. Specific types of information contained in LERIS include: disciplinary, adverse and performance-based actions; negotiated grievances (i.e., union-affiliated); administrative grievances (for non-bargaining unit employees); unfair labor practices; negotiations and predecisional involvement (PDI) activities; formal meetings/discussions; counseling, including leave restriction; performance assistance plans and performance improvement plans; union information requests; and unit clarification petitions.

Disposition Instructions:

Item a: Electronic data

This item is to be used only by the Office of Administration and Resources Management, Labor and Employee Relations Division.

NARA Disposal Authority: DAA-0412-2015-0002-0001

- **Disposable**
- Close after employee leaves the Agency.
- Destroy 50 years after file closure or when the data is no longer needed for Agency business, whichever is sooner.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Electronic software program - The electronic software program is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and meet NARA-approved disposition. The electronic software program is covered by EPA 1012, Information and Technology Management, item e.

Input - Input is covered by EPA 1012, item e.

Output and reports - For disposition of output and reports refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, is covered by EPA 1012, item e.

Related schedules - See schedule 0107 for employee performance file system; schedule 0561 for personnel correspondence and forms files relating to individual employees; schedule 0563 for performance rating appeals; schedule 0564 for administrative grievance, disciplinary, and adverse action files; and schedule 0577 for labor management relations records.

Reasons for Disposition:

The following changes were made in the 02/28/2015 version:

- Added types of information contained in LERIS to the description.
- Revised wording of disposition instructions.
- Added related schedules to guidance.

The following changes were made in the 12/31/2014 version:

- Moved from development to draft status.
- Added NARA disposal authority number and EPA approval date.

The following changes were made in the 06/30/2014 version:

- Revised the disposition instructions.
- Updated contact information.

LERIS helps EPA more effectively track, manage and report on labor and employee relations cases throughout the Agency, and to respond to the Merit Systems Protection Board (MSPB) landmark decision referred to as the "Douglas Factors." The legal authority for this system is the Federal Service Labor-Management Relations Statute (5 USC Chapter 71) and Merit Systems Protection Board decision Douglas vs. Veterans Administration, 5 MSPR 280.

Custodians:

Office of Administration and Resources Management, Labor and Employee Relations Division

- **Contact:** Mitch Berkenkemper
- **Telephone:** 202-564-4702

Related Schedules:

EPA 0107, EPA 0561, EPA 0563, EPA 0564, EPA 0577, EPA 1012

Previous NARA Disposal Authority:

Entry: 05/13/2014

EPA Approval: 12/04/2014

NARA Approval: 05/22/2015

EPA Records Schedule 0757

Status: Final, 12/31/2015

Title: Emergency Management Portal (EMP)

Program: Emergency Prevention, Preparedness and Response

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- DAA-0412-2015-0003

Description:

The Emergency Management Portal (EMP) serves as a gateway to various emergency preparedness, prevention and emergency response applications. Currently, EMP is the portal to five applications listed below.

Field Readiness (FR) provides a single source for all training records and serves as the central source for skill and expertise tracking for emergency response personnel (Response Support Corps (RSC)) across the Agency.

Equipment Tracking (ETM) allows the emergency response community to track the location, status and maintenance of all equipment and parts and supplies within emergency response warehouses, using standardized vocabularies such as model names and status terms.

Oil Database (Oil DB) serves as a central, nationally-consistent platform for the Agency's Oil Spill Pollution Prevention Program tracking and measurement reporting. It enables users to search for and add facilities, generate reports, and store critical information such as inspection data, discharge history, and compliance data. The EMP Oil Application serves as the official database for the program.

Sampling-Monitoring and Analysis (SMA) is used only during incidents of national significance to collate regional sampling and monitoring information, present it to the office subject matter expert for review, and make it available for public dissemination.

The Local Government Reimbursement (LGR) database is used to manage local government applications for grants. It is a database of documents and notes from reviewers and allows generation of final payment documents and letters.

The system also contains an administrative module (EMP-Admin) which functions as the administration module for various applications, and the Emergency Management Business Intelligence (EMBI) tool which allows for both standardized and ad hoc reporting of the data from several of the EMP applications.

Disposition Instructions:

Item a: Electronic data

This item is to be used only by the Office of Solid Waste and Emergency Response, Office of Emergency Management.

NARA Disposal Authority: DAA-0412-2015-0003-0001

- **Disposable**
- Close individual records after completion of action.
- Destroy 5 years after file closure or when no longer needed for current Agency business, whichever is longer.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Electronic software program - The electronic software program is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and meet NARA-approved disposition. The electronic software program is covered by EPA 1012, Information and Technology Management, item e.

Input - Input is covered by EPA 1012, item e.

Output and reports - For disposition of output and reports refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, is covered by EPA 1012, item e.

Related schedules - See schedule 0054 for Compass Financials, schedule 0096 for FRS, and schedule 0027 for ICIS.

Reasons for Disposition:

The following change was made in the 12/31/2015 version:

- Revised the name of Office of Solid Waste and Emergency Response to Office of Land and Emergency Management in custodian section.

The following changes were made in the 09/30/2015 version:

- Moved from draft to final status.
- Added NARA approval date.

The following change was made in the 07/31/2015 version:

- Revised disposition instructions.

The following changes were made in the 03/31/2015 version:

- Moved from development to draft status.
- Added NARA disposal authority number and EPA approval date.

The following changes were made in the 02/28/2015 version:

- Revised the description, disposition instructions, guidance and contacts.

EMP was developed in response to a growing need across the Agency for a consistent collection and management of data documenting the prevention, preparedness and response information associated with disaster and other catastrophic events. The legal authorities include the Emergency Planning and Community Right-to-Know Act (EPCRA), the Superfund Amendments and Reauthorization Act of 1986 (SARA), the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), the Oil Pollution Act (OPA), and the Clean Water Act (CWA) Section 311.

Custodians:

Office of Land and Emergency Management, Office of Emergency Management

- **Contact:** Lynn Beasley
- **Telephone:** 202-564-1965

Office of Land and Emergency Management, Office of Emergency Management

- **Contact:** Joan Karrie
- **Telephone:** 202-564-9469

Related Schedules:

EPA 0027, EPA 0054, EPA 0096, EPA 1012

Previous NARA Disposal Authority:

None

Entry: 05/15/2014

EPA Approval: 03/04/2015

NARA Approval: 09/18/2015

EPA Records Schedule 0758

Status: Final, 04/30/2016

Title: Chemical Information System (CIS)

Program: Toxic Substances

Applicability: Headquarters

Function: 108 - Environmental Management

NARA Disposal Authority:

- DAA-0412-2015-0004

Description:

The Chemical Information System (CIS) is a centralized data system that captures documents submitted under the Toxic Substances Control Act (TSCA), as amended, and documents decisions associated with the review and acceptance or rejection of those submissions. Information is entered into the system by: (1) industries using electronic reporting tools; (2) EPA Confidential Business Information Center (CBIC) contractors who capture information from paper submissions; (3) members of the Records and Docket Management Branch (RDMB) who participate in the prescreening acceptance or rejection of the submissions; and, (4) scientists within the program office who participate in the prescreening and review of submissions.

The system is Oracle based and has a Documentum repository. It contains a search tool that allows users to search on a wide variety of items such as submission types, date ranges, chemical IDs, and company names. The system was activated in 2013 and the fielded data contained within the system dates back to the 1970s. The system contains both confidential business information (CBI) and non-CBI information.

Disposition Instructions:

Item a: Electronic data, except import and export records covered by item b

This item is to be used only by the Office of Chemical Safety and Pollution Prevention (OCSPP), Office of Pollution Prevention and Toxics (OPPT) at Headquarters.

NARA Disposal Authority: DAA-0412-2015-0004-0001

- **Permanent**
- Close when program is discontinued or system is terminated.
- While system is in operation, transfer a copy of the data as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time, to the National Archives every 5 years. Transfer final data to the National Archives 6 months after system is closed.

Item b: Electronic data - import and export records for TSCA Section 12(b) and Section 13 submissions

This item is to be used only by the Office of Chemical Safety and Pollution Prevention (OCSPP), Office of Pollution Prevention and Toxics (OPPT) at Headquarters.

NARA Disposal Authority: DAA-0412-2015-0004-0001

- **Disposable**
- Close when activity, project, or topic completed.
- Destroy 5 years after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Electronic software program - The electronic software program is to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct Agency business and meet NARA-approved disposition. The electronic software program is covered by EPA 1012, Information and Technology Management, item e.

Input - Input is covered by EPA 1012, item e.

Output and reports - For disposition of output and reports refer to the records schedule for the activity supported by the output and reports. Follow the disposition instructions for the applicable records schedule item. If more than one records schedule or item applies, follow the disposition instructions with the later dates.

System documentation - System documentation, including system development documentation, is covered by EPA 1012, item e.

The system includes permanent electronic records covered by item a of schedule 1035, formerly schedules 247 TSCA Section 6 Regulation of Hazardous Chemical Substances and Mixtures Files (N1-412-07-31), 261 TSCA Section 5 New Chemical Files (N1-412-07-29), 262 TSCA Section 4 Chemical Test Program Results (N1-412-07-28), 296 TSCA Section 5 Biotechnology Files (N1-412-07-27), 372 TSCA Section 8 Information and Reporting Files (N1-412-06-26),

and by item a of schedule 1023, formerly schedule 260 TSCA Section 21 Citizens Petitions (N1-412-07-30).

The system also includes disposable electronic records covered by item d of schedule 1035, formerly 292 TSCA Section 12(b) Notice of Export Files (N1-412-07-51/1) and 248 TSCA Section 13 Imports (N1-412-07-26).

Reasons for Disposition:

The following change was made in the 02/29/2016 version:

- Moved from draft status to final and added NARA approval date.
- Revised transfer instructions for item a.

The following changes were made in the 08/31/2015 version:

- Moved from development status to draft.
- Added NARA number and EPA approval date.

The following changes were made in the 04/30/2015 version:

- Revised title of item a.
- Added item b for disposable electronic data.
- Revised guidance.

CIS was developed in response to a need for a centralized collection point to manage, support, and safeguard a significant quantity of toxic substances data and documents. The records were previously approved as permanent.

Custodians:

Office of Chemical Safety and Pollution Prevention, Office of Pollution Prevention and Toxics

- **Contact:** Chandler Sirmons
- **Telephone:** 202-564-1138

Related Schedules:

EPA 1012, EPA 1035

Previous NARA Disposal Authority:

None

Entry: 09/04/2014

EPA Approval: 08/19/2015

NARA Approval: 03/31/2016

EPA Records Schedule 0759

Status: Final, 04/30/2020

Title: Email Managed Under a Capstone Approach

Program: All Programs

Applicability: Agency-wide

Function: 401 – Administrative Management

NARA Disposal Authority:

- DAA-GRS-2014-0001-0001 (Item a)
- DAA-GRS-2014-0001-0002 (Item b)

Description:

This schedule covers senders' and recipients' versions of electronic mail messages and any attachments to the messages maintained in the email system that are managed under a Capstone approach. It also covers available functions of the email program such as calendars/appointments, task lists ("to do" lists), and chat.

Item a: Email of Capstone officials

Includes email of Capstone officials designated on the approved NARA form 1005 (NA-1005), and those officials in an acting capacity longer than 60 days. It covers email in any and all Capstone officials' email accounts including those managed by other staff (such as personal assistants, confidential assistants, or administrative assistants); all email regardless of the address names used by the Capstone official for agency business (such as nicknames or office title names), and email from personal or non-official email accounts in which official agency business is conducted.

NARA Disposal Authority: DAA-GRS-2014-0001-0001

- **Permanent**
- Close file 90 days after creation or receipt.
- Transfer to the National Archives 15 years after file closure.

Item b: Email of non-Capstone employees

Includes temporary email of all other employees and contractors not included in item a of this schedule. Email that is covered by a records schedule item with a retention longer than 10 years must be saved in a recordkeeping system such as ECMS.

NARA Disposal Authority: DAA-GRS-2014-0001-0002

- **Disposable**
- Close file 90 days after creation or receipt.
- Destroy 10 years after file closure.

Guidance:

Media neutral – This schedule is not media neutral and applies to email managed in an electronic format only.

Capstone officials – Capstone officials are those employees at the highest senior levels of the agency. Senior officials at EPA designated as Capstone officials may include, but are not limited to, Administrator, Deputy Administrator (DA), Assistant Administrator (AA), Deputy Assistant Administrator (DAA), Regional Administrator (RA), Deputy Regional Administrator (DRA), General Counsel, Inspector General, Chief Financial Officer, and other similar positions. To ensure proper oversight and accountability, EPA documented and submitted a list of Capstone officials to NARA for approval prior to implementing a Capstone approach to managing emails. EPA is required to obtain approval of a resubmitted NARA form 1005 (NA-1005) at least every four years.

Exceptions – Copies of email which are necessary to document Agency activities and meet the definition of a record, and which have an approved records schedule with a retention of longer than 10 years for non-Capstone employees must be saved in an electronic recordkeeping system (e.g., Enterprise Content Management Systems (ECMS)), and may also need to be maintained in organized files (e.g., case files, project files). Copies of email maintained in other files (e.g., controlled and major correspondence) are to be disposed of in accordance with the disposition instructions for the related records. Other email records created and received by senior officials are covered by schedule 1051.

Email of Capstone officials – Personal emails not related to EPA business, non-record material (e.g., email blasts such as agency-wide communications), and transitory email records (records of short-term interest or that have minimal documentary or evidentiary value) are to be removed ("culled") within 90 days from the date the message was received or sent. If they are not removed from the email system, they will become part of the permanent record and available to the public after transfer to NARA.

Email from personal or non-official email accounts – Email from personal or non-official email accounts in which official EPA business is conducted is also included under this schedule. A complete copy of these records must be forwarded to the employees EPA email account not later than 20 days after the original creation or transmission of the record.

Reasons for Disposition:

Disposition generally conforms with NARA's General Records Schedule 6.1, except that the retention for email of non-Capstone officials has been extended from 7 years to 10 years.

Custodians:

Multiple units

Related Schedules:

EPA 1051

Previous NARA Disposal Authority:

GRS 20/14

Entry: 09/14/2016

EPA Approval: 05/06/2020

NARA Approval: 08/01/2015

EPA Records Schedule 0760

Status: Final, 01/31/2018

Title: Legacy Email

Program: All Programs

Applicability: Agency-wide

Function: 401 - Administrative Management

NARA Disposal Authority:

- DAA-0412-2017-0003-0001

Description:

This schedule covers senders' and recipients' versions of electronic mail messages and any attachments to the messages maintained in the legacy email system. It also covers available functions of the email program such as calendars/appointments, task lists ("to do" lists), and chat. The format is Lotus Notes using version 8.53 and includes the incoming and outgoing emails from all EPA employees from approximately 1998 through December 31, 2006. Emails are duplicative of records maintained elsewhere with the records to which they relate. EPA used a traditional records management "print and file" policy prior to adoption of the Enterprise Content Management System (ECMS).

Disposition Instructions:

Item a: Legacy email

NARA Disposal Authority: DAA-0412-2017-0003-0001

- **Disposable**
- Close file after NARA approval.
- Delete after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in electronic format only, and is not media neutral. The electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic

Recordkeeping System at EPA" on the EPA records intranet site.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Reasons for Disposition:

EPA plans to adopt NARA's Capstone approach for managing email. The previous EPA email records schedule 165 was based on NARA's General Records Schedule (GRS) 20, item 14, and instructed users to delete the email from the email system after the email record was copied to a recordkeeping system.

Custodians:

Multiple units

Related Schedules:

EPA 0759

Previous NARA Disposal Authority:

General Records Schedule 20/14

Entry: 05/02/2017

EPA Approval: 07/07/2017

NARA Approval: 12/21/2017

EPA Records Schedule 0999

Status: Final, 12/31/2013

Title: Personal Papers

Program: All Programs

Applicability: Agency-wide

Function: N/A - not applicable

NARA Disposal Authority:

- Not applicable

Description:

Personal papers are documentary materials, or any reasonably segregable portion thereof, of a private or nonpublic character that do not relate to, or have an effect upon, the conduct of Agency business. Personal papers are excluded from the definition of records in 44 U.S.C. Section 3301 and are not owned by the Agency.

Examples of personal papers include: (1) Materials accumulated by an official before joining government service that are not used subsequently in the transaction of government business; (2) Materials relating solely to an individual's private affairs, such as outside business pursuits, professional affiliations, or private political associations that do not relate to Agency business; and, (3) Diaries, journals, personal correspondence, or other personal notes that are not prepared or used for, or circulated or communicated in the course of, transacting government business.

Disposition Instructions:

- **Disposable**
- Destroy or remove at the discretion of the owner.

Guidance:

If information about private matters and Agency business appears in the same document, the document should be copied at the time of receipt, with the personal information deleted, and treated as a federal record.

Personal papers must be clearly designated as such and at all times be maintained separately from the Agency's records. The use of a label such as "personal," "confidential," "private," or similar designation, is not sufficient to determine that materials are personal papers. Even though they may have designations such as "personal," the materials are federal records subject to the

provisions of pertinent laws and regulations (1) if they are created or received by the Agency to conduct government business and (2) if they are preserved or appropriate for preservation because they document the Agency's organization, functions, and activities or contain information on the persons, places, things, or matters dealt with by the Agency.

For Nonrecords, see EPA 0008.

Reasons for Disposition:

Personal papers are identified in 36 CFR Section 1222.36. NARA guidance states "...personal papers may be destroyed or removed at the owner's discretion."

Custodians:

Multiple units

Related Schedules:

EPA 0008

Previous NARA Disposal Authority:

Entry: 10/19/2004

EPA Approval: Not applicable

NARA Approval: Not applicable

EPA Records Schedule 1001

Status: Final, 12/31/2013

Title: Safety and Health

Program: Safety and Health

Applicability: Agency-wide

Function: 401 - Administrative Management

NARA Disposal Authority:

- DAA-0412-2012-0002-0001 (Item a)
- DAA-0412-2012-0002-0002 (Item b)

Description:

This schedule covers records related to the activities to establish and develop internal safety, health, and environmental management program policies, management and administrative systems, program models, and operating policies that address the mission-oriented activities throughout the Agency at Agency offices, laboratories, field sites, research vessels, and diving operations. Includes records related to the evaluation of working conditions and resolving occupational and environmental risks and hazards, including strategies to reduce the Agency's internal use of chemicals and its volume of hazardous waste. Also includes records related to on-site investigations, audits, and program evaluations of current space as well as new construction, renovation, lease and closure plans to determine compliance with statutory and regulatory mandates; development and monitoring of corrective actions; and managing the wellness center, health unit, and activities of the labor/management inspection team.

Excludes: records contained in the employee medical folder and medical monitoring records.

Disposition Instructions:

Item a: Property safety inspections

Includes, but is not limited to:

- Reports of surveys and inspections of government-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents; and
- Safety inspections for EPA real and personal property.

  NARA Disposal Authority: DAA-0412-2012-0002-0001

- **Disposable**
- Close after sale, release, or disposal of property.
- Destroy 7 years after file closure.

Item b: Other safety and health records

Includes, but is not limited to:

- Health and safety training;
- Industrial hygiene files;
- Reports and related records concerning investigations of fires, explosions and accidents, consisting of retained copies when the original reports are submitted for review and filing in other agencies or organizational elements, and reports and related records concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements; and
- Safety standards and practices, including safe location design, layout, equipment, and construction of Agency facilities and other areas requiring safety standards.

  NARA Disposal Authority: DAA-0412-2012-0002-0002

- **Disposable**
- Close at end of calendar year, or when superseded or obsolete.
- Destroy 5 years after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Medical monitoring records - Medical exposure and monitoring records, previously covered by schedule 0584, will be scheduled separately. The employee medical folder is covered by schedule 0566.

Reasons for Disposition:

This schedule combines and consolidates previously approved EPA and GRS schedule items.

Custodians:

Multiple units

Related Schedules:

EPA 0566, EPA 0584

Previous NARA Disposal Authority:

Previous NARA disposal authorities can be found at: http://intranet.epa.gov/records/schedule/consolidation/files/1001_Safety_and_health_crosswalk.docx.

Entry: 03/23/2011

EPA Approval: 07/09/2012

NARA Approval: 12/05/2012

EPA Records Schedule 1003

Status: Final, 12/31/2019

Title: Grants and Other Program Support Agreements

Program: All Programs, with exceptions

Applicability: Agency-wide

Function: 205 - Federal Financial Assistance

NARA Disposal Authority:

- DAA-0412-2013-0008-0001 (Item a)
- DAA-0412-2013-0008-0002 (Item b)
- DAA-GRS-2013-0008-0006 (Item c)

Description:

This schedule covers records of activities related to management and oversight of grants and other program support agreements with other federal, state, or local government agencies, universities, nonprofit organizations, tribes, and other institutions that support EPA's environmental programs.

Excludes: Superfund and oil spill site-specific grants; and final deliverables and reports.

Disposition Instructions:

Item a: Waste water construction and state revolving fund grants

Includes: records related to the administration of waste water construction and state revolving fund grants to states, municipalities, inter-municipal or interstate agencies for the construction of publicly owned treatment works, including documentation of significant actions and decisions, justifications, cost estimates, scopes of work, correspondence, applications, pre-award reviews, funding decisions, award documentation, commitment notices, audit records, status reports, requests for deviations from established assistance policies and procedures submitted by award officials, and related records.

NARA Disposal Authority: DAA-0412-2013-0008-0001

- **Disposable**
- Close upon closeout of the agreement.
- Destroy 20 years after file closure.

Item b: Other grants and program support agreements

Includes all grants except waste water construction and state revolving fund grants covered by item a above; and Superfund and oil-spill site-specific grants covered by schedule 1036.

Includes, but is not limited to:

- Grant and other agreement oversight records, including correspondence, reports, policies and procedures, and other documentation related to post-award monitoring, evaluation, disputes, audits, and other oversight records;
- Grant appeals consisting of notices of appeal and any requests for reconsideration, appeal file documents and exhibits, correspondence, legal briefs, statements, memoranda, transcripts of any hearings held, orders and decisions, and related documents; and
- Grants and other program support agreements such as assistance agreements, cooperative agreements, interagency agreements, agreements for "guest" workers, and other types of agreements administered by headquarters or other EPA offices and that provide for research, demonstration projects, training, fellowships, investigations, surveys, studies, or other types of program support activities, support documentation such as documentation of significant actions and decisions, announcements and solicitations of funding opportunities, justifications, requests and justifications for the non-competitive award of agreements, cost estimates, scopes of work, correspondence, applications, pre-award reviews, funding decisions, award documentation, evaluations of proposals and applications, conflict of interest documentation, requests for deviations from established assistance policies and procedures submitted by award officials, and related records (excluding Superfund and oil spill site-specific records).

  NARA Disposal Authority: DAA-0412-2013-0008-0002

- **Disposable**
- Close upon closeout of the agreement or when action is completed.
- Destroy 10 years after file closure.

Item c: Unsuccessful grant applications

Includes: unsuccessful grant application files, including applications, proposals, correspondence, and other records related to unsuccessful (e.g., rejected, withdrawn, not selected for award under a competition) applications and unsolicited proposals that are not accepted for award.

NARA Disposal Authority: DAA-GRS-2013-0008-0006

- **Disposable**
- Close after rejection or withdrawal.
- Destroy 3 years after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in

accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Agreement closeout – Agreement closeout is when EPA determines all administrative actions and required work is completed (submission of the final expenditure report) or when the agreement is terminated or annulled and any disputes settled. Final closeout documentation may consist of an internal EPA memo. In the case of treatment works which are privatized (Executive Order 12803, dated April 30, 1992), documentation needs to be maintained until grant money is repaid or it is determined that no repayment is due.

Record copies:

- The Grants Administrator (also called the Grants Management Officer), Grant Project Officer, and Financial Management Officer are responsible for the record copies of grant records and implementing the disposition. Records may include unique program files maintained by the grant project officer or client or technical representative and documentation relating to the assistance agreement competitions. All other copies may be destroyed when no longer needed.
- Examples of records kept by the Grants Management Officer (Grants Specialist) include: applications; reviews and amendments related to the application; administrative review checklist; certifications; agreements and any amendments; award documentation including documentation supporting the decision to make an award; requests for deviations; stop work orders; documentation relating to termination actions; disputes and appeals, annulments and audits; legal opinions; increases and decreases; correspondence; and other related documents.
- Examples of records kept by the Program Office (Project Officer) include: documents used for day-to-day technical assistance for the grant or interagency agreement such as draft and final products and deliverables; work plans and progress reports; draft documents and comments provided or other records of technical direction; copies of applications, awards, amendments and other administrative and financial documents; documentation related to the competition of assistance agreements including announcements, correspondence with applicants, evaluation and selection documentation, and other documents related to the selection or non-selection of applications for award of an agreement; and documents related

to requests and justifications for the non-competitive award of assistance agreements and disputes.
- Examples of records kept by the Financial Management Officer include: reimbursement requests, payment vouchers, payment files, federal cash transaction reports; copies of financial status report and other related documents.
- Grants Specialists and Grants Management Officers should maintain a record of all evaluative on-site visits and/or desk review protocols and reports in the official project files.
- The GMOs receive final certification of project completion from project officers. The GMOs are responsible for requesting final audits, if applicable and required for closeout.
- The office issuing the decision on a grant appeal is the office responsible for maintaining the record copy.

EPA Policy on Compliance, Review and Monitoring -See EPA Order 5700.6 - Policy on Compliance, Review and Monitoring for additional information on EPA's post-award grant policies and procedures.

Audits, appeals, and other kinds of legal actions - Grants and agreements that are being audited, appealed, or in any other kind of legal action cannot be destroyed until the case is closed.

Superfund and oil spill site-specific grants - This schedule covers all grants except site-specific grants and other program support agreements for Superfund and oil spills which are covered by schedule 1036.

Final deliverables and reports – Copies of significant final deliverables and reports for grants related to EPA’s environmental missions (except for Superfund and oil site-specific final deliverables and reports covered by schedule 1036) are covered by schedule 1035 item a and transferred to the National Archives according to the disposition instructions. If collections of final deliverables and reports are administrative in nature, not related to EPA's environmental missions, and are maintained separately from the grant files, they are covered by schedule 1006 item b.

Reasons for Disposition:

The following change was made in the 12/31/2019 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following changes were made in the 04/30/2017 version:

- Removed references to Brownfields grants as exceptions in item b and guidance.

The following change was made in the 07/31/2016 version:

- Revised guidance on final deliverables and reports.

The following change was made in the 05/31/2015 version:

- Added "with exceptions" to Program, and added exceptions to item b.

The following change was made in the 12/31/2014 version:

- Updated disposition authority number for item c to conform to revised General Records Schedule.

The following changes were made in the 12/31/2013 version:

- Moved from draft status to final.
- Added NARA approval date.

This schedule combines and consolidates previously approved EPA and GRS schedule items.

Custodians:

Multiple units

Related Schedules:

EPA 1006, EPA 1035, EPA 1036

Previous NARA Disposal Authority:

Previous NARA disposal authorities can be found at:
http://intranet.epa.gov/records/schedule/consolidation/files/1003_Grants_crosswalk.docx.

Entry: 09/12/2012

EPA Approval: 04/11/2013

NARA Approval: 09/18/2013

EPA Records Schedule 1004

Status: Final, 12/31/2019

Title: Acquisitions and Contracts

Program: All Programs

Applicability: Agency-wide

Function: 405 - Supply Chain Management

NARA Disposal Authority:

- DAA-0412-2013-0014-0001 (Item a)
- DAA-0412-2013-0014-0002 (Item b)
- DAA-0412-2013-0014-0004 (Item d)
- DAA-0412-2013-0014-0005 (Item e)

Description:

This schedule covers records of activities related to management and oversight of the acquisition of goods and services.

Excludes: Superfund, Brownfields, and oil spill site-specific acquisitions and contracts, and final deliverables and reports.

Disposition Instructions:

Item a: FAIR records, protests, disputes, and appeals

Includes, but is not limited to:

- Protests, disputes, appeals, written memoranda of arguments, legal briefs (if any filed), transcripts of any hearings held, correspondence, decisions, and related records; and
- Federal Activities Inventory Reform (FAIR) Act records documenting the implementation of Office of Management and Budget (OMB) Circular No. A-76, Performance of Commercial Activities, including inventories, reviews, consultations, summary reports, commercial activity codes, challenges, appeals, decisions, planning documents, public announcements, accountability statements, cost calculations, and performance measures.

  NARA Disposal Authority: DAA-0412-2013-0014-0001

- **Disposable**
- Close when action is completed, or contract is completed or terminated.

- Destroy 10 years after file closure, or if filed with related records (e.g., the contract) destroy with the related records, whichever is later.

Item b: Routine acquisitions and contracts

Includes, but is not limited to:

- Administrative reports and data relating to procurement operations;
- Canceled solicitations for formal solicitations of offers to provide products or services that were canceled prior to award of a contract, including invitations for bids, requests for proposals (RFPs), requests for quotations (RFQs), presolicitation documentation on the requirement, any offers that were opened prior to the cancellation, documentation on any government action up to the time of cancellation, and evidence of cancellation;
- Contract management records for program related procurements (e.g., environmental modeling) as well as administrative procurements (e.g., guard services) and maintained by contracting officers (COs) and contracting officer's representatives (CORs), including correspondence and other documents related to the award, administration, receipt, inspection, payment, review, and audit of contracts (excludes Superfund, Brownfields, and oil spill site-specific contracts covered by schedule 1036);
- Data submitted to the Federal Procurement Data System (FPDS) (Note: Applies to electronic records only, but does not cover data in the FPDS, which is scheduled by GSA);
- Routine procurement files documenting the acquisition of goods and non-personal services (e.g., printing services) maintained by the procurement organization, including purchase documents such as purchase requisitions, travel and training authorizations, credit card and bank card slips, direct deposit forms for vendors, specifications, bids, schedules of delivery, initiating requisitions, records of receipt, inspection, and payment; and
- Solicited bids and proposals when filed separately from the contract files.

  NARA Disposal Authority: DAA-0412-2013-0014-0002

- **Disposable**
- Close when activity completed or contract is completed or terminated.
- Destroy 6 years after file closure.

Item c: (Reserved)

Item d: Short term acquisitions records

Includes, but is not limited to:

- Contractor's payrolls submitted under construction contracts in accordance with Department of Labor regulations (29 CFR 5.5(a)(3)), with related certifications, anti-kickback affidavits, and other related records;
- Purchase card logs and supporting documentation; and
- Small and disadvantaged business utilization records, including correspondence, reports, studies, goal statements, and related records.

NARA Disposal Authority: DAA-0412-2013-0014-0004

- **Disposable**
- Close after contract completion unless contract performance is the subject of an enforcement action on that date, or when no longer needed for current agency business, or at end of fiscal year.
- Destroy 3 years after file closure.

Item e: Other acquisitions records

Includes, but is not limited to:

- Bids and proposals that are both unsolicited and the subject of no further agency action;
- Lists or card files of acceptable bidders; and
- Other copies of routine procurement files used by component elements of a procurement office for administrative purposes, including documents pertaining to the contractor as described in FAR 4.801(c)(3).

NARA Disposal Authority: DAA-0412-2013-0014-0005

- **Disposable**
- Close when superseded or obsolete, or no longer needed for current agency business.
- Destroy after file closure.

Item f: (Reserved)

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

FAIR records - FAIR records maintained by offices other than the Office of Administration and Resources Management are covered by schedule 1006 item b.

Successful bids and proposals - Successful bids and proposals are filed with the related contract records and follow the disposition instructions for the related contracts.

Purchase cards - Employees making purchases using the U.S. Government Purchase Card system are responsible for maintaining the documentation according to the disposition instructions for item b.

Site-specific acquisitions and contracts - Records related to Superfund, Brownfields, and oil spill site-specific funding or payment require special handling and are covered by schedule 1036. Contracts that are not site specific are covered by this schedule. The contract-level COR is responsible for determining whether the contract is covered by this schedule or the site-specific schedule.

Final deliverables and reports - Copies of significant final deliverables and reports for contracts related to EPA's environmental missions (except for Superfund, Brownfields, and oil site-specific final deliverables and reports covered by schedule 1036) are covered by item a of schedule 1035 and transferred to the National Archives according to the disposition instructions. If collections of final deliverables and reports for contracts are administrative in nature, not related to EPA's environmental missions, and are maintained separately from the contract files, they are covered by schedule 1006 item b.

Unopened bids for canceled solicitations - Unopened bids for canceled solicitations (formerly item f) should be returned to the bidder.

Contracting officers and CORs - Contracting officers and CORs should work together to determine who is responsible for maintaining specific documents to minimize duplication while still providing an adequate audit trail. The following are general guidelines:

- Contracting Officer (CO) - Record copy of RFPs; successful bids and proposals; contract and modifications; copies of financial and payment documents; contract specifications, drawings or manuals incorporated into the contract by reference; performance evaluations; technical and financial progress reports; statements of work (SOWs) and level of effort (LOE) documents; COR designations; notices to proceed, stop work or correct deficiencies; and related documents.
- Contract-level COR - Supporting documentation of performance evaluations, technical and financial progress reports, invoices and invoice approvals.
- Other CORs - Record copy of documents used for day-to-day technical direction of the task order or work assignment. Documents include work plans and schedules, amendments and/or modifications, draft deliverables submitted by the contractor, comments provided to the contractor or other records of technical direction, contract monitoring logs and communication records, cost estimates, meeting records and notes, evaluation forms, supporting documentation for statements of work (SOWs) and level of effort (LOE) documents, amendments and modifications, invoices and invoice approvals.

Contract completion - A contract is complete after final payment for the overall contract is made, or the contract is terminated.

Reasons for Disposition:

The following change was made in the 12/31/2019 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following changes were made in the 11/30/2016 version:

- Moved unsolicited bids and proposals from item b to item e to conform to GRS 1.1.
- Added note to item b regarding data submitted to the Federal Procurement Data System to conform to GRS 1.1.
- Corrected statement in guidance about purchase card documentation for employees making purchases.

The following change was made in the 07/31/2016 version:

- Revised guidance on final deliverables and reports.

The following changes were made in the 02/29/2016 version to conform to NARA General Records Schedule (GRS) transmittal 24 and the Federal Acquisition Regulations (FAR) 4.805 issued December 4, 2015:

- Revised item a.
- Deleted item c and combined with item b; revised item b instructions.
- Revised item d and combined some bullets with item b.
- Removed obligation copies, which was rescinded, from item e.

The following change was made in the 03/31/2015 version:

- Added guidelines for records maintenance by COs and CORs.

The following change was made in the 01/31/2015 version:

- Deleted item f for unopened bids for canceled solicitations due to revision of NARA's General Records Schedule, transmittal 23.

The following change was made in the 01/31/2014 version:

- Revised wording for simplified acquisition threshold and construction contracts in items b and d.

The following changes were made in the 12/31/2013 version:

- Moved from draft status to final.
- Added NARA approval date.

This schedule combines and consolidates previously approved EPA and GRS schedule items.

Custodians:

Multiple units

Related Schedules:

EPA 1006, EPA 1035, EPA 1036

Previous NARA Disposal Authority:

Previous NARA disposal authorities can be found at:
http://intranet.epa.gov/records/schedule/consolidation/files/1004_Acquisitions_crosswalk.docx.

Entry: 10/25/2012

EPA Approval: 07/09/2012

NARA Approval: 09/18/2013

EPA Records Schedule 1005

Status: Final, 07/31/2017

Title: Financial Management

Program: Financial Management

Applicability: Agency-wide

Function: 402 - Financial Management

NARA Disposal Authority:

- DAA-0412-2013-0020-0001 (Item a)
- DAA-GRS-2013-0003-0001 (Item b)
- DAA-0412-2013-0020-0003 (Item c)
- DAA-0412-2013-0020-0004 (Item d)
- General Records Schedule 2/1b (Item e)
- General Records Schedule 2/7 (Item f)

Description:

This schedule covers records of activities related to use of financial information to measure, operate and predict the effectiveness and efficiency of an entity's activities in relation to its objectives. Includes records related to: accounting for assets, liabilities, fund balances, revenues and expenses associated with the maintenance of federal funds and expenditure of federal appropriations (salaries and expenses, operation and maintenance, procurement, working capital, trust funds, etc.), in accordance with applicable federal standards; management of the federal budget process including the development of plans and programs, budgets, and performance outputs and outcomes as well as financing federal programs and operations through appropriation and apportionment of direct and reimbursable spending authority, fund transfers, investments and other financing mechanisms; disbursements of federal funds, via a variety of mechanisms, to federal and private individuals, federal agencies, state, local and international governments, and the private sector to effect payment for goods and services, or distribute entitlements, benefits, grants, subsidies, loans, or claims.

Disposition Instructions:

Item a: Budget records

Includes, but is not limited to:

- Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation;

- Background records, cost statements, rough data and similar working papers accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related apportionment language sheets, narrative statements, copies of transcripts of congressional budget hearings, and related documents; and
- Reports generated and received throughout the budget process, including copies of the annual budget, as well as periodic reports on the status of appropriation accounts and apportionment and documents authorizing new or revised budget allowances to programs (excludes the record copy of the annual budget submitted to the Administrator, the Office of Management and Budget (OMB), and the President which is permanent and covered by schedule 299, item c(1)).

  NARA Disposal Authority: DAA-0412-2013-0020-0001

- **Disposable**
- Close at end of fiscal year covered by the budget or when no longer needed for current agency business.
- Destroy 5 years after file closure.

Item b: Financial transaction records

Includes, but is not limited to, records related to procuring goods and services, paying bills, collecting debts, and accounting:

- Accountable officers' files maintained by the Agency for site audit by the Government Accountability Office (GAO) auditors, consisting of statements of transactions, statements of accountability, collection schedules and vouchers, disbursement schedules and vouchers, and all other schedules and vouchers, or documents used as schedules or vouchers (excludes commercial freight charges for services for fiscal accounts that are not settled and payroll records covered by other items in this schedule);
- Appropriation allotment files, showing status of obligations and allotments under each authorized appropriation;
- External accounting reports as required by government-wide regulations; and
- General accounting ledgers, showing debit and credit entries, and reflecting expenditures in summary.

  NARA Disposal Authority: DAA-0412-2013-0020-0002

- **Disposable**
- Close after final payment or cancellation, or when end of fiscal year has occurred, or when fiscal year close-out activities are concluded, or when period covered by the account has ended.
- Destroy 6 years after file closure.

Item c: Payroll support

Includes: employee status reports for employee's statement data, prepared biweekly, quarterly, and annually.

NARA Disposal Authority: DAA-0412-2013-0020-0003

- **Disposable**
- Close at end of pay cycle.
- Destroy 56 years after file closure.

Item d: Payroll records not covered elsewhere

Includes, but is not limited to:

- Combined Federal Campaign and other allotment authorizations, such as union dues and savings;
- Leave application files, if employee has not electronically submitted their time card or equivalent;
- Payroll control consisting of worksheets, reconciliation reports, redistribution of disbursement between appropriations, and related records; and
- Payroll system reports, including error reports, ticklers, system operation reports, reports and data used for workload and/or personnel management purposes.

NARA Disposal Authority: DAA-0412-2013-0020-0004

- **Disposable**
- Close after GAO audit or when 3 years old, whichever is sooner.
- Destroy immediately after file closure.

Item e: Individual employee pay record

Includes: individual employee pay folders consisting of payroll allotments, state tax forms, and related records.

NARA Disposal Authority: General Records Schedule 2/1b

- **Disposable**
- Close after employee leaves the Agency.
- Transfer to the National Personnel Records Center. Destroy 56 years after file closure.

Item f: Time and attendance source records

Includes: source records consisting of forms for payroll processing.

NARA Disposal Authority: General Records Schedule 2/7

- **Disposable**
- Close after GAO audit or when 6 years old, whichever is sooner.
- Destroy after file closure.

Item g: (Reserved)

Item h: (Reserved)

Guidance:

Media neutral – This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Leave application files - Leave application files, formerly covered by schedule 0279 items a(1) and a(2) (GRS 2/6a and 6b), are supporting documentation for time and attendance records and covered by item f of this schedule. Leave records prepared upon transfer or separation, formerly covered by schedule 0279 item b(1) (GRS 2/9a) are filed on the right side of the official personnel folder (OPF). Leave records maintained by the creating office, formerly covered by schedule 0279b(2) (GRS 2/9b), are covered by schedule 1006, item b. The record copy of electronic leave forms submitted for approval via the WebForms system or similar systems (covered by schedule 0004) do not need to be printed and can be maintained electronically according to the disposition instructions for item f.

The EPA Payroll System (EPAYS) is scheduled as EPA 0573, and PeoplePlus as EPA 0300. The record copy of the annual budget submitted to the Administrator, OMB, and the President is covered by schedule 0299, item c(1).

Reasons for Disposition:

The following change was made in the 07/31/2017 version:

- Revised second bullet of item a to replace "similar materials" with "similar working papers."

The following changes were made in the 04/30/2017 version:

- Revised the title, file closure, and retention of item b to conform to GRS 1.1 item 010, transmittal 27 issued January 2017.

- Deleted item g to confirm to GRS 1.1 item 010.
- Deleted item h which was rescinded in GRS transmittal 27.

The following change was made in the 01/31/2015 version:

- Updated GRS disposal authority numbers for items g and h due to revision of NARA's General Records Schedule, transmittal 23.

This schedule combines and consolidates previously approved EPA and GRS schedule items.

Custodians:

Multiple units

Related Schedules:

EPA 0299, EPA 0300, EPA 0573, EPA 1006

Previous NARA Disposal Authority:

Previous NARA disposal authorities can be found at: http://intranet.epa.gov/records/schedule/consolidation/files/1005_Financial_Management_Crosswalk.docx.

Entry: 11/07/2012

EPA Approval: 08/07/2013

NARA Approval: Varies

EPA Records Schedule 1006

Status: Final, 08/31/2021

Title: Administrative Management

Program: All Programs

Applicability: Agency-wide

Function: 401 - Administrative Management

NARA Disposal Authority:

- DAA-0412-2013-0011-0001 (Item a)
- DAA-0412-2013-0011-0002 (Item b)
- DAA-0412-2013-0011-0003 (Item c)
- DAA-0412-2013-0011-0004 (Item d)
- DAA-GRS-2017-0003-0001 (Item e)
- DAA-GRS-2013-0002-0015 (Item f)
- DAA-GRS-2017-0003-0002 (Item g)
- DAA-GRS-2019-0003-0001 (Item h)

Description:

This schedule covers records related to the day-to-day management and maintenance of the internal infrastructure. Includes records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists, such as general correspondence, controlled correspondence and calendars for employees other than senior officials; committee and internal staff meeting records; EPA form development records; final deliverables and reports for administrative activities; routine mission and operational program management records, such as activity and progress reports, statistical and workload reports, records management documentation, workload and timekeeping records maintained by timekeepers and other employees; reading files; mailing lists; reminders to take action; and similar records.

Disposition Instructions:

Item a: Controlled and major correspondence for employees other than senior officials

Senior officials include Presidential appointees, Deputies (e.g., Principal, Assistant, etc.) and Special Counsels or Trusted Advisors of Presidential appointees, and Senior Executive Service (SES) employees.

NARA Disposal Authority: DAA-0412-2013-0011-0001

- **Disposable**
- Close at end of calendar year or when no longer needed for current agency business.
- Destroy 10 years after file closure.

Item b: Other administrative management records

Includes, but is not limited to:

- Calendars, schedules, and logs of daily activities containing substantive information regarding daily activities for federal employees other than senior officials;
- Committee and internal staff meeting records, including agendas, meeting arrangements and minutes, final reports and related records created by or documenting the accomplishments of intra-agency and internal committees and workgroups;
- Copies and background materials related to Circular No. A-76 maintained by offices other than the office having primary responsibility:
- EPA forms and supporting materials showing inception, scope and purpose;
- Final deliverables and reports related to administrative activities;
- General correspondence files, including non-controlled correspondence relating to work assignments, personnel needs, and other routine activities of the office;
- Program management files maintained by other than senior officials related to the on-going management of mission and operational programs and projects, including correspondence, staff meeting records, routine office procedures, reports related to general policy and program matters (e.g., Superfund Comprehensive Accomplishment Plan (SCAP) reports), oversight reviews, interagency activities, routine management of environmental management systems (EMS), and project files showing assignments, progress, and completion of projects;
- Records management documentation, including records inventories, records disposal, requests for disposition authority, transfer authorizations;
- Routine office management records, including activity, progress, statistical, and workload reports, office staffing, procedures, communications, services (e.g., printing, post office, private mail, delivery, transportation and freight companies), supplies and equipment, expenditure and disbursement of funds (e.g., employee transportation subsidies), budget papers; and
- Time and attendance source and leave records maintained by timekeepers, including time and attendance records such as time or sign-in sheets, flexitime records (e.g., biweekly maxiflex schedules), leave applications for jury and military duty, authorizations for premium pay or overtime, supervisor time sheet certifications, and related documents.

  NARA Disposal Authority: DAA-0412-2013-0011-0002

- **Disposable**
- Close when discontinued, superseded, or canceled, or when no longer needed for current agency business.
- Destroy 6 years after file closure.

Item c: Reading files

Includes reading or "chron" files used for convenience of reference.

NARA Disposal Authority: DAA-0412-2013-0011-0003

- **Disposable**
- Close at end of calendar year.
- Destroy 1 year after file closure.

Item d: Short-term administrative management records

Includes, but is not limited to:

- Ad hoc printouts that do not contain substantive information, such as substantive annotations, that are not included in the electronic records;
- Contact and mailing list source records such as correspondence and request forms;
- General information request files including requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research, and including acknowledgements, replies, and referrals of inquiries to other offices for response;
- Time and attendance convenience copies held by employees; and
- Word processing files, spreadsheets, and electronic mail after the record copy is placed into a recordkeeping system.

NARA Disposal Authority: DAA-0412-2013-0011-0004

- **Disposable**
- Close when no longer needed for current agency business.
- Destroy 90 days after file closure.

Item e: Transitory records

Records required only for a short time (generally less than 180 days) **and** that are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making.

Includes, but is not limited to:

- Messages coordinating schedules, appointments, and events;
- Transmittal documents such as e-mail, letters, cover memos, and facsimile cover sheets that do not provide evidence of approval, concurrence, or decision-making, or include substantive comments;
- Received copies of circulated internal information such as agency instructions, notifications, circulars, newsletters, and email blasts to employees;
- Messages received from agency distribution lists or listservs; and
- “To-do” or task lists and assignments.

NARA Disposal Authority: DAA-GRS-2017-0003-0001

- **Disposable**
- Close when no longer needed for business use, or according to agency predetermined time period or business rule.
- Destroy immediately after file closure.

Item f: Copies of vital records

Includes copies of records deemed essential to restore agency functions in case of emergency.

NARA Disposal Authority: DAA-GRS-2013-0002-0015

- **Disposable**
- Close when superseded by the next cycle.
- Destroy immediately after file closure.

Item g: Intermediary records

Records of an intermediary nature, meaning that they are created or used in the process of creating a subsequent record. To qualify as an intermediary record, the record must also not be required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making.

Includes, but is not limited to:

- Non-substantive working files: collected and created materials not coordinated or disseminated outside the unit of origin that do not contain information documenting significant policy development, action, or decision making. These working papers do not result directly in a final product or an approved finished report. Included are such materials as rough notes and calculations and preliminary drafts produced solely for proof reading or internal discussion, reference, or consultation, and associated transmittals, notes, reference, and background materials;
- Audio and video recordings of meetings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created);
- Dictation recordings;
- Input or source records, which agencies create in the routine process of creating, maintaining, updating, or using electronic information systems and which have no value beyond the input or output transaction: hardcopy input source documents where all information on the document is incorporated in an electronic system (see guidance for exclusions) and electronic input source records such as transaction files or intermediate input/output files;
- Ad hoc reports, including queries on electronic systems, whether used for one-time reference or to create a subsequent report;
- Data files output from electronic systems, created for the purpose of information sharing or reference (see guidance for exclusions).

NARA Disposal Authority: DAA-GRS-2017-0003-0002

- **Disposable**
- Close upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later.
- Destroy immediately after file closure.

Item h: Validation records for digitized temporary records

Records used to document (validate) that the digitized versions of temporary records are of suitable quality to replace original source records (per 36 CFR Part 1236.34).

Includes, but is not limited to:

- Standards and procedures records used to document that the agency has met validation process requirements, such as: quality management plans describing quality assurance objectives; quality control (QC) protocols; format-specific instructions;
- Records documenting validation actions, such as: equipment calibration and test reports; image quality testing results; QC plans, procedures, and reports.

Excludes the original source records that have been digitized and validated, which are covered by item g. See guidance for additional information.

NARA Disposal Authority: DAA-GRS-2019-0003-0001

- **Disposable**
- Close the validation documentation associated with each record that has been digitized when the newly electronic records are destroyed, per the previously approved schedule.
- Destroy immediately after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site.

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with

caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Senior officials - Records of senior officials are covered by schedule 1051. The senior official's role is defined by position and not by the person holding the position. If someone is acting in a senior leader's position, the records are permanent and covered by schedule 1051 item a.

Calendars - Portions of calendars that do not pertain to official Agency business may be personal papers. Personal items may be redacted prior to submittal. For instructions on determining whether a specific item is a record or a personal paper, see Agency and federal guidance. If the record copy of a calendar is maintained in paper format, the Lotus Notes "calendar list" or the "print detailed agenda calendar" option in Outlook is recommended for printing. Instructions for capturing electronic calendars maintained in Lotus Notes or Outlook and saving them as records in EZ Email can be found at https://usepa.sharepoint.com/sites/oei/ermd/ECMS/SitePages/Guides(1).aspx. Calendars for senior officials are covered by schedule 1051.

Committees - The committee chair designates the records custodian who maintains the official copy of committee records and applies the disposition instructions. Records maintained by the sponsor or secretariat of advisory commissions, committees, councils, boards, and other groups established under the Federal Advisory Committee Act (FACA) are covered by schedule 1035. Records for international committees held by the U.S. member or representative, when the U.S. is not the sponsor or secretariat, must be scheduled separately.

Correspondence - If the record copy of controlled and major correspondence is placed in the Correspondence Management System (CMS), the paper may be destroyed after the completion of quality assurance. Since CMS interfaces with EPA's electronic recordkeeping system, retention in CMS is managed via the electronic recordkeeping system. CMS is covered by schedule 0077.

Finding aids and indexes - Indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction are to be filed with their related records, and retained according to the disposition instructions for the records they support.

Forms - The Forms Officer in the Office of Administration and Resources Management, Office of Administrative Services, Facilities Management and Services Division (OARM/OAS/FDMS) is responsible for the disposition of the record copy of internal Agency-wide forms. The Forms Officer in the Office of Environmental Information, Office of Information Collection, Information Strategies Branch (OEI/OIC/ISB) is responsible for external forms, e.g., Information Collection Request (ICR) forms. Maintenance and disposition of forms and supporting materials developed by individual programs or offices that are not used Agency-wide is the responsibility of the program or office Forms Owner.

Forms, mailing lists, indexes and ad hoc printouts needed to provide documentation of specific activities or transactions are to be filed with their related records, and retained according to the disposition instructions for the records they support.

Email - Information on electronic mail (email) systems which is necessary to document Agency activities and meets the definition of a record must be moved or copied onto another medium (e.g.,

electronic or paper recordkeeping system) and filed or maintained in organized files. Copies of email maintained in other files (e.g., controlled and major correspondence) are to be disposed of in accordance with the disposition instructions for the related records. Additional guidance on email records can be found at: https://usepa.sharepoint.com/sites/oei/ermd/nrmp/SitePages/faqs/email.aspx.

Time and attendance and leave records - Time and attendance source records maintained by Payroll Management and Outreach Staff (PMOS) are covered by schedule 1005. Time and attendance records and leave records maintained by timekeepers and other staff in any format are covered by item b of this schedule. The record copy of electronic leave forms submitted for approval via WebForms or similar electronic forms systems (covered by schedule 0004) do not need to be printed and can be maintained electronically according to the disposition instructions for item b, with the exception of "mass approvals" of time and attendance which must be printed and filed in the recordkeeping system.

Federal Activities Inventory Reform (FAIR) Act records - FAIR records documenting the implementation of Circular No. A-76 maintained by OARM are covered by schedule 1004. Other copies are covered by item b of this schedule.

Employee training records - Records about designing, developing, and implementing routine, administrative employee training are covered in schedule 1029; mission-related training is covered by schedule 1022 item a.

Records management program records - Includes, but is not limited to, records management program surveys or evaluations; reports of surveys or evaluations; reports of corrective action taken in response to agency program surveys or evaluations; disposal authorizations, schedules, and reports; records schedules, legacy records schedules (SF 115, Request for Records Disposition Authority); SF 135, Records Transmittal and Receipt; OF 11, Reference Request; Transfer Request (TR); Legal Transfer Instrument (LTI); SF 258, Agreement to Transfer Records to the National Archives of the United States. Item b covers copies of the records schedule, transfer request, legal transfer instrument, and similar forms maintained by EPA—not the copies maintained by NARA.

Input or source records - Item g excludes the destruction of original hardcopy still pictures, graphic materials or posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings after they are digitized. In these cases, the records are covered by the previously approved schedule. Hardcopy or analog input and source records previously scheduled as permanent are covered by 1012 item f. The electronic version of unscheduled hardcopy input records must be scheduled prior to destroying the input record and after verifying successful conversion.

Data files output from electronic systems, created for the purpose of information sharing or reference - The following data files are excluded from item g and covered by the previously approved schedule: files created only for public access purposes; summarized information from unscheduled electronic records or inaccessible permanent records (e.g., corrupted, or in some other way unable to be opened or read); and data extracts produced by a process that results in the content of the file being significantly different from the source records effectively creating a new

database file significantly different from the original. Data extracts containing personally identifiable information (PII), which require additional tracking, are covered by 1049 item p.

Validation records for digitized temporary records - Digital surrogates (newly digitized records) are covered by the previously approved schedule. Validation records for digitized permanent records are excluded from item h.

Reasons for Disposition:

The following changes were made in the 08/31/2021 version:

- Revised title, description, NARA disposal authority, retention, and closure instructions for item e to conform to GRS 5.2, transmittal no. 28, issued July 2017.
- Added item g to conform to GRS 5.2, transmittal no. 28, issued July 2017.
- Added item h to conform to GRS 4.1, transmittal no. 30, issued December 2019.
- Added guidance on records management program records, intermediary records, and validation records for digitized temporary records.

The following changes were made in the 04/30/2017 version:

- Removed training materials from item b to conform to GRS 2.6, transmittal no. 27, issued January 2017.
- Added guidance on schedules that cover training records.

The following change was made in the 06/30/2016 version:

- Removed reference to EPA Senior Leaders Directory in the guidance.

The following changes were made in the 03/31/2016 version:

- Removed reference to EPA Senior Leaders Directory in item a description.
- Added general information requests to item d to conform to GRS 4.2 revision.

The following changes were made in the 11/30/2015 version:

- Removed 1st bullet from item e for routine information requests which will be added to another schedule to conform to GRS 4.2 revision.
- Added item f to conform to GRS 4.2 revision.

The following changes were made in the 10/31/2015 version:

- Moved from draft to final status.
- Added NARA approval date.

The following change was made in the 08/31/2015 version:

- Added information about senior officials to guidance.

The following changes were made in the 04/30/2015 version:

- Added the definition of a senior official to item a.
- Moved items from GRS 23/7 from item d to a new item e with a 180 day retention.

The following change was made in the 05/31/2014 version:

- Added guidance on saving calendars in electronic format.

This schedule combines and consolidates previously approved EPA and GRS schedule items.

Custodians:

Multiple units

Related Schedules:

EPA 0004, EPA 0077, EPA 1004, EPA 1005, EPA 1022, EPA 1029, EPA 1035, EPA 1051

Previous NARA Disposal Authority:

Previous NARA disposal authorities can be found at: https://usepa.sharepoint.com/sites/oei/ermd/nrmp/SitePages/schedules/consolidation/files/20160331_1006_Administrative_management.docx.

Entry: 03/23/2011

EPA Approval: 07/02/2013

NARA Approval: 10/16/2015

EPA Records Schedule 1007

Status: Final, 12/31/2019

Title: Facilities

Program: Facilities

Applicability: Agency-wide

Function: 401 - Administrative Management

NARA Disposal Authority:

- DAA-0412-2012-0004-0001 (Item a)
- DAA-0412-2012-0004-0002 (Item b)
- DAA-GRS-2016-0011-0002 (Item c)

Description:

This schedule covers records related to the acquisition and management of facilities, including design, layout, construction, maintenance, and lease and ownership agreements.

Disposition Instructions:

Item a: Real property records

Includes, but is not limited to:

- Leases and title papers (excludes abstracts and certificates of title which are scheduled below; and
- Real property records, including acquisition and disposal by purchase, condemnation, donation, exchange, or otherwise.

  NARA Disposal Authority: DAA-0412-2012-0004-0001

- **Disposable**
- Close after unconditional sale, disposal, or release by the Government of conditions, restrictions, mortgages, or other liens.
- Destroy 10 years after file closure.

Item b: Agency space and real estate project records

Includes, but is not limited to:

- Agency space records, including building plans, surveys, and other records used in space planning, assignment, and adjustment; and;
- Real estate project requests, including approvals, funds and payments, schedules, and related records; and
- Facility, space, and equipment inspection, maintenance, and service records, including repair and maintenance work orders, requisitions, and related papers; maintenance and inspection logs and reports; job orders, service call records, action sheets, and repair logs; and work, shop, or job schedules.

  NARA Disposal Authority: DAA-0412-2012-0004-0002

- **Disposable**
- Close at end of calendar year, or when project completed or terminated.
- Destroy 5 years after file closure.

Item c: Real property ownership records

Includes abstract or certificate of title documenting Federal real property ownership, surveys, easements, rights-of-way, and chain of title for property the Government acquired after December 31, 1920, by purchase, condemnation, donation, exchange, or otherwise.

NARA Disposal Authority: DAA-GRS-2016-0011-0002

- **Disposable**
- Close after unconditional sale, disposal, or release by the Government of conditions, restrictions, mortgages, or other liens.
- Transfer to new owner after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with

caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Personal property and vehicles - Personal property and vehicles are covered by schedule 1009.

Reasons for Disposition:

The following change was made in the 12/31/2019 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following changes were made in the 03/31/2017 version:

- Revised description.
- Added 3rd bullet to item b from NARA's GRS 5.4 item 070, transmittal 27 issued January 2017.
- Revised title of disposition item c to conform to GRS 5.4 item 020.
- Added cross reference in guidance.

This schedule combines and consolidates previously approved EPA and GRS schedule items.

Custodians:

Multiple units

Related Schedules:

EPA 1009

Previous NARA Disposal Authority:

Previous NARA disposal authorities can be found at:
http://intranet.epa.gov/records/schedule/consolidation/files/1007_Facilities_Crosswalk.docx.

Entry: 03/23/2011

EPA Approval: 07/09/2012

NARA Approval: 11/06/2012

EPA Records Schedule 1008

Status: Final, 02/28/2017

Title: Security

Program: Security

Applicability: Agency-wide

Function: 401 - Administrative Management

NARA Disposal Authority:

- DAA-0412-2013-0001-0001 (Item a)
- DAA-0412-2013-0001-0002 (Item b)
- DAA-0412-2013-0001-0003 (Item c)
- General Records Schedule 18/22b (Item d)
- DAA-GRS-2016-0004-0002 (Item f)

Description:

This schedule covers records related to security management, including the physical protection of an organization's personnel, assets, and facilities.

Excludes: activities related to securing data and information systems which are scheduled separately.

Disposition Instructions:

Item a: Routine security tracking records

Includes, but is not limited to:

- Employee credentials such as cards, badges, parking permits, permits to operate motor vehicles, visitors' passes;
- Guard force records such as facility checks, building and employee access records, round reports, patrol and alarm services, and arms distribution;
- Property passes authorizing removal of property or materials; and
- Rosters showing security clearance status of individuals.

  NARA Disposal Authority: DAA-0412-2013-0001-0001

- **Disposable**
- Close when authorization or access expires or terminates, or when superseded or obsolete, or no longer needed for current agency business.

- Destroy 2 years after file closure.

Item b: Facility security inspection records

Includes, but is not limited to:

- Facility risk assessments; and
- Surveys and inspections of facilities conducted to ensure adequacy of protective and preventive measures and to safeguard information and facilities against sabotage and unauthorized entry.

NARA Disposal Authority: DAA-0412-2013-0001-0002

- **Disposable**
- Close upon discontinuance of facility, or when security cognizance is terminated, whichever is sooner.
- Destroy 7 years after file closure.

Item c: Other security records

Includes, but is not limited to:

- Continuity of operations (COOP) plans and exercises, including background records such as essential records inventories and certifications;
- Guard force assignments and strength;
- Key and visitor control files;
- Personnel security clearance case files, including investigations of federal employees or applicants for federal employment, and other persons such as those performing work for EPA under contract;
- Police function records such as records of arrest, cars ticketed, outside police contacts, statements of witnesses, traffic violations; and
- Security briefings and education.

NARA Disposal Authority: DAA-0412-2013-0001-0003

- **Disposable**
- Close when case completed, or after final entry or last action, or when no longer needed for current agency business.
- Destroy 5 years after file closure.

Item d: Investigative reports furnished by other investigative organizations

NARA Disposal Authority: General Records Schedule 18/22b

- **Disposable**
- Close when case completed, or after final entry, or last action.
- Destroy according to the investigating agency's instructions.

Item e: (Reserved)

Item f: Employee emergency contact information

Includes, but is not limited to:

- Records used to account for and maintain communication with personnel during emergencies, office dismissal, and closure situations; including name and emergency contact information such as phone numbers or addresses, and responsibilities assigned to the individual during an emergency situation.

  NARA Disposal Authority: DAA-GRS-2016-0004-0002

- **Disposable**
- Close when superseded or obsolete, or upon separation or transfer of employee.
- Destroy after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Related records schedules - Security of data and information systems is covered by schedule 1012. Contracts for guard services, formerly covered by schedule item 0625a, are covered by schedule 1004. Access and protection of classified information and controlled unclassified information (CUI) (e.g., confidential business information (CBI)), formerly included in this schedule, is covered by schedule 1049. Copies of essential records are covered by schedule 1006, item f.

Reasons for Disposition:

The following changes were made in the 02/28/2017 version:

- Changed "vital" to "essential" in item c and guidance.
- Added item f to conform to GRS 5.3 issued January 2017.

The following changes were made in the 12/31/2015 version:

- Removed classified and controlled unclassified information from items a, c and d and moved them to schedule 1049 to conform to GRS 4.2 issued August 2015.
- Updated guidance and cross references.

This schedule combines and consolidates previously approved EPA and GRS schedule items.

Custodians:

Multiple units

Related Schedules:

EPA 1004, EPA 1006, EPA 1012, EPA 1049

Previous NARA Disposal Authority:

http://intranet.epa.gov/records/schedule/consolidation/files/1008_Security_Crosswalk.docx

Entry: 03/23/2011

EPA Approval: 10/04/2012

NARA Approval: 01/17/2013

EPA Records Schedule 1009

Status: Final, 12/31/2019

Title: Motor Vehicles and Personal Property

Program: All Programs

Applicability: Agency-wide

Function: 401 - Administrative Management

NARA Disposal Authority:

- DAA-GRS-2016-0011-0017 (Item a)
- DAA-GRS-2016-0011-0004 (Item b)
- DAA-GRS-2016-0011-0011 (Item c)
- DAA-0412-2012-0006-0002 (Item d)
- DAA-0412-2012-0006-0004 (Item f)
- DAA-GRS-2016-0011-0003 (Item g)

Description:

This schedule covers records related to the acquisition and management of motor vehicles, water vessels, equipment, and other personal property, including selection, ownership, maintenance agreements, licensing, and other requirements.

Disposition Instructions:

Item a: Vehicle and vessel accident and incident records

Includes, but is not limited to, records about vehicle and vessel accidents - land, water, and air - that vehicle management offices maintain, including Standard Form 91, Motor Vehicle Accident Report; Standard Form 94, Statement of Witness; Standard Form 95, Claim for Damage, Injury or Death; copies of investigative reports; and related records.

NARA Disposal Authority: DAA-GRS-2016-0011-0017

- **Disposable**
- Close when case is settled or terminated.
- Destroy 3 years after file closure.

Item b: Excess personal property, equipment, and vehicle records

Includes, but is not limited to, records created when disposing of excess or surplus personal property by sale, donation, or destruction, including excess property inventories and lists; lists and

other records identifying approved receivers of excess property; donation requests; destruction certificates; documentation of vehicle transfer by sale, donation, or exchange, including Standard Form 97, United States Government Certificate to Obtain Title to a Motor Vehicle; and related records.

NARA Disposal Authority: DAA-GRS-2016-0011-0004

- **Disposable**
- Close when property, equipment, or vehicle leaves EPA custody.
- Destroy 3 years after file closure.

Item c: Vehicle and equipment maintenance records

Includes, but is not limited to, records documenting inspection, maintenance, service, and repair activities relating to land vehicles, watercraft, and equipment, including work orders, service and repair requisitions, and logs; descriptions of provided service and repair; gas and oil consumption, dispatching, and scheduling; and operation of and maintenance for motor vehicles, boats, generators, trailers, and miscellaneous accountable property such as grouters, geo-probes, forklifts, frontend loaders, and similar equipment.

NARA Disposal Authority: DAA-GRS-2016-0011-0011

- **Disposable**
- Close at end of calendar year, or after vehicle or equipment leaves EPA custody.
- Destroy 3 years after file closure.

Item d: Other vehicle records

Includes, but is not limited to, individual employee use of government-owned vehicles and equipment (excluding accidents which are scheduled above), including driver tests, certifications, use authorization, safe driving/use awards; and motor vehicle cost data.

NARA Disposal Authority: DAA-0412-2012-0006-0002

- **Disposable**
- Close at end of calendar year, or after separation of employee or rescission of authorization to operate.
- Destroy 3 years after file closure.

Item e: (Reserved)

Item f: Other personal property records

Includes, but is not limited to, personal property accountability records such as custodian records, property registers and inventories, and reports of lost or stolen property.

NARA Disposal Authority: DAA-0412-2012-0006-0004

- **Disposable**
- Close at end of calendar year or after life of the property.
- Destroy 3 years after file closure.

Item g: Vehicle and equipment ownership records and operation manuals

Includes, but is not limited to, vehicle and equipment identification, registration, and warranty records; manuals and similar documentation, whether produced locally or by the manufacturer.

NARA Disposal Authority: DAA-GRS-2016-0011-0003

- **Disposable**
- Close when vehicle or item is transferred to new owner, destroyed, or excessed.
- If not transferred, destroy after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Examples of forms - Examples of forms covered by this schedule include, but are not limited to: SF 82 Agency Report of Motor Vehicle Data; SF 91 Motor Vehicle Accident; SF 94 Statement of Witness; SF 97 The United States Government Certificate to Obtain Title to a Motor Vehicle; SF 114 Sale of Government Property, Invitation, Bid, and Acceptance; SF 120 Report of Excess Personal Property; SF 121 Quarterly Report of Utilization and Disposal of Excess and Surplus Personal Property.

Related schedules - Property passes authorizing removal of property or materials are covered by schedule 1008 Security. Vehicle leases are covered by schedule 1004 Acquisitions and Contracts.

Reasons for Disposition:

The following change was made in the 12/31/2019 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following change was made in the 06/30/2017 version:

- Restored the personal property accountability portion of item f.

The following changes were made in the 03/31/2017 version:

- Revised description.
- Revised title and retention of item a to conform to GRS 5.4 transmittal 27 issued January 2017.
- Combined items b, e, and f as new item b, and revised retention to conform to GRS 5.4.
- Removed vehicle leases from item b and added it to guidance.
- Revised description and retention of item c to conform to GRS 5.4.
- Added item g to conform to GRS 5.4.

This schedule combines and consolidates previously approved EPA and GRS schedule items.

Custodians:

Multiple units

Related Schedules:

EPA 1004, EPA 1008

Previous NARA Disposal Authority:

Previous NARA disposal authorities can be found at: http://intranet.epa.gov/records/schedule/consolidation/files/1009_Motor_vehicles_and_personal_property_Crosswalk.docx.

Entry: 03/23/2011

EPA Approval: 10/02/2012

NARA Approval: 03/11/2013

EPA Records Schedule 1010

Status: Final, 12/31/2019

Title: Travel

Program: All Programs

Applicability: Agency-wide

Function: 401 - Administrative Management

NARA Disposal Authority:

- DAA-GRS-2013-0003-0002 (Item a)
- DAA-GRS-2017-0007-0013 (Item b)
- None (Item c)
- DAA-GRS-2017-0007-0014 (Item d)

Description:

This schedule covers records related to activities associated with planning, preparing, and monitoring business-related travel for EPA employees.

Disposition Instructions:

Item a: Travel records

Includes, but is not limited to:

- International, third-party, and invitational travel plans and reports; and
- Travel authorizations and expenses, including original receipts (excluding Superfund site-specific travel records which are scheduled separately).

  NARA Disposal Authority: DAA-GRS-2013-0003-0002

- **Disposable**
- Close at end of fiscal or calendar year.
- Destroy 6 years after file closure.

Item b: Application records

Includes records related to administering the application or renewal of official passports and visas, including: copies of passport and visa applications, passport and visa requests, special invitation letters, visa authorization numbers, courier receipts, and copies of travel authorizations.

NARA Disposal Authority: DAA-GRS-2017-0007-0013

- **Disposable**
- Close when employee separates or transfers, whichever is sooner.
- Destroy 3 years after file closure.

Item c: Official passports of transferred or separated agency personnel

NARA Disposal Authority: None

- **Disposable**
- Close when passport expires or employee separates.
- Transfer to new agency or return to the Department of State.

Item d: Official passport registers

Includes registers and lists of agency personnel who have official passports.

NARA Disposal Authority: DAA-GRS-2017-0007-0014

- **Disposable**
- Close when superseded or obsolete.
- Destroy after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Electronic travel system - This schedule covers the records in the electronic travel system. The electronic software program is a nonrecord and covered by schedule 0008, item a. The software documentation and electronic signature and verification data are covered by schedule 1012, item e.

Travel receipts - If original receipts are scanned into the electronic travel system, the originals are considered convenience copies and are destroyed when no longer needed unless the scanned version is illegible. If the scanned version is illegible, the original receipt(s) must be kept for the approved retention period. If the receipts are not scanned into the electronic travel system, the original receipts need to be maintained for the approved retention period to validate claims. If the original receipts are maintained as paper, it is recommended that they be maintained by a designated custodian in each organization, and a copy of the travel voucher be printed and attached to the receipts, or the travel voucher number written on the receipts so they can be easily matched back to the electronic transaction. Employees leaving the Agency must ensure the program office that funded the trip has their receipts if the records have not been scanned into the electronic travel system. Original receipts for Superfund site-specific travel are scanned into the Superfund Cost Organization Recovery Package Imaging Online System (SCORPIOS) (schedule 0052), and filed in the appropriate site file and retained with cost recovery records and covered by schedule 1036, item c.

Annual reports related to passports - Annual reports related to passports, previously item b of schedule 0393 (GRS 9/5b) has been deleted because EPA does not submit annual reports. Passport registers, previously item c of schedule 0393, is covered by schedule 0090, item b.

International travel reports - Item a of this schedule covers international trip reports maintained by the Office of International and Tribal Affairs. International travel reports maintained by other offices are filed with the related records and retained according to the disposition instructions for the related records.

Reasons for Disposition:

The following change was made in the 12/31/2019 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following changes were made in the 10/31/2018 version:

- Revised the title, description, disposition authority, and file closure instruction of item b to conform to GRS 2.2 item 090, transmittal 28, issued July 2017.
- Revised the title, disposition authority, and file closure instruction of item c to conform to GRS 2.2 item 092, transmittal 28, issued July 2017.
- Added item d to conform to GRS 2.2 item 091, transmittal 28, issued July 2017.

The following changes were made in the 07/31/2016 version:

- Revised disposition authority and retention of item a to conform to GRS 1, item 011.
- Updated guidance on travel receipts.

The following changes were made in the 12/31/2013 version:

- Moved from draft status to final.
- Added NARA approval date.

This schedule combines and consolidates previously approved EPA and GRS schedule items.

Custodians:

Multiple units

Related Schedules:

EPA 0008, EPA 0052, EPA 0090, EPA 1012, EPA 1036

Previous NARA Disposal Authority:

Previous NARA disposal authorities can be found at:
http://intranet.epa.gov/records/schedule/consolidation/files/1010_Travel_Crosswalk.docx.

Entry: 03/23/2011

EPA Approval: 07/16/2012

NARA Approval: 11/06/2012

EPA Records Schedule 1012

Status: Final, 01/31/2020

Title: Information and Technology Management

Program: Information and Technology Management

Applicability: Agency-wide

Function: 404 - Technology Management

NARA Disposal Authority:

- DAA-0412-2013-0009-0001 (Item a)
- DAA-0412-2013-0009-0002 (Item b)
- DAA-0412-2013-0009-0003 (Item c)
- DAA-0412-2013-0009-0004 (Item d)
- DAA-0412-2013-0009-0005 (Item e)
- DAA-GRS-2013-0001-0002 (Item f)

Description:

This schedule covers records related to the coordination of information and technology (IT) resources and systems required to support or provide a service. Includes: system development activities associated with the design and development of software applications; life cycle and change management processes; system maintenance activities for software applications; IT infrastructure maintenance to support automated needs (i.e., platforms, networks, servers, printers, etc.); information systems security functions to protect information and information systems, as well as the creation and implementation of security policies, procedures, and controls.

Excludes: individual IT systems (e.g., AQS, Bulletins Live), which must be scheduled separately.

Disposition Instructions:

Item a: Historically significant IT management records

Includes, but is not limited to:

- Information Board of Directors records related to the development of EPA information technology and information governance consisting of meeting records, including agendas, talking papers, reports, summaries or minutes of meetings, and related records; and
- System documentation for permanent electronic records, consisting of data system specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports relating to a master file, database, or other electronic records that are scheduled for permanent retention.

NARA Disposal Authority: DAA-0412-2013-0009-0001

- **Permanent**
- Close input and source documents and system documentation when system data is transferred to the National Archives, and QIC records at the end of the calendar year.
- Transfer system documentation to the National Archives with the related electronic file. Transfer other electronic records to the National Archives 5 years after file closure. Transfer non-electronic records to the National Archives 15 years after file closure.

Item b: IT implementation and compliance records

Includes, but is not limited to:

- Chief Information Officer (CIO) committee records (e.g., CIO Strategic Advisory Committee, formerly the Quality and Information Council) consisting of records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the CIO has designed sponsorship, leadership, or recordkeeping responsibilities (excluding the Information Board of Directors which is covered by item a), and including meeting minutes, summaries, agendas, transcripts, reports, studies, publications, membership records, correspondence, and related records;
- Enterprise architecture records, consisting of records identifying the IT systems and networks required to perform the Agency's mission and the transitional processes required to implement comprehensive programs to support that mission, including technical reference manuals, diagrams, graphics, and narratives that describe the Agency's baseline architecture, target architecture, and related sequencing plans;
- IT capital investment records documenting the IT investments with Agency-wide strategic planning, budgeting, procurement, and management, including routine and periodic reports on IT capital investments, capital asset plans, business cases for major investments identified in the Agency's capital investment portfolio, and clearance and review records;
- IT infrastructure design and implementation files for projects that are implemented;
- IT program planning records related to the development of Agency IT programs, including Agency-wide IT goals, specific milestones to be achieved, performance measures for the IT portfolio, strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the Agency mission:
- Records documenting compliance with federal information resources management (IRM) laws and regulations (e.g., Section 508 of the Rehabilitation Act), mandates of the Office of Management and Budget (OMB), General Accountability Office (GAO), and other federal information management oversight agencies, EPA IT policies, directives and plans, including performance measurements and benchmarks, certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance;
- System development records for systems that are implemented, including project proposals, feasibility studies, cost analyses, requirements documents, and documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving (excluding system development records for environmental models and systems used for regulatory decision making); and

- User identification, profiles, authorizations and password files for systems containing information that may be needed for audit or investigative purposes and those that contain classified records.

  NARA Disposal Authority: DAA-0412-2013-0009-0002

- **Disposable**
- Close at end of calendar year, or when superseded by a new iteration, or no longer needed for investigative or security purposes, whichever is later; or when system is terminated, defunded, removed from public access, or otherwise does not serve the original purpose.
- Destroy 7 years after file closure.

Item c: Routine IT management records

Includes, but is not limited to:

- Computer security incidents, reporting and follow-up activities, including reports of Web site defacement, security hacks, break-ins and failures, improper usage by staff, and virus threats;
- Facility, site management and equipment support services, files identifying IT facilities and sites, site visit reports, trouble reports, equipment service histories, reports of follow-up actions;
- Financing of IT resources and services, including agreements formalizing performance criteria for quantity and quality of service, files related to managing third-party services, identification and allocation of charges and tracking of payments for computer usage, data processing, and other IT services;
- General files related to communications and telecommunications, equipment requests for installation, changes and service, telephone use or call detail records;
- Installation and testing records;
- IT maintenance, asset management, performance and capacity management, system management, configuration and change management, planning, follow-up, and impact assessment of operational networks and systems, routine maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories;
- Reports on operations, including benchmarks, performance indicators, critical success factors, and exception reporting, self-assessments, performance monitoring, and management reports; and
- System development records for systems that are not implemented, including project proposals, feasibility studies, cost analyses, and requirements documents.

  NARA Disposal Authority: DAA-0412-2013-0009-0003

- **Disposable**
- Close when activity or project completed, or when superseded or obsolete.
- Destroy 3 years after file closure.

Item d: Short-term IT management records

Includes, but is not limited to:

- IT infrastructure design and implementation files for projects that are not implemented:
- IT system implementation and change management, including performance and capacity management, system management, configuration and change management, planning, follow-up, and impact assessment of operational networks and systems;
- Short-term asset and configuration records, including inventories of IT assets, network circuits, and building or circuitry diagrams;
- Short-term IT operations records, including workload schedules, run reports, schedules of maintenance and support activities, problem reports, customer service files, help desk logs and reports, telecommunications statistical reports;
- System security plans and disaster recovery plans, risk assessments, actions to mitigate risks, test files and data; and
- Telecommunications operational files, such as message registers and logs, performance reports, daily load reports.

  NARA Disposal Authority: DAA-0412-2013-0009-0004

- **Disposable**
- Close when superseded, updated, replaced, or no longer needed for current agency business.
- Destroy 1 year after file closure.

Item e: Transitory IT management records

Includes, but is not limited to:

- Data files consisting of summarized or aggregated information and data files consisting of records extracted from a single database that are approved as disposable;
- Derived data that provide user access in lieu of hard copy reports that are authorized for disposal, and metadata or reference data, such as format, range or domain specifications;
- Downloaded and copied data, including derived data used for ad hoc or one-time inspection, analysis or review if the derived data is not needed to support the results of the inspection, analysis or review;
- Electronic files or records created solely to test and monitor system performance, including log-in files, password files, audit trail files, system usage files;
- Electronic files or records used to create or update a database or master file;
- Electronic software programs (excluding electronic software programs scheduled for permanent retention in the General Records Schedule (GRS) or in a NARA-approved agency schedule);
- Input and source records in electronic format entered into a system during an update process and not required for audit and legal purposes and electronic records received from another agency and used as input/source records by EPA (excluding records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency), input and source records in hard copy format not covered elsewhere in this schedule, computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for digital master file or database;

- Print files extracted from a database without changing it and used solely to produce hard copy;
- System and security backups and tape library records;
- System documentation for electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule, including data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports relating to a master file, database, or other electronic records (excluding system documentation for electronic records that are scheduled for permanent retention);
- Technical reformat files of data copied from a complete or partial master file or database made for the specific purpose of information interchange and written with varying technical specifications (excluding files created for transfer to the National Archives; and
- User identification, profiles, authorizations and passwords for routine systems.

NARA Disposal Authority: DAA-0412-2013-0009-0005

- **Disposable**
- Close when superseded, updated, replaced, or no longer needed for current agency business.
- Destroy immediately after file closure.

Item f: Hardcopy or analog input and source records previously scheduled as permanent

Includes hardcopy or analog input and source records previously scheduled as permanent that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system in accordance with NARA's electronic records standards (see exclusions in Guidance).

NARA Disposal Authority: DAA-GRS-2013-0001-0002

- **Disposable**
- Close 60 days after submitting notification to NARA per 36 CFR 1225.24(a)(1) and verification of successful conversion.
- Destroy immediately after file closure.

Guidance:

This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in this schedule. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

IT infrastructure - IT infrastructure refers to the basic systems and services used to supply staff with access to computers and data telecommunications. Components include hardware such as printers, computers, network and Web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain components are also considered part of the IT structure. Records related to specific electronic systems that support or document mission goals (e.g., schedule 0027 ICIS) are covered by the individual schedules for those systems.

Electronic software programs - Electronic software programs are to be kept as long as needed to ensure access to, and use of, the electronic records throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. NARA regulations require that electronic records be retrievable and usable for as long as needed to conduct agency business and meet NARA-approved disposition. Examples of software covered by this schedule include Air Explorer Tool (AirExplorer), eDiscovery Service, Tier2 Submit, and EPA Dashboard formerly covered by EPA 0179 and GRS 20/10.

System development records - System development records for environmental models and systems used for regulatory decision making may warrant permanent preservation and should follow the records schedule for the activity supported by the system (e.g., schedule 1023 for rulemaking records).

Electronic system data - The electronic data for an electronic system is covered by the system-specific records schedule (e.g., schedule 0027 ICIS) or one of the generic or "big bucket" system schedules (e.g., schedule 0063 electronic models and expert systems).

Input for electronic systems - Input and source records for an electronic system that is produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of EPA, must be included in the disposition instructions for the specific system schedule. In cases where hard copy documents that contain information that is not or cannot be captured in the electronic version of the records (e.g., certain handwritten annotations), including those scanned into an electronic recordkeeping system, follow the records schedule for the activity supported by the system.

Output and reports for electronic systems - Output and reports for electronic systems are covered by the applicable records schedule for the activity supported by the input and reports.

Hardcopy or analog input and source records previously scheduled as temporary (item e) - As authorized by GRS 4.3/010, temporary records may be destroyed after they have been converted to scanned images and reviewed for quality.

Hardcopy or analog input and source records previously scheduled as permanent (item f) - Per GRS 4.3/011, exclusions to the disposition instructions for item f include: hardcopy or analog input and source records that NARA has specifically designated as permanent records that must be transferred to NARA in hardcopy format; or hardcopy records when the electronic versions do not meet NARA's electronic records standards; or hardcopy records that are not incorporated in their entirety into an electronic system; or original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings. In these cases, the records are covered by the previously approved schedule.

Copies of permanent electronic records transferred to the National Archives - The copy of permanent electronic records transferred to the National Archives (previously scheduled as schedule 0188a(3)) maintained by the submitting office until they are notified by NARA that the transfer is successful is a nonrecord (schedule 0008, item a) and can be deleted when no longer needed.

Reasons for Disposition:

The following change was made in the 01/31/2020 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following changes were made in the 11/30/2016 version:

- Revised item a to include the Information Board of Directors.
- Revised item b to include the CIO Strategic Advisory Committee.
- Revised guidance to include hardcopy or analog input and source records previously scheduled as temporary and destruction of paper records after scanning.
- Revised guidance to include GRS reference for hardcopy and source input and source records previously scheduled as permanent.

The following change was made in the 11/30/2015 version:

- Deleted first bullet in item a for hardcopy or analog input and source records previously scheduled as permanent and moved it to Guidance.

The following change was made in the 09/30/2015 version:

- Revised the first bullet in item a and added item f to conform to General Records Schedule (GRS) 4.3.

The following changes were made in the 10/31/2014 version:

- Moved from draft to final status and added NARA approval date.

The following changes were made in the 06/30/2014 version:

- Revised disposition instructions for item a.

- Revised title of disposition item e.

This schedule combines and consolidates previously approved EPA and GRS schedule items.

Custodians:

Multiple units

Related Schedules:

Previous NARA Disposal Authority:

Previous NARA disposal authorities can be found at:
http://intranet.epa.gov/records/schedule/consolidation/files/1012_Information_technology_management_crosswalk.docx.

Entry: 04/19/2011

EPA Approval: 05/07/2013

NARA Approval: 10/03/2014

EPA Records Schedule 1016

Status: Final, 01/31/2020

Title: Controls and Oversight

Program: All Programs

Applicability: Agency-wide

Function: 301 - Controls and Oversight

NARA Disposal Authority:

- DAA-0412-2013-0015-0001 (Item a)
- DAA-0412-2013-0015-0002 (Item b)
- DAA-0412-2013-0015-0003 (Item c)
- DAA-0412-2013-0015-0004 (Item d)
- DAA-0412-2013-0015-0005 (Item e)

Description:

This schedule covers records related to operations and programs of the EPA and its external business partners that ensure compliance with applicable laws and regulations and prevent waste, fraud, and abuse. Includes: corrective action and the enforcement of activities to remedy internal or external programs that have been found noncompliant with a given law, regulation, or policy; program evaluation and the analysis of internal and external program effectiveness and the determination of corrective actions as necessary; criminal, civil, and administrative investigative files that document major criminal investigations as well as investigations of known or alleged fraud, abuse, irregularities, and violations of laws and regulations involving EPA personnel, programs, or operations administered or financed by EPA, including contractors and others having a relationship with EPA; and program monitoring and the data gathering activities required to determine the effectiveness of internal and external programs and the extent to which they comply with related laws, regulations, and policies.

Disposition Instructions:

Item a: Historically significant controls and oversight records

Includes, but is not limited to:

- Audit Resolution Board case files;
- Inspector General (IG) investigative case files for cases that document major violations of criminal law or ethical standards by EPA officials and others;
- IG semiannual reports prepared for submission to Congress; and

- Unusually significant IG case files such as those that result in national media attention, congressional investigation, or substantive changes in Agency policy and procedure.

  NARA Disposal Authority: DAA-0412-2013-0015-0001

- **Permanent**
- Close when audit resolution is completed, when investigation is closed, or when report is sent to Congress.
- Transfer electronic records to the National Archives 5 years after file closure. Transfer non-electronic records to the National Archives 15 years after file closure.

Item b: Long-term controls and oversight records

Includes, but is not limited to:

- Good laboratory practice (GLP) and audit report files for audits of laboratories involved in performing studies and analyses of EPA's environmental programs, including inspector worksheets, supporting documentation, correspondence, and related records; and
- IG investigative case files for cases that document investigations of known or alleged fraud, abuse, irregularities, and violations of laws and regulations involving EPA personnel, programs, or operations administered or financed by EPA, including contractors and others having a relationship with EPA, and excluding cases covered by item a.

  NARA Disposal Authority: DAA-0412-2013-0015-0002

- **Disposable**
- Close when audit is complete or case is closed.
- Destroy 20 years after file closure.

Item c: Routine controls and oversight records

Includes, but is not limited to:

- Administrative documentation related to the audit resolution process;
- Audit case file final reports and work papers maintained by the headquarters IG or other auditing organization;
- IG hotline files, including complaints, correspondence with responsible officials, synopses of cases, and monthly and periodic workload and trend reports;
- IG or other auditing organization management assessment reviews and program evaluations of the auditing organization's procedures or programs for economy, efficiency, and compliance with policies and professional standards;
- Laboratory performance evaluation studies proficiency testing (PT) records relating to how well laboratories perform, including studies, performance evaluation reports, performance summaries, statistical reports, method-specific studies, and related records;
- Responses to audits, evaluations, and investigations maintained by the office being investigated, evaluated or audited, conducted internally (e.g., by IG), or externally (e.g., by Government Accountability Office) and that may be initiated by EPA, an outside agency with

oversight over EPA, or requested by Congress, and records related to the Federal Managers Financial Integrity Act (FMFIA); and
- State and other entity relations and oversight files, including records used to oversee programs operated in lieu of a federal program.

NARA Disposal Authority: DAA-0412-2013-0015-0003

- **Disposable**
- Close when case is closed, or activity or report is completed or superseded.
- Destroy 10 years after file closure.

Item d: Short-term controls and oversight records

Includes, but is not limited to:

- Animal welfare records, including Lab Animal Project Reviews (LAPR), letters of assurance, Institutional Animal Care and Use Committee Minutes, Semi-Annual Facility and Program Inspections and reports to the Institutional Official, Department of Agriculture, Office of Laboratory Animal Welfare, and Association for the Assessment and Accreditation of Animal Care.
- IG audit case files and copies of the IG's semiannual report maintained by offices other than the headquarters IG;
- IG complaint files containing information or allegations that are of an investigative nature but do not relate to a specific investigation, including anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling;
- Laboratory activity reports and associated field stations showing program activity;
- Program and program activity evaluation reports and working papers;
- Reports clearance case files maintained for each Agency report created or proposed such as public use reports, including clearance forms, copies of authorizing directives, preparation instructions, and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements;
- Regional oversight and coordination records generated by headquarters program offices when conducting oversight of regional program operations, including implementation reports, inspections, correspondence, reviews and comments on regional program activities;
- State territories and interstate group file containing records related to environmental improvement and pollution control by states and state combines, including 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, state legislative activity reports, and reports on and by special commissions and citizen groups; and
- Suspension and debarment files related to the suspension and debarment of entities and individuals subject to debarment regulations, including IG reports, attorney recommendations for actions, notifications to respondents, respondents' submissions, hearing transcripts, briefs and motions, final determinations, and settlement agreements.

NARA Disposal Authority: DAA-0412-2013-0015-0004

- **Disposable**

- Close when case is closed, or activity or report is completed.
- Destroy 5 years after file closure.

Item e: Ombudsman and citizen complaint files

Includes, but is not limited to: requests for information or assistance with complaints or problems arising from EPA regulations or "whistle-blower" information on regulatory infractions or issues, consisting of phone notes, referrals, letters, copies of case log forms, action notes, or other related records.

NARA Disposal Authority: DAA-0412-2013-0015-0005

- **Disposable**
- Close when case is completed or closed.
- Destroy 1 year after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

FMFIA documentation - Program offices are responsible for retaining the record copy of FMFIA documentation according to the disposition instructions for item c. Internal control coordinators are not responsible for keeping the documentation, only a certification that it exists. All other copies may be destroyed as nonrecords (schedule 0008, item a) when no longer needed.

Responses to evaluations and audits - Responding offices are responsible for retaining the responses to evaluations and audits, including records of Agency directives and guidance created by the Office of Management and Budget (OMB) and other offices, according to the disposition instructions for

item c. Copies provided to internal control coordinators and audit liaisons should be kept as reference material and can be destroyed as nonrecords (schedule 0008, item a) when superseded.

Oversight records - The headquarters or regional office responsible for oversight of states or other entities is responsible for retaining the record copy according to the disposition instructions for item c. The headquarters office responsible for conducting oversight of regional activities is responsible for retaining the record copy according to the disposition instructions for item d. All other copies can be destroyed as nonrecords (schedule 0008, item a) when superseded or no longer needed. Congressional correspondence related to congressional oversight of EPA activities is covered by schedule 1051.

Ombudsman records - The record copy of ombudsman records is retained by the Ombudsman office or the office performing the ombudsman function. Ombudsman referrals to specific site or facility records are to be filed in the community relations files specific to the site or facility (e.g., 1035 for Superfund site-specific records) and are covered by the disposition instructions for the site-specific records.

Copies of permanent electronic records transferred to the National Archives - The copy of permanent electronic records transferred to the National Archives (previously scheduled as schedule 0658a(3), 0701a(3)) maintained by the submitting office until they are notified by NARA that the transfer is successful is a nonrecord (schedule 0008, item a) and can be deleted when no longer needed.

Reasons for Disposition:

The following change was made in the 01/31/2020 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following change was made in the 11/30/2016 version:

- Revised wording in item d for suspension and debarment files to "entitles and individuals subject to debarment regulations."

The following changes were made to the 07/31/2015 version:

- Moved from draft to final.
- Added NARA approval date.

The following changes were made to the 09/30/2014 version:

- Moved suspension and debarment records from item c to item d.
- Added animal welfare records to item d.

This schedule combines and consolidates previously approved EPA and GRS schedule items.

Custodians:

Multiple units

Related Schedules:

EPA 0008, EPA 1036, EPA 1051

Previous NARA Disposal Authority:

Previous NARA disposal authorities can be found at:
http://intranet.epa.gov/records/schedule/consolidation/files/1016_Controls_and_Oversight_crosswalk.docx.

Entry: 09/12/2012

EPA Approval: 08/19/2013

NARA Approval: 03/26/2015

EPA Records Schedule 1020

Status: Final, 01/31/2020

Title: Legislative Relations

Program: All Programs

Applicability: Agency-wide

Function: 303 - Legislative Relations

NARA Disposal Authority:

- DAA-0412-2013-0005-0001 (Item a)
- DAA-0412-2013-0005-0002 (Item b)
- DAA-0412-2013-0005-0003 (Item c)

Description:

This schedule covers records related to the development, tracking, and amendment of public laws through the legislative branch of the federal government. Includes: legislative tracking to monitor legislation from introduction to enactment; legislative testimony or evidence in support of, or opposition to, legislation; drafting proposed legislation that creates or amends laws subject to congressional action; and activities that support the relationship between EPA and the U.S. Congress.

Disposition Instructions:

Item a: Historically significant legislative relations records

Includes, but is not limited to:

- Congressional data transfer of grants made to states, municipalities, counties, interstate groups, and institutions within the states;
- Final reports to Congress or the President prepared according to the mandates of all environmental legislation;
- Legislative history file maintained by the Office of Legislative Affairs at Headquarters; and
- Significant congressional correspondence not included in the controlled correspondence system (Correspondence Management System (CMS)).

  NARA Disposal Authority: DAA-0412-2013-0005-0001

- **Permanent**
- Close at end of congressional session, end of calendar year, or when no longer needed for current agency business.

- Transfer electronic records to the National Archives 5 years after file closure. Transfer non-electronic records to the National Archives 15 years after file closure.

Item b: Legislation

Includes, but is not limited to: legislation formulated and proposed by EPA and other government agencies and executive units circulated within EPA for evaluation and comment, and held in offices other than the Office of Legislative Affairs at Headquarters.

NARA Disposal Authority: DAA-0412-2013-0005-0002

- **Disposable**
- Close upon final action on legislation.
- Destroy 10 years after file closure.

Item c: Other legislative relations records

Includes, but is not limited to:

- Congressional committee records related to their makeup, character, status, mission, and activities;
- Congressional correspondence consisting of routine inquiries not included in CMS;
- Weekly legislative reports related to major provisions, issues, status, and expectation of EPA bills, and non-EPA bills with environmental impact and scheduled for congressional action; and
- Work files for reports to Congress or the President.

NARA Disposal Authority: DAA-0412-2013-0005-0003

- **Disposable**
- Close upon transmission of final report, end of congressional session, or when no longer needed for current agency business.
- Destroy 5 years after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements

of an Electronic Recordkeeping System at EPA" on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Congressional correspondence - Significant congressional correspondence entered into the controlled correspondence system is covered by schedule 1051, item a, for senior officials. If significant congressional correspondence is maintained separately from the controlled correspondence system, use item a of this schedule for significant correspondence and item c for routine correspondence. Significant congressional correspondence is major correspondence that significantly documents program activities and may be processed under special handling control procedures because of the importance of the letters or time requirements of replies. Records related to the operation of CMS are covered by schedule 0077.

Legislative history file - Enrolled bill reports submitted by the Office of Congressional and Intergovernmental Affairs are transferred to the legislative history file (item a) at the end of each month. EPA congressional hearing testimony maintained by the Office of Congressional and Intergovernmental Affairs is transferred to the legislative history file (item a) after presentation to the congressional committee.

Copies of permanent electronic records transferred to the National Archives - The copy of permanent electronic records transferred to the National Archives (previously scheduled as schedule 0155a(3), 0527a(3) and 0528a(3)) maintained by the submitting office until they are notified by NARA that the transfer is successful is a nonrecord (schedule 0008, item a) and can be deleted when no longer needed.

Reasons for Disposition:

The following change was made in the 01/31/2020 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following change was made in the 04/30/2014 version:

- Added definition of significant congressional correspondence to guidance.

This schedule combines and consolidates previously approved EPA and GRS schedule items.

Custodians:

Multiple units

Related Schedules:

EPA 0008, EPA 0077, EPA 1051

Previous NARA Disposal Authority:

Previous NARA disposal authorities can be found at: http://intranet.epa.gov/records/schedule/consolidation/files/1020_Legislativ_Relations_Crosswalk.docx.

Entry: 07/12/2012

EPA Approval: 03/26/2013

NARA Approval: 07/22/2014

EPA Records Schedule 1021

Status: Final, 01/31/2020

Title: Planning and Resource Allocation

Program: All Programs

Applicability: Agency-wide

Function: 304 - Planning and Resource Allocation

NARA Disposal Authority:

- DAA-0412-2013-0006-0001 (Item a)
- DAA-0412-2013-0006-0002 (Item b)

Description:

This schedule covers records related to planning and resource allocation activities determining strategic direction, identifying, and establishing programs and processes, allocating resources (capital and labor) among those programs and processes, and developing environmental and administrative policies and programs. Includes: budget formulation activities undertaken to determine priorities for future spending and to develop an itemized forecast of future funding and expenditures during a targeted period of time and the collection and use of performance information to assess the effectiveness of programs and develop budget priorities; capital planning processes for ensuring that appropriate investments are selected for capital expenditures; strategic planning activities to determine annual and long-term goals and the identification of the best approach for achieving those goals; and workforce planning processes for identifying the workforce competencies required to meet EPA's strategic goals and for developing the strategies to meet these requirements.

Disposition Instructions:

Item a: Historically significant planning and resource allocation records

Includes, but is not limited to:

- Annual headquarters operating guidance paper and regional guidance plan covering the objectives of EPA, the priority and strategy for their attainment;
- Management studies, including staffing, analyses of administrative policies and procedures, manpower surveys, organization and methods surveys and studies, management improvement, and related records;
- Organizational plans related to the establishment and organization of EPA, missions, functions and functional statements, organizational charts, and delegations of authority;

- Program development files documenting the development of environmental programs, program priorities and objectives, program evaluation and planning major shifts in the focus of existing programs, new initiatives, and similar records; and
- Program policy planning records, including formulating policies and plans in areas which cross-cut program functions, and records related to developing and analyzing key policy and legislative issues impacting on environmental programs.

  NARA Disposal Authority: DAA-0412-2013-0006-0001

- **Permanent**
- Close upon completion of activity, project, or topic, or at the end of the fiscal year.
- Transfer electronic records to the National Archives 5 years after file closure. Transfer non-electronic records to the National Archives 15 years after file closure.

Item b: Routine planning and resource allocation records

Includes, but is not limited to: Agency program plans review files, including headquarters and regional office program plans, goals, and requests for changes to the plans, regional guidance reports and revisions, and related records.

NARA Disposal Authority: DAA-0412-2013-0006-0002

- **Disposable**
- Close at the end of the fiscal year.
- Destroy 10 years after file closure.

Guidance:

Media neutral – This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Related records

- IT planning - records related to planning for information and technology management, including enterprise architecture records, are covered by schedule 1012.
- Budget working papers - Budget working papers that are created and maintained as part of the budget formulation process for submission to the Office of Management and Budget are covered by schedule 1005 item a. Copies of budget working papers may also be maintained as part of the records covered by this schedule, and if so, follow the disposition instructions for item a if the activities support EPA's environmental missions, and item b if the activities are administrative in nature.

Copies of permanent electronic records transferred to the National Archives - The copy of permanent electronic records transferred to the National Archives (previously scheduled as EPA 0105a(3), EPA 0106a(3), EPA 0145a(3), EPA 0190a(3), and EPA 0194a(3)) maintained by the submitting office until they are notified by NARA that the transfer is successful is a nonrecord (EPA 0008, item a) and can be deleted when no longer needed.

Reasons for Disposition:

The following change was made in the 01/31/2020 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following change was made in the 07/31/2017 version:

- Updated guidance to include budget working papers.

This schedule combines and consolidates previously approved EPA and GRS schedule items.

Custodians:

Multiple units

Related Schedules:

EPA 0008, EPA 1012

Previous NARA Disposal Authority:

Previous NARA disposal authorities can be found at:
http://intranet.epa.gov/records/schedule/consolidation/files/1021_Planning_Crosswalk.docx.

Entry: 09/12/2012

EPA Approval: 08/12/2013

NARA Approval: 01/30/2015

EPA Records Schedule 1022

Status: Final, 01/31/2020

Title: Public Affairs

Program: All Programs

Applicability: Agency-wide

Function: 305 - Public Affairs

NARA Disposal Authority:

- DAA-0412-2013-0007-0001 (Item a)
- DAA-0412-2013-0007-0002 (Item b)
- DAA-0412-2013-0007-0003 (Item c)
- DAA-GRS-2016-0005-0003 (Item d)
- DAA-GRS-2016-0005-0004 (Item e)

Description:

This schedule covers records related to the exchange of information and communication between the federal government, citizens, and stakeholders in direct support of citizen services, public policy, and/or national interest. Includes official information dissemination to provide information to external stakeholders through the use of various types of media, such as video, paper, web, etc.; tech transfer and training providing targeted information to specific stakeholders on technical or scientific topics, or that provide a specific type of training related to Agency responsibilities; public information and outreach providing general information to the public either through ongoing services or in response to specific requests; activities to operate Agency libraries providing traditional library functions such as access to journals, periodicals, literature searches, and online library subscriptions; and all other activities providing public information, education, and outreach to the public and Agency stakeholders, including support by the Agency of education programs or subjects relevant to the Agency's mission.

Disposition Instructions:

Item a: Historically significant public affairs records

Includes, but is not limited to:

- Environmental training materials, including course plans and manuals;
- Final manuscripts of articles related to EPA's environmental missions;
- Presidential and other significant environmental awards to organizations, states and other entities, youth groups, private citizens, students and other individuals;

- Public awareness and official dissemination products such as press or news releases, fact sheets, briefings and briefing books;
- Public hearings used as a forum for public involvement, including public notice of hearing, hearing transcript, and related documents; and
- Publications and promotional items depicting EPA's environmental mission activities, including manuals, handbooks, brochures, newsletters, pamphlets, posters, buttons, bumper stickers, and similar items.

  NARA Disposal Authority: DAA-0412-2013-0007-0001

- **Permanent**
- Close upon issuance or publication, or when superseded or inactive.
- Transfer electronic records to the National Archives 5 years after file closure. Transfer non-electronic records to the National Archives 15 years after file closure.

Item b: Routine public affairs records

Includes, but is not limited to:

- Communications and distribution plans;
- Final manuscripts of articles not related to EPA's environmental activities;
- Publications and promotional items not depicting EPA's environmental activities; and
- Speeches of EPA employees other than senior officials.

  NARA Disposal Authority: DAA-0412-2013-0007-0002

- **Disposable**
- Close at end of activity or calendar year.
- Destroy 5 years after file closure.

Item c: Short-term public affairs records

Includes, but is not limited to:

- Background and working papers;
- Library program files, including policies, procedures, statistics, holdings information, and related records (excluding library contract records);
- Records related to the participation or sponsorship of EPA staff in professional associations, societies, and related groups, including conference literature, trip reports, meeting agendas and arrangements, evaluations, copies of papers and other materials collected during participation;
- Routine documentation for environmental awards;
- Public affairs-related routine operational records, including the day-to-day administration of public affairs activities such as logistics, planning, and correspondence records for routine conferences and events, correspondence and records on speakers and speaking engagements including biographies, and case files and databases of public comments related to public affairs activities; and

- Routine audiovisual records, including photographs or audiovisual recordings of routine award ceremonies, retirement ceremonies, social events, and activities not related to the mission of the Agency, as well as production files or similar files that document origin, development, acquisition, use, and ownership of temporary audiovisual records.

  NARA Disposal Authority: DAA-0412-2013-0007-0003

- **Disposable**
- Close at end of calendar year or when no longer needed for current agency business.
- Destroy 3 years after file closure.

Item d: Public affairs product production files

Includes, but is not limited to, records related to developing speeches, publications, educational materials, audiovisual materials including posters, public conferences and other public outreach materials, including news clippings, marketing research, copies of records used for reference in preparing products, research notes, printers galleys, drafts and working copies, preparatory or preliminary artwork or graphics, bibliographies, checklists, and indexes of agency publications and releases, clearances related to release of products.

Excludes: Final products such as speeches of senior officials covered by schedule 1051; publications, educational materials, agency histories, mission-related audiovisual materials including posters, conference and public outreach materials which are covered by item a of this schedule; working papers or files that propose and evaluate options for alternatives and their implications in the development of high-level policies and decisions or that document findings or support recommendations which are covered by schedule1023.

NARA Disposal Authority: DAA-GRS-2016-0005-0003

- **Disposable**
- Close when no longer needed for business use.
- Destroy immediately after file closure.

Item e: Routine media relations records

Includes, but is not limited to, records of interactions with the press or media that contain duplicate, minimal, or limited distribution, such as requests and responses for interviews; requests and responses for information or assistance for media stories; daily or spot news recordings or videos available to local radio and TV stations; notices or announcements of media events; public service announcements; and copies of articles created by the agency for publication in news media.

Excludes: transcripts of press conferences or press briefings, briefing books, and press releases which are covered by item a of this schedule and schedule 1051.

NARA Disposal Authority: DAA-GRS-2016-0005-0004

- **Disposable**

- Close when no longer needed for business use.
- Destroy immediately after file closure.

Guidance:

Media neutral – This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Recordkeeping responsibility – If materials are forwarded to higher level offices for inclusion in products created for wide distribution, the higher level office is responsible for maintaining and implementing the disposition instructions. All other offices may destroy copies of the forwarded materials as nonrecords in accordance with schedule 0008 when no longer needed for current Agency business. The record copy of publications and EPA-sponsored training materials is maintained by the program office with the responsibility for publication and course development. All other copies, including attendee copies of training materials, can be destroyed when no longer needed or superseded in accordance with schedule 0008. If materials are translated into languages other than English, a copy of each translation must be placed in the recordkeeping system. Copies of public affairs records incorporated into other files (e.g., site or facility files) are to be retained according to the disposition instructions for the records they support. Copies kept for distribution purposes may be destroyed when no longer needed in accordance with schedule 0008.

Cited sources – Copies of published material cited in a manuscript or report do not need to be included as part of the official record if they are publicly available. If the cited material is available on a website, the citation must include the specific website address (e.g., http://www.epa.gov...) and the date the material was accessed. If, however, the website material is critical to support the decision, conclusion, recommendation, or guidance provided in the manuscript or report, the material must be filed in the recordkeeping system with the manuscript or report, if possible.

Related records - Employee training records are covered by schedule 1029, and copies of employee training records maintained at the supervisory level are covered by schedule 0122. Contract

management records are covered by schedule 1004. Records of senior officials, including speeches, are covered by schedule 1051. Working papers or files that propose and evaluate options for alternatives and their implications in the development of high-level policies and decisions are covered by schedule 1023.

Copies incorporated into other files – Copies of records (e.g., final manuscripts related to environmental projects) are retained according to the disposition instructions for the records they support.

Copies of permanent electronic records transferred to the National Archives - The copy of permanent electronic records transferred to the National Archives (previously scheduled as EPA 081a(3), EPA 140a(3), EPA 200c(3), EPA 230a(3), EPA 250a(3), EPA 334a(3), and EPA 533a(3)) maintained by the submitting office until they are notified by NARA that the transfer is successful is a nonrecord (schedule 0008, item a) and can be deleted when no longer needed.

Reasons for Disposition:

The following change was made in the 01/31/2020 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following changes were made in the 04/30/2017 version:

- Added bullets to item c to conform to GRS 6.4, transmittal no. 27, issued January 2017.
- Added items d and e to conform to GRS 6.4, transmittal no. 27, issued January 2017.
- Updated cross references.

The following changes were made in the 11/30/2015 version:

- Replaced incorrect guidance and cross references with correct version.

This schedule combines and consolidates previously approved EPA and GRS schedule items.

Custodians:

Multiple units

Related Schedules:

EPA 0008, EPA 0122, EPA 1004, EPA 1006, EPA 1023, EPA 1029, EPA 1051

Previous NARA Disposal Authority:

Previous NARA disposal authorities can be found at:
http://intranet.epa.gov/records/schedule/consolidation/files/1022_Public_Affairs_Crosswalk.docx.

Entry: 03/06/2012

EPA Approval: 08/21/2013

NARA Approval: 08/14/2014

EPA Records Schedule 1023

Status: Final, 01/31/2020

Title: Regulatory Development and Implementation, and Dockets

Program: All Programs

Applicability: Agency-wide

Function: 306 - Regulatory Development

NARA Disposal Authority:

- DAA-0412-2013-0010-0001 (Item a)
- DAA-0412-2013-0010-0002 (Item b)
- DAA-0412-2013-0010-0003 (Item c)
- DAA-0412-2013-0010-0004 (Item d)

Description:

This schedule covers records related to the activities associated with developing, amending, or repealing regulations, policies, and guidance to implement law. This includes, but is not limited to: rulemaking, policy and guidance development to assist in the interpretation and implementation of regulations; public comments regarding proposed and final rules; rule publication of proposed and final rules in the Federal Register and Code of Federal Regulations. It also covers general, nonrulemaking dockets and Federal Register notices used to provide information to and ask for comments from the public for nonrulemaking activities.

Disposition Instructions:

Item a: Final rulemakings and related development and implementation records

Includes, but is not limited to:

- Substantial rulemaking records that receive intense public or media attention or congressional scrutiny, set legal precedents, relate to major historical events, or are involved in extensive litigation, including published, or to be published, regulations, standards, and guidelines, including public and internal comments, Office of Management and Budget (OMB) comments, hearing transcripts, meeting minutes, workgroup records, background documents, regulatory impact analyses under Executive Order 12866, and other technical support material (e.g., risk assessments, scientific reports) generated during the process to develop and approve the regulation, standard, or guideline, including all documents that make up the final regulatory docket and administrative record;
- Designation petitions for sole source aquifers as authorized by section 1424(e) of the Safe Drinking Water Act of 1974, consisting of petitions, information released to the public,

public notices, hearing documentation, correspondence, memoranda of understanding, narratives, maps, engineering reports, comments from the public, and related records;
- Directives and policy guidance documents issued by programs and regions providing the mandates for overall and specific program direction and action to assist with the implementation of regulations, including official policy decisions, delegations of authority, memos setting policy or issuing guidance, operating guidance, procedures manuals, technical resource documents, related background materials, and similar records that may be in the form of a program directives system or a program compendium;
- Petitions to issue, amend, or repeal a rule (e.g., Toxic Substances Control Act, as amended, Section 21 citizens petitions) or an order, consisting of records of EPA action taken in response to a petition, determinations to grant or deny the petition and substantiate the decision, which could result in an issuance of a new rule, amendment to an existing rule, or repeal of an existing rule;
- State and other entity program authorization and approval files, consisting of records that document the process for authorizing operation of a program by states and other entities in lieu of a federal program, including applications with background and supporting documentation, correspondence, copies of statutes and regulations, interim authorizations, documentation of public participation activities, documents related to EPA's review and determination of the program, development of enforcement and environmental standards, as well as authorization withdrawals as they apply to the initial program authorization and subsequent revisions; and
- State, tribal, and federal implementation plans (SIPs, TIPs, and FIPs), consisting of records documenting the process for approving plans for the attainment and maintenance of national ambient air quality standards for certain criteria pollutants in a given area under section 110 of the Clean Air Act (CAA), including plans establishing emission standards to control designated pollutants upon EPA publication of final emission guidelines for designated facilities in accordance with section 111(d) of the CAA, amendments, correspondence, copies of statutes and regulations, documentation of public participation activities, EPA's review and determination of the program, technical support documents, Federal Register notices, action memoranda, communications strategies, public comments, review forms, records related to the inspection and maintenance programs required by implementation plans, and related records.

  NARA Disposal Authority: DAA-0412-2013-0010-0001

- **Permanent**
- Close at end of calendar year or upon completion of action.
- Transfer to the National Archives 15 years after file closure.

Item b: General dockets and nonsubstantial rulemaking records

Includes:

- Nonsubstantial rulemaking records that have not met the threshold for substantial rulemaking records covered in item a; and
- General dockets containing documents not directly related to EPA's regulations that are made available for public review, and often, associated public comments.

NARA Disposal Authority: DAA-0412-2013-0010-0002

- **Disposable**
- Close at end of calendar year or upon completion of action.
- Destroy 20 years after file closure.

Item c: Nonfinal rulemakings and state standards records

Includes, but is not limited to:

- Directives and policy guidance documents that are not issued or released to the public;
- Nonfinal regulations, standards, and guidelines, including public and internal comments, OMB comments, hearing transcripts, meeting minutes, background documents, and other technical support material generated during the development and approval process;
- Records related to the development of enforcement and environmental standards by states and territories and submitted to EPA for review and approval, consisting of letters requesting legal interpretation and opinions, copies of state acts or programs, regional office reviews and comments, technical reviews and related records; and
- Rulemaking committees and workgroup materials for nonfinal regulations, including meeting records, organizing charters, reports, and related records.

NARA Disposal Authority: DAA-0412-2013-0010-0003

- **Disposable**
- Close at end of calendar year or upon completion of action.
- Destroy 10 years after file closure.

Item d: Other regulatory development and implementation records

Includes, but is not limited to:

- Federal Register notices that are not maintained in a docket;
- Information Collection Requests (ICR) and Information Collection Budgets (ICB) submitted to OMB and Congress, including reports, responses to OMB's request for information, supporting statements, OMB forms, correspondence, statistics, comments, and other records relating to the justification of the information collection and its approval by EPA and OMB; and
- Transportation plans developed to achieve national ambient air quality, consisting of transportation control plans that become part of SIPs, conformity determinations, studies, and related records.

NARA Disposal Authority: DAA-0412-2013-0010-0004

- **Disposable**
- Close at end of calendar year or upon completion of action.
- Destroy 5 years after file closure.

Guidance:

Media neutral – This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Federal Docket Management System - Additional information on creating, maintaining, and properly managing records, including file closures for final and non-final rulemakings, in the Federal Docket Management System (FDMS) is provided in "EPA's Procedures for Electronic Management of Rulemaking and Other Docketed Records in the Federal Docket Management System." Records related to the Office of Environmental Information's (OEI's) operation of FDMS are covered by schedule 0152.

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Final rulemakings and related development and implementation records - The issuing office is responsible for overseeing the implementation of the disposition instructions, determining whether a rulemaking is substantial (item a) or nonsubstantial (item b), and ensuring that a permanent record is maintained for substantial rulemakings. The official set of these records must include those items specified in the Administrative Procedure Act (APA) and other statutory requirements (e.g., Clean Air Act), and are to be sufficiently complete so that they can serve as the administrative record, if necessary. The issuing office determines what background materials and drafts are necessary to fully document the development of the rulemaking or other Agency action. Working papers with no significant information, and information copies maintained by offices other than the issuing office, should be destroyed in accordance with EPA 0008 when no longer needed for current Agency business. The issuing office is also responsible for implementing the disposition instructions for rulemaking committees.

State and other entity authorizations – The record copy of state and other entity authorizations is held by the EPA headquarters or regional office responsible for issuing the authorization to the state or other entity. This responsibility varies by statute and the level of authorization, but primarily, authorization is the responsibility of the regional office. Also known as “primacy” files in the water program. Draft applications may be destroyed after approval of the final application.

State, tribal and federal implementation plans - Draft SIPs, TIPs, and FIPs may be destroyed after approval of the final plan.

Site-specific and permit administrative records – Superfund site-specific administrative records are covered by EPA 1036 and administrative records for permits are covered by schedule 1047.

Compliance and enforcement records – Records supporting EPA's compliance and enforcement activities (e.g., monitoring reports, annual air quality data reports) are covered by schedule 1044.

Cited sources – Copies of published material cited in a report or similar document do not need to be included as part of the official record if they are publicly available. If the cited material is available on a website, the citation must include the specific website address (e.g., http://www.epa.gov...) and the date the material was accessed. If, however, the website material is critical to support the decision, conclusion, recommendation, or guidance provided in the document, the material must be filed in the recordkeeping system with the report or document, if possible.

Permanent electronic records transferred to the National Archives - The copy of permanent electronic records transferred to the National Archives (previously scheduled as EPA 0007a(3), EPA 0149a(3), EPA 0204a(3), EPA 0212a(3), EPA 0217a(3), EPA 260a(3), EPA 0294a(3), EPA 0296a(3), EPA 0332a(3), EPA 0412a(3), EPA 0412c(3), EPA 0412d(3), EPA 0486a(3), EPA 0518a(3)) maintained by the submitting office until they are notified by NARA that the transfer is successful is a nonrecord (EPA 0008, item a) and can be deleted when no longer needed.

Reasons for Disposition:

The following change was made in the 01/31/2020 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following change was made in the 04/30/2017 version:

- Added wording from predecessor schedule 007 to third bullet of item a.

The following changes were made in the 02/29/2016 version:

- Reorganized bullets in items a and b.

The following changes were made in the 11/30/2015 version:

- Divided rulemaking records into item a for substantial rulemaking records and item b for nonsubstantial rulemaking records.

The following change was made in the 02/28/2014 version:

- Revised list of schedule items in paragraph in Guidance related to permanent electronic records transferred to the National Archives.

This schedule combines and consolidates previously approved EPA schedule items.

Custodians:

Multiple units

Related Schedules:

EPA 0008, EPA 0152, EPA 1036, EPA 1044, EPA 1047

Previous NARA Disposal Authority:

Previous NARA disposal authorities can be found at:
http://intranet.epa.gov/records/schedule/consolidation/files/1023_Regulatory_Developmen_crosswalk.docx.

Entry: 10/17/2011

EPA Approval: 07/02/2013

NARA Approval: 03/02/2016

EPA Records Schedule 1024

Status: Final, 02/29/2016

Title: Federal Advisory Committee Records

Program: All Programs

Applicability: Agency-wide

Function: 316 - Applied Research and Science Support

NARA Disposal Authority:

- DAA-GRS-2015-0001-0001 (Item a)
- DAA-GRS-2015-0001-0002 (Item b)
- DAA-GRS-2015-0001-0003 (Item c)
- DAA-GRS-2015-0001-0004 (Item d)
- DAA-GRS-2015-0001-0005 (Item e)
- DAA-GRS-2015-0001-0006 (Item f)

Description:

This schedule covers Federal records created or received by Federal advisory committees and their subgroups pursuant to the Federal Advisory Committee Act (FACA) of 1972 (5 U.S.C., Appendix, as amended) and records related to the management of these committees by their sponsoring agencies or departments.

Disposition Instructions:

Item a: Substantive committee records

Includes records that document the establishment and formation of committees and their significant actions and decisions, including:

- Records related to the establishment of the committee, including charters (original, renewal, re-establishment, and amended), enacting legislation, explanation of committee need (when required), filing letters to Congress, organization charts, committee specific bylaws, standard operating procedures or guidelines, any other materials that document the organization and functions of the committee and its components;
- Records related to committee membership, including memos or similar documentation of how and/or why individual members were selected, membership balance plans, membership rosters, appointment letters and all sub-categories of appointment letters such as renewals, thank you letters, etc., resignation or termination letters;

- Records of committee meetings and hearings, including agency head's determination that a meeting or a portion of a meeting may be closed to the public, agendas, materials presented to or prepared by or for the committee such as briefing books, background materials, reports (including drafts), and presentations, meeting minutes, public comments, testimony received during hearings, transcripts of meetings and hearings (Note: if transcripts do not exist, audiovisual recordings are permanent under item b);
- Records related to committee findings and recommendations, including one copy each of final reports, memoranda, letters to agency, studies, and pamphlets produced by or for the committee, responses from agency to committee regarding recommendations, committee presentations or briefings of findings;
- Records created by committee members, including correspondence documenting discussions, decisions or actions related to the work of the committee (excluding administrative or logistical matters), electronic mail exchanged between one or more committee members and/or agency committee staff (such as the Designated Federal Officer (DFO);
- Records related to research collected or created by the committee, including records relating to research studies and other projects, unpublished studies, reports, and research materials (may include electronic data), raw data files created in connection with research studies and other projects where the information has been consolidated or aggregated for analyses, reports or studies;
- Documentation of advisory committee subcommittees (i.e., working groups, or other subgroups), including records relating to the formation of the subcommittee or working group, if they exist, decision documents, membership, statement of purpose or other documentation of duties and responsibilities;
- Records that document the activities of subcommittees that support their reports and recommendations to the chartered or parent committee, including, but not limited to meeting minutes, transcripts, reports, briefing materials, substantive correspondence including electronic mail exchanged between one or more subcommittee members, any other party that involves the work of the subcommittee, and/or agency committee staff (such as the DFO), and background materials;
- Records related to committee termination (i.e., email, letter, memo, etc.); and
- Other records documenting decisions, discussions, or actions related to the work of a committee, including information on committee websites not captured elsewhere in committee records.

Excludes records of committees whose sole purpose is grant review which are covered by item c.

NARA Disposal Authority: DAA-GRS-2015-0001-0001

- **Permanent**
- Close when records are 15 years old or upon termination of committee, whichever is sooner.
- Transfer to the National Archives after file closure.

Item b: Substantive audiovisual records

Includes records that document significant actions and decisions of committees, including audiotapes, videotapes, and/or other recordings of meetings and hearings if not fully transcribed (i.e., word-for-word transcriptions), captioned formal and informal analog or digital photographs, and any related finding aids, of committee members and staff, meetings or hearings and posters (2 copies) produced by or for the committee.

Excludes records of committees whose sole purpose is grant review which are covered by item c.

NARA Disposal Authority: DAA-GRS-2015-0001-0002

- **Permanent**
- Close when records are 3 years old or upon termination of committee, whichever is sooner.
- Transfer to the National Archives after file closure.

Item c: Grant review committee records

Includes records that document committee establishment, membership, and meeting records related to FACA committees whose only activity is review of grant proposals, including digital and analog recordings of meetings, photographs, posters and other audiovisual materials. Note: If the committee performs additional functions or activities other than review for grants, it should apply the items for all other FACA committee records.

NARA Disposal Authority: DAA-GRS-2015-0001-0003

- **Disposable**
- Close upon termination of committee.
- Destroy after file closure.

Item d: Committee accountability records

Includes records that document financial and ethics accountability, such as records documenting financial expenditures associated with the functioning of the committee (e.g., travel costs, committee member payments, meeting room costs, contractor costs, Federal Register notice costs) and financial disclosure and conflict of interest documents.

NARA Disposal Authority: DAA-GRS-2015-0001-0004

- **Disposable**
- Close at end of calendar year.
- Destroy 6 years after file closure.

Item e: Nonsubstantive committee records

Includes records related to specific committees that are of an administrative nature or are duplicative of information maintained elsewhere, including:

- Drafts and copies of Federal Register notices;
- Audiotapes and videotapes of committee meetings and hearings that have been fully transcribed (i.e., word-for-word transcriptions) or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created);
- Photographs of committee social functions, routine award events, and other nonmission-related activities;
- Records relating to logistical or administrative aspects of committee meetings and activities such as meeting location and access, phone line or internet connections, IT support concerns, etc.;
- Routine correspondence, including correspondence (intra-agency, with committee members or the public) regarding logistics (e.g., agenda planning, meeting arrangements, administrative issues), and public requests for information;
- Nonsubstantive committee membership records, including resumes, curriculum vitae, or biographical information for individuals who are considered or nominated for a committee but are never appointed or invited to serve on a committee, member credentials (resumes or biographies), member files (personnel-type records); and
- Nonsubstantive web content.

NARA Disposal Authority: DAA-GRS-2015-0001-0005

- **Disposable**
- Close when 3 years old, or upon termination of the committee, whichever is sooner.
- Destroy after file closure.

Item f: Committee management records

Includes records created and/or maintained by Committee Management Officers (CMOs) and their staff related to the overall management of committees for an agency, and may pertain to specific committees or to the committee management function in general, including:

- Charter and membership documentation, including a set of filed charters for each advisory committee and membership lists for each advisory committee and subcommittee;
- Annual comprehensive review, including copies of the information provided as the agency's portion of the annual comprehensive review of Federal advisory committees, prepared according to 41 CFR 102-3.175(b);
- Agency guidelines, including guidelines maintained and updated on committee management operations and procedures; and
- Closed meeting determinations to close or partially close advisory committee meetings required by 41 CFR 102-3.105.

NARA Disposal Authority: DAA-GRS-2015-0001-0006

- **Disposable**
- Close when 3 years old, 3 years after submission of report, or 3 years after superseded or obsolete, as appropriate.

- Destroy after file closure.

Guidance:

Media neutral – This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Recordkeeping copy - The sponsoring agency is responsible for designating the recordkeeping copy of permanent committee records. Only one copy of the records should be the official recordkeeping copy that is transferred to NARA. Committee records are to be arranged by committee, not by the type of record (e.g., NARA should not receive a collection of charters for multiple committees; original charters should be transferred with the other permanent records related to the committee, regardless of where they are maintained. When transferring permanent FACA records to NARA, complete the "Checklist for Preparing Records for Transfer to NARA under GRS 6.2, Federal Advisory Committee Records" and include it with the records. The form can be found on NARA's website at: http://www.archives.gov/records-mgmt/grs/grs06-2-transfer-checklist.docx. The requirement to transfer permanent records to the National Archives is in addition to the requirement to transfer copies of selected documents to the Library of Congress.

Copies of FACA committee records - Copies of FACA committee records not maintained by the sponsor or secretariat are considered reference copies and are covered by schedule 0008 Nonrecords.

Other committee records - Other committee records are covered by:

- Intra-agency and internal committees: 1006 Administrative Management, item b
- Quality and Information Council (QIC): 1012 Information and Technology Management, item a

- Rulemaking committees: 1023 Regulatory Development and Implementation, and Dockets, item a (substantial rulemaking records) and item b (nonsubstantial rulemaking records)
- CIO committees: 1012 Information and Technology Management, item b

Reasons for Disposition:

All FACA-related schedules (0180, 0181) were combined into this schedule and revised to conform to GRS 6.2 issued August 2015.

Custodians:

Multiple units

Related Schedules:

EPA 0008

Previous NARA Disposal Authority:

GRS 26/2, GRS 26/4, NC-412-76-7/6, NC1-412-78-2/9, NC1-412-78-5/1, NC1-412-85-4/12, NC1-412-85-6/35 and 36, NC1-412-85-11/13, NC1-412-85-24/50, N1-412-94-2/27 and 28

Entry: 11/02/2015

EPA Approval: 01/28/2016

NARA Approval: 08/06/2015

EPA Records Schedule 1025

Status: Final, 01/31/2020

Title: Legal Services

Program: All Programs

Applicability: Agency-wide

Function: 317 - Legal Services

NARA Disposal Authority:

- DAA-0412-2013-0016-0001 (Item a)
- DAA-0412-2013-0016-0002 (Item b)
- DAA-0412-2013-0016-0003 (Item c)

Description:

This schedule covers records related to providing legal advice and support for the Agency's business. Includes: legal support for EPA's rules and policies, case-by-case decisions (such as permits and response actions), and legislation; legal representation in court challenges to Agency decisions (such as regulations), appeals of enforcement cases, Supreme Court litigation, and cases related to EPA's day-to-day operations, including entering into contracts, awarding grants, managing property and money, and working with EPA employees. It also includes legal advice to EPA and articulation of the Agency's legal positions in the federal courts and before other tribunals and organizations.

Disposition Instructions:

Item a: Historically significant legal services records

Includes: legal interpretation and opinions related to the intent and application of environmental laws and regulations, excluding the background material (item b).

NARA Disposal Authority: DAA-0412-2013-0016-0001

- **Permanent**
- Close upon the expiration, amendment, or revision of an act or regulation.
- Transfer electronic records to the National Archives 5 years after file closure. Transfer non-electronic records to the National Archives 15 years after file closure.

Item b: Other legal services records

Includes, but is not limited to:

- Background material for legal interpretation and opinions related to the intent and application of environmental laws and regulations;
- Board of Contract Appeals cases, consisting of copies of the appeal filed with the Department of Interior Board of Contract Appeals, written memoranda of legal arguments (if any filed), relevant documents relating to disputed contractual issues, contracting officer's final decision, briefs, motions, and pleadings;
- Environmental alternative dispute resolution (ADR) program case files held by ADR program staff or other EPA employees serving as a neutral third party related to the use of ADR in matters affecting public health and the environment that involve parties outside of the Agency such as regulatory matters, permits, remediation of Superfund sites, closure of treatment, storage and delivery facilities, National Environmental Policy Act (NEPA) decisions, controversies stemming from Environmental Justice concerns, and other matters of importance to EPA and other parties;
- EPA personnel law files consisting of records related to discrimination, labor relations, adverse employee actions and labor standards appeals or complaints;
- General Accountability Office (GAO) contract bid protest cases consisting of copies of contract protests filed with the GAO, written memoranda of legal arguments (if any filed), statement of EPA contracting officer, relevant documents related to the protest, contract award or other contracting actions, the protest file, the Agency reports, and related records;
- General legal records, including records related to such matters as contracts, appropriations, real property, claims files consisting of records related to considerations and settlement of claims by and against the U.S. such as tort claims, employees' claims, waivers of claims, claim collection actions, and similar records;
- Information law and intellectual property records, including patents, copyrights, data rights and interpretations under contracts, grants, and cooperative agreements awarded by EPA, records involving EPA's rights to use patented inventions and copyrighted material, licensing of EPA inventions, disclosures of inventions made under grants, contracts, and by EPA employees, lists and copies of issued EPA-owned U.S. patents; and
- Litigation involving EPA and documenting the nature, course, and outcome of defensive litigation involving EPA and related to EPA's environmental laws and regulations, matters outside of EPA's specific environmental regulatory statutes (e.g., Freedom of Information Act, Endangered Species Act, contracts, personnel, federal tort claims, etc.), as well as cases where the government brings suit on a matter outside of EPA's regulatory area (e.g., someone owes the government money), including court pleadings and orders, opinions, depositions, interrogatories, transcripts, affidavits, exhibits, documents related to discovery and evidence, and other records relied on to make the case.

Excludes: Confidential ADR case files (item c), records related to an EPA action that uses ADR held by EPA staff other than Agency employees serving as an ADR neutral, and ADR records for matters involving citizen complaints and employee relations (see Guidance).

NARA Disposal Authority: DAA-0412-2013-0016-0002

- **Disposable**
- Close upon final action, decision or resolution, or completion of the case or program.
- Destroy 10 years after file closure.

Item c: ADR confidential case records

NARA Disposal Authority: DAA-0412-2013-0016-0003

- **Disposable**
- Close after ADR is discontinued.
- Destroy 1 year after file closure.

Guidance:

Media neutral – This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Board of Contract Appeals and GAO contract bid protest case files - Case files maintained by the Office of General Counsel (OGC) in Cincinnati and RTP are also covered by this schedule.

Contract source selection information - Restrictions related to source selection information can be found in the Federal Acquisition Regulations, FAR 3.104.

ADR held by EPA staff other than Agency employees serving as an ADR neutral - Records related to an EPA action that uses ADR held by EPA staff other than Agency employees serving as an ADR neutral are retained according to the disposition instructions for the records of the actions they support, e.g., permits, enforcement cases, grants, etc. See schedule 1016 for ombudsman and citizen complaint files, and schedule 0051 for ADR files related to employee relations.

Other related records schedules - EPA enforcement actions (not defensive cases) are covered by schedule 1044, except for Superfund, Brownfields, and oil site-specific cases which are covered by schedule 1036.

Copies of permanent electronic records transferred to the National Archives - The copy of permanent electronic records transferred to the National Archives (previously scheduled as schedule 0674a(3)) maintained by the submitting office until they are notified by NARA that the transfer is successful is a nonrecord (schedule 0008, item a) and can be deleted when no longer needed.

Reasons for Disposition:

The following change was made in the 01/31/2020 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following changes were made in the 03/31/2015 version:

- Moved from draft to final.
- Added NARA approval date.

This schedule combines and consolidates previously approved EPA and GRS schedule items.

Custodians:

Multiple units

Related Schedules:

EPA 0008, EPA 0051, EPA 1016, EPA 1036, EPA 1044

Previous NARA Disposal Authority:

Previous NARA disposal authorities can be found at:
http://intranet.epa.gov/records/schedule/consolidation/files/1025_Legal_Services_Crosswalk.docx.

Entry: 07/12/2012

EPA Approval: 08/09/2013

NARA Approval: 03/08/2015

EPA Records Schedule 1029

Status: Final, 04/30/2017

Title: Employee Training Records

Program: All Programs

Applicability: Agency-wide

Function: 403 - Employee Development and Performance Management

NARA Disposal Authority:

- DAA-GRS-2016-0014-0001 (Item a)
- DAA-GRS-2016-0014-0002 (Item b)
- DAA-GRS-2016-0014-0003 (Item c)
- DAA-GRS-2016-0014-0004 (Item d)
- DAA-GRS-2016-0014-0005 (Item e)

Description:

This schedule covers records about designing, developing, and implementing employee training within EPA that is not mission-related. Typically, such training is routine or mandatory and covers general knowledge and actions all agencies expect of employees, such as training on information security, anti-harassment, ethics, Equal Employment Opportunity (EEO) compliance, drug-free workplace, records management, and travel card use. In other words, training on administrative activities. Includes documentation of employee training provided from any source (internally or externally via private vendors or other agencies) and applies to all groups of Federal workers, civilian, military, and contractors.

Excludes specialized training for firearms, health and safety, national defense, political appointees, or mission-specific training, which may document EPA's program objectives or illustrate program operations; and financial records related to the purchase of training or travel for training.

Disposition Instructions:

Item a: Employee training program records

Includes: records about planning, assessing, managing, and evaluating EPA's training program including plans; reports and program evaluations; organizational and occupational needs assessments; employee skill assessments; employee training statistics; notices about training opportunities, schedules, or courses; mandatory training tracking and reporting files; logistics and coordination documents; Authorization, Agreement and Certification of Training (SF-182) and similar records; registration forms; employee attendance records; syllabi, presentations, instructor

guides, handbooks, and lesson plans; reference and working files on course content; other course materials, such as presentations and videos; and student, class, or instructor evaluations.

Excludes ethics training covered by item b.

NARA Disposal Authority: DAA-GRS-2016-0014-0001

- **Disposable**
- Close at end of calendar year or when superseded or obsolete, whichever is appropriate.
- Destroy 3 years after file closure.

Item b: Ethics training records

Includes: administration of new employee ethics orientation, annual, and other types of ethics training; EPA's annual written plans; notices about training requirements and course offerings; rosters of employees required to attend and verification of training completed; and instructor guides, handbooks, handouts, and other materials.

NARA Disposal Authority: DAA-GRS-2016-0014-0002

- **Disposable**
- Close at end of calendar year or when superseded, whichever is later.
- Destroy 6 years after file closure or immediately after supersession.

Item c: Individual employee training records

Includes: records documenting training required by all or most Federal agencies, such as information system security and anti-harassment training, and training to develop job skills, including completion certificates or verification documents for mandatory training required of all Federal employees or specific groups of employees (e.g., supervisors, contractors); Individual Development Plans (IDPs); and mentoring and coaching agreements.

Excludes: academic transcripts, professional licenses, civil service exams, or documentation of mission-related training.

NARA Disposal Authority: DAA-GRS-2016-0014-0003

- **Disposable**
- Close when superseded, or at end of calendar year, or after employee separates, whichever comes first.
- If superseded, destroy immediately after file closure. If closed at end of calendar year, destroy 3 years after file closure. If separated, destroy 1 year after separation.

Item d: Senior Executive Service Candidate Development Program (SESCDP)

Includes: Office of Personnel Management (OPM) approved training program designed to develop employees with strong executive potential to qualify them for and authorize their initial career

appointment in the Senior Executive Service (SES), including program records documenting program scope, policies, planning, budget, and curriculum planning.

NARA Disposal Authority: DAA-GRS-2016-0014-0004

- **Disposable**
- Close when no longer needed for business use.
- Destroy immediately after file closure.

Item e: SESCDP case records on participants

Includes: records documenting training, developmental assignments, mentor agreements and evaluations, and SES Development Plans.

NARA Disposal Authority: DAA-GRS-2016-0014-0005

- **Disposable**
- Close upon certification by OPM's Qualifications Review Board (QRB) or after separation from SESCDP.
- If certified, destroy immediately after file closure. If separated, destroy 1 year after file closure.

Guidance:

Media neutral – This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Related records - Financial records related to the purchase of training or travel for training are covered by schedule 1004 item b. Health and safety training is covered by schedule 1001 item b. Training records related to EPA's environmental mission are covered by schedule 1022 item a.

Reasons for Disposition:

This schedule conforms to NARA's General Records Schedule 2.6, transmittal no. 27, issued January 2017 and replaces schedule 0571.

Custodians:

Multiple units

Related Schedules:

EPA 1001, EPA 1004, EPA 1022

Previous NARA Disposal Authority:

GRS 1/29

Entry: 03/15/2017

EPA Approval: Not applicable

NARA Approval: 01/01/2017

EPA Records Schedule 1032

Status: Final, 02/28/2019

Title: Employee Separation Records

Program: Personnel

Applicability: Agency-wide

Function: 403 - Human Resources Management

NARA Disposal Authority:

- DAA-GRS-2014-0004-0001 (Item a)
- DAA-GRS-2014-0004-0002 (Item b)
- DAA-GRS-2014-0004-0003 (Item c)
- DAA-GRS-2014-0004-0004 (Item d)
- DAA-GRS-2016-0007-0001 (Item e)
- DAA-GRS-2016-0007-0002 (Item f)

Description:

This schedule covers records created in the process of employees leaving Federal service whether that service is career, temporary, or political appointment. These records divide into categories: records managing an employee separation program in general, and case files specific to individual separations.

Disposition Instructions:

Item a: Separation program management records not specific to an EPA separation initiative

Includes: legal interpretation and opinions related to the intent and application of environmental laws and regulations, excluding the background material (item b).

NARA Disposal Authority: DAA-GRS-2014-0004-0001

- **Disposable**
- Close when no longer required for business use.
- Destroy immediately after file closure.

Item b: Separation program management records specific to an EPA separation initiative

Includes separation initiatives such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs.

NARA Disposal Authority: DAA-GRS-2014-0004-0002

- **Disposable**
- Close upon program closure.
- Destroy 2 years after file closure.

Item c: Individual employee separation case files

Includes records not included in separating employee's Official Personnel Folder (OPF), documenting individual employees' transfer to another Federal agency or office or voluntary, involuntary, disability, early retirement, retirement, or death separation from career, temporary, and political appointment service; and legal and financial obligations of government to employee and employee to government. Includes records of counseling activities and outplacement services; exit interview records; exit clearances, checklists of returned property; certifications of removal/non-removal of government records; records documenting notification of appropriate third parties (e.g., benefits providers, payroll, facility services, security, information technology) of impending separation (e.g., leave balance pay out or transfer of account, severance, pension, temporary continuation of coverage, annuity estimates, assistance); records documenting employee financial obligations to government (e.g., salary offset notices in effect at time of separation; student loan repayment; recruitment, retention, and relocation incentives; determinations of settlement); copy of leave record retained for agency use.

Excludes records required to be filed in employee's OPF and EPA Form 3110-49 EPA Records Management Checklist for Separating/Transferring or Separated Personnel (see Guidance).

NARA Disposal Authority: DAA-GRS-2014-0004-0003

- **Disposable**
- Close after separation or transfer.
- Destroy 1 year after file closure.

Item d: Records documenting capture of institutional and specialized knowledge

Includes status updates on current and pending assignments, contact information for sources, and other job-related information an office may choose to obtain from a departing employee.

Excludes formal oral histories recorded with an employee before his/her departure which must be scheduled separately.

NARA Disposal Authority: DAA-GRS-2014-0004-0004

- **Disposable**
- Close when no longer required for business use.
- Destroy immediately after file closure.

Item e: Phased retirement administrative records

Records related to managing the program, including: procedural guidance on program administration; informational/marketing/publicizing materials; general correspondence; reports to OPM; memoranda of understanding (MOU) and significant documentation of bargaining unit negotiations; documentation of program structure and details as uniquely instituted by agency.

Excludes records held at the OPM office overseeing the phased retirement program for the entire Government.

NARA Disposal Authority: DAA-GRS-2016-0007-0001

- **Disposable**
- Close after revision, replacement, or when no longer required for business use.
- Destroy 3 years after file closure.

Item f: Phased retirement individual case files

Case files of individual employee participation in phased retirement, such as: application for immediate retirement; evidence of eligibility; reviews/recommendations by supervisor and others; notice of approval or disapproval; retirement benefit estimates; annuity calculations; phased retirement agreement; records documenting knowledge transfer activities; confidentiality agreement with mentees; action/project plans and logs; correspondence.

Excludes records held at OPM concerning staff at other agencies.

NARA Disposal Authority: DAA-GRS-2016-0007-0002

- **Disposable**
- Close after employee participation concludes or the employee retires.
- Destroy 1 year after file closure.

Guidance:

Media neutral – This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Individual employee separation records required to be placed in separating employee's OPF - Individual employee separation records identified in the Office of Personnel Management (OPM) Guide to Personnel Recordkeeping are filed on the left side (short-term) or right side (long-term) of the OPF, as appropriate. This includes, but is not limited to the following records: resignation letter; reason for separation (such as reduction in force); documentation of retirement-option elections and coverage; documentation of indebtedness; documentation of payment or repayment to, or refund from FERS or CSRS; record of employee leave prepared upon transfer or separation; records of most recent performance ratings; designation of beneficiary. The OPFs are covered by schedule 1048.

EPA Form 3110-49 - The EPA Records Management Checklist for Separating/Transferring or Separated Personnel maintained by Records Liaison Officers (RLOs) is covered by schedule 1048.

Phased retirement individual case files - Offices may choose to file these records with the employee’s retirement file, in which case the office should retain them according to the retention period for the retirement file, per item c.

Reasons for Disposition:

The following changes were made in the 02/28/2019 version:

- Added items e and f to conform to NARA’s General Records Schedule 2.5, transmittal 27, issued January 2017.
- Added guidance on phased retirement individual case files.
- Updated cross-references in guidance and related schedules.

The following change was made in the 05/31/2016 version:

- Disposition conforms to NARA's General Records Schedule 2.5, transmittal 27, issued January 2017.

Custodians:

Multiple units

Related Schedules:

EPA 1048

Previous NARA Disposal Authority:

Entry: 05/16/2016

EPA Approval: Not applicable

NARA Approval: 01/01/2017

EPA Records Schedule 1033

Status: Final, 11/30/2016

Title: Employee Ethics Records

Program: Ethics

Applicability: Agency-wide

Function: 317 - Legal Services

NARA Disposal Authority:

- DAA-GRS-2014-0005-0001 (Item a)
- DAA-GRS-2014-0005-0002 (Item b)
- DAA-GRS-2014-0005-0003 (Item c)
- DAA-GRS-2014-0005-0005 (Item d)
- DAA-GRS-2014-0005-0006 (Item e)
- DAA-GRS-2014-0005-0007 (Item f)
- DAA-GRS-2014-0005-0008 (Item g)
- DAA-GRS-2014-0005-0009 (Item h)
- DAA-GRS-2014-0005-0010 (Item i)
- DAA-GRS-2014-0005-0011 (Item j)
- DAA-GRS-2014-0005-0012 (Item k)
- DAA-GRS-2014-0005-0013 (Item l)
- DAA-GRS-2014-0005-0014 (Item m)
- DAA-GRS-2014-0005-0015 (Item n)
- DAA-GRS-2014-0005-0016 (Item o)
- DAA-GRS-2014-0005-0017 (Item p)
- DAA-GRS-2014-0005-0018 (Item q)

Description:

This schedule covers records documenting the activities of EPA's ethics program.

Disposition Instructions:

Item a: General ethics program records

Includes records created and maintained to coordinate and manage EPA's ethics program and that relate to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics-related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives, including:

- Records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records;
- Determinations, including advice and counseling to individual employees, and supporting records; and
- Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.

NARA Disposal Authority: DAA-GRS-2014-0005-0001

- **Disposable**
- Close 6 years following the conclusion of an ethics regulatory review, provision of advice to an employee, making a determination regarding outside employment, or after such determination is no longer in effect or applicable, or when no longer needed for an active investigation, whichever is later.
- Destroy after file closure.

Item b: Referrals and notifications of violations

Includes referrals to Inspectors General (IG) or the Department of Justice (DOJ) concerning ethics violations or suspected violations and related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution, and copies of Office of Government Ethics (OGE) Form 202, Notification of Conflict of Interest Referral.

NARA Disposal Authority: DAA-GRS-2014-0005-0002

- **Disposable**
- Close upon final disposition of the referral to either the IG or DOJ.
- Destroy 6 years after file closure.

Item c: Reports of payments accepted from non-Federal sources

Includes agency reports submitted to the OGE and reported on the OGE Form 1353 (SF 326) which summarizes payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar functions relating to official duties. Also includes supporting documentation, such as statements and forms used to complete submitted reports.

NARA Disposal Authority: DAA-GRS-2014-0005-0003

- **Disposable**
- Close after submission of the report to OGE.
- Destroy 3 years after file closure.

Item d: OGE program questionnaire records

Includes questionnaires completed by ethics officials, such as the "Annual Agency Ethics Program Questionnaire," the "Annual Agency Ethics Officer (DAEO) Survey," and other questionnaires and surveys, including records created or collected to prepare responses to ethics program questionnaires and surveys.

NARA Disposal Authority: DAA-GRS-2014-0005-0005

- **Disposable**
- Close after submission.
- Destroy 3 years after file closure.

Item e: Ethics program review records

Includes records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling, including OGE program review reports, notes and background materials produced during OGE program reviews, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies.

NARA Disposal Authority: DAA-GRS-2014-0005-0006

- **Disposable**
- Close 6 years after all outstanding ethics program review deficiencies have been resolved or when the documentation for the next program review is on file, whichever is later.
- Destroy after file closure.

Item f: Public financial disclosure reports for individuals not confirmed by the U.S. Senate

Includes Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records, reports for individuals filing in accordance with the Ethics in Government Act, as amended (5 U.S.C. app.), including the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act) (Pub. L. 112-105), and not subsequently confirmed by the U.S. Senate.

NARA Disposal Authority: DAA-GRS-2014-0005-0007

- **Disposable**
- Close 1 year after nominee ceases to be under consideration or when no longer needed for active investigation, whichever is later.
- Destroy after file closure.

Item g: All other public financial disclosure reports

NARA Disposal Authority: DAA-GRS-2014-0005-0008

- **Disposable**

- Close 6 years after receipt of the OGE Form 278 or 278e by the agency or when no longer needed for active investigation, whichever is later.
- Destroy after file closure.

Item h: Periodic transaction reports

Includes OGE 278-T forms filed by reporting individuals in accordance with the STOCK Act of 2012, and related records.

NARA Disposal Authority: DAA-GRS-2014-0005-0009

- **Disposable**
- Close 7 years after receipt by the agency or when the related subsequent OGE Form 278 (SF 278) is ready for destruction 6 years later. The reports may be retained longer if needed for active investigation.
- Destroy after file closure.

Item i: Requests to inspect or receive copies of financial disclosure reports or other covered records

Includes OGE Form 201 or agency equivalent form.

NARA Disposal Authority: DAA-GRS-2014-0005-0010

- **Disposable**
- Close when the requested report is destroyed.
- Destroy after file closure.

Item j: Confidential financial disclosure reports for individuals not confirmed by the U.S. Senate

NARA Disposal Authority: DAA-GRS-2014-0005-0011

- **Disposable**
- Close 1 year after nominee ceases to be under consideration or when no longer needed for active investigation, whichever is later.
- Destroy after file closure.

Item k: All other confidential financial disclosure reports

Includes Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A), the Confidential Financial Disclosure Report for EPA SGEs (EPA Form 3110-48), and related records.

NARA Disposal Authority: DAA-GRS-2014-0005-0012

- **Disposable**

- Close 6 years after receipt of the OGE Form 450, except when the OGE Form 450 supports one or more subsequent Optional Form OGE 450-As, then 6 years after receipt of the last related OGE Form 450-A, or when no longer needed for active investigation, whichever is later.
- Destroy after file closure.

Item l: OGE Optional Form 450-A reports

Note: The OGE Form 450-A, filed for up to 3 consecutive years following the filing of an OGE Form 450, is an alternative disclosure report to the OGE Form 450 when there are no new interests to be reported by the filer. The "supporting OGE Form 450" cannot be destroyed until the last OGE Form 450-A report is ready for destruction.

NARA Disposal Authority: DAA-GRS-2014-0005-0013

- **Disposable**
- Close 6 years after receipt of the OGE Form 450-A report, along with the associated OGE Form 450, or when no longer needed for active investigation, whichever is later.
- Destroy after file closure.

Item m: Alternative or additional financial disclosure reports and related records for individuals not confirmed by the U.S. Senate

NARA Disposal Authority: DAA-GRS-2014-0005-0014

- **Disposable**
- Close 1 year after nominee ceases to be under consideration or when no longer needed for active investigation, whichever is later.
- Destroy after file closure.

Item n: All other alternative or additional financial disclosure reports and related records

NARA Disposal Authority: DAA-GRS-2014-0005-0015

- **Disposable**
- Close 6 years after receipt of the financial disclosure report or when no longer needed for active investigation, whichever is later.
- Destroy after file closure.

Item o: Financial disclosure supporting documentation

Includes supporting documentation used to review and verify the filer's report submission, including records such as reviewer's notes, background research reports, and memorialized verbal comments of filer in response to reviewer questions.

NARA Disposal Authority: DAA-GRS-2014-0005-0016

- **Disposable**
- Close at the same time an individual's related financial disclosure report is closed, or 6 years after the individual has submitted their last financial disclosure report, or when no longer needed for active investigation, whichever is later.
- Destroy after file closure.

Item p: Ethics agreements records for employees who do not file financial disclosure reports

Includes records documenting the review and issue of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest, including review of recusals, resignations, reassignments, and divestitures; determinations; authorizations; waivers; and waivers of disqualifications.

NARA Disposal Authority: DAA-GRS-2014-0005-0017

- **Disposable**
- Close 6 years after the waiver or other agreed-upon determination or action has been issued or undertaken, or 6 years after it is no longer in effect, or when no longer needed for active investigation, whichever is later.
- Destroy after file closure.

Item q: Ethics agreement records for employees who file financial disclosure reports

NARA Disposal Authority: DAA-GRS-2014-0005-0018

- **Disposable**
- Close at the same time as the employee's last related financial report is closed or when no longer needed for active investigation, whichever is later.
- Destroy after file closure.

Guidance:

Media neutral – This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Public Financial Disclosure Reports (SF-278), covered by items f and g, are maintained by the Office of General Counsel (OGC). Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A), covered by items k and l, are maintained by Deputy Ethics Officials.

Reasons for Disposition:

The following change was made in the 11/30/2016 version:

- Revised the closure instructions for item a to conform to GRS 2.8.

All ethics-related schedules (0035, 0069, 0070, 0071, 0072, 0073, 0074) were combined into this schedule and revised to match GRS 2.8 issued August 2015.

Custodians:

Multiple units

Related Schedules:

Previous NARA Disposal Authority:

GRS 25/1, GRS 25/2, GRS 25/3, GRS 25/4, GRS 25/5, GRS 25/6, GRS 25/7

Entry: 12/01/2015

EPA Approval: Not applicable

NARA Approval: 08/01/2015

EPA Records Schedule 1035

Status: Final, 04/30/2017

Title: Environmental Programs and Projects

Program: All Programs

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- DAA-0412-2013-0021-0001 (Item a)
- DAA-0412-2013-0021-0002 (Item b)
- DAA-0412-2013-0021-0003 (Item c)
- DAA-0412-2013-0021-0004 (Item d)
- DAA-0412-2013-0021-0005 (Item e)

Description:

This schedule covers program and project records for EPA's missions to monitor the environment, determine proper environmental standards and address environmental hazards and contamination. This includes, but is not limited to the following activities: emergency response and waste management; air pollution and radiation exposure; safe drinking water and restoration and maintenance of oceans, watersheds and their aquatic ecosystems; risks from pesticides and toxic substances; and research and development.

Excludes: Superfund, Brownfields, and oil spill site-specific environmental programs and projects which are scheduled separately.

Disposition Instructions:

Item a: Historically significant environmental program and project records

Includes substantive program and project records within one or more of the following categories: that assess ongoing threats to human health and the environment; that document significant actions to improve air quality, reduce risks associated with exposure to toxic substances, or protect water from contaminants that endanger public health; that produce major contributions to environmental or scientific knowledge; that result in new and advanced technologies and methodologies; and that have continuing research and informational value beyond EPA's use of the records for business purposes. Includes, but is not limited to:

- Alternate test procedure applications for nationwide or limited-use approval of alternate test procedures for determining regulated parameters in National Pollutant Discharge

Elimination System (NPDES) and National Primary Drinking Water Regulations (NPDWR) monitoring that are approved, including method description, performance data and/or comparability study data, technical and statistical reviews, a method recommendation to the approval authority, and related records;

- Applied and directed scientific research project files for projects conducted by EPA personnel in the Office of Research and Development (ORD) laboratories that directly support rulemaking, enforcement, regulatory, or policy decisions, research of high programmatic relevance, and research of significant national interest (e.g., technology transfer projects which may be critical to the award of a patent or other important commercial or legal decision), consisting of research plans, research methodology, questionnaires, quality assurance project plans, raw data, laboratory notebooks, correspondence, reports, peer reviews, quality assurance assessments, and related records;
- Clean Water Act (CWA) Section 404 program files related to the management of the nation's navigable waters, wetlands, and soil erosion efforts to prevent the pollution of the waterways, consisting of correspondence with federal and state officials and private companies regarding various issues that pertain to the prevention of pollution of waterways, memoranda of understanding, coordination of issues with the Corps of Engineers, policy and regulations that pertain in the management of the program;
- Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 103 notifications of spills or other releases of hazardous substances that equals or exceeds a reportable quantity (RQ), consisting of records of communication recording the immediate notification, the Notification of Hazardous Waste Site, initial written report for continuous releases citing the location and/or facility, the amount(s) and type(s) of the hazardous substances or waste, and location layout, and written follow-up report;
- Criteria and health assessment documents and risk assessment guidance related to air and water quality criteria documents used to assess the risk of exposure to hazardous pollutants and support regulatory and enforcement decisions, consisting of program office requests to the ORD laboratories, scientific and technical evaluations, unit risk calculations and other data compilations related to scientific assessments, references, studies, and related records;
- Disaster response and preparedness records related to Presidential declared major disasters documenting disasters of an extraordinary nature, i.e., major natural disasters such as floods, earthquakes, and hurricanes (e.g., Hurricane Katrina), as well as man-made disasters such as space accidents and terrorism (e.g., World Trade Center) where federal assistance supplements state and local efforts, consisting of damage surveys, damage assessments, environmental samples, geographic data, inspection reports, correspondence, interagency documentation, and administrative support records;
- Effluent guidelines studies (EFG) containing information collected on an industry-by-industry basis to support development of various technology-based effluent guidelines, consisting of information collected on engineering and economic information on individual plants, sampling and analyses from wastewater discharge points, plant name and location, plant size and age, wastewater characteristics and controls, treatment technologies, types of products/services, waste use, costs of wastewater treatment, and pollution prevention practices;
- Environmental process and effects research program files related to EPA's research conducted on developing scientific and technological methods and data to understand, predict, and manage the entry, movement, and fate of pollutants into the environment and

food chain and their effects on terrestrial and aquatic organisms ecosystems, consisting of correspondence and supporting documentation;

- Final deliverables, reports, and products submitted by contractors and grantees to EPA, or produced in-house by individuals, committees, task forces, or other groups, as well as final reports resulting from special or pilot studies and surveys and related to EPA's environmental programs and projects;
- Health and environmental assessment program files related to the development of health, risk, and exposure assessments, risk assessment guidelines, and air and water quality criteria documents used to assess the risk of exposure to hazardous pollutants and chemical substances such as carcinogenic, mutagenic, teratogenic, reproductive, and other chronic effects, consisting of program office requests to ORD, scientific and technical evaluations and assessments, peer review comments by expert scientists and EPA reviewers, public comments, and related records;
- Integrated risk information system (IRIS) documentation containing information related to human health risk assessment and consisting of decision files for those chemicals listed in IRIS (scheduled as EPA 468), including peer review records, key and difficult-to-find reference materials such as unpublished studies, EPA reports, and foreign translations;
- International activities and agreements consisting of significant correspondence, meeting notes, conference and symposia materials, and significant records related to multilateral organizations such as the United Nations Environmental Program, the Intergovernmental Maritime Consultative Organization, the World Health Organization, and similar groups;
- Laboratory approval and analytical method development supporting direct implementation of drinking water regulations, including records associated with any EPA coordinated laboratory approval program, and the associated analytical method development, supporting the analytical requirements mandated by federal direct implementation rules (e.g., Long Term 2 (LT2) Enhanced Surface Water Treatment Rule and the Unregulated Contaminant Monitoring Regulation (UCMR)), including laboratory applications, proficiency testing study coordination and laboratory performance results, final listing of EPA-approved laboratories, laboratory audit reports, research summaries, copies of published manuscripts, peer review documentation, and copies of final EPA method;
- Pesticide document management system (PDMS) registrant registered studies consisting of published and unpublished technical documents submitted to EPA by registrants, experimenters, or other government agencies in support of, but not limited to, registration actions, petitions for tolerances, 24c's, Section 18s, registration standards/special reviews, and data call-ins;
- Pesticide reregistration eligibility decision (RED) case files related to the development of a reregistration eligibility decision, consisting of correspondence, fact sheets, copies of Federal Register notices, briefing materials, science reviews, RED drafts with comments and concurrences, and final RED and related records;
- Pesticide state plans for applicator certifications submitted by states, territories, tribes, and other federal agencies, including copies of Federal Register notices, training manuals, and related records;
- Pesticide special accident investigations and case studies resulting from the misuse of pesticides, including incidents such as the destruction of a flock of birds, the death of children or farm workers, and the loss of livestock;

- Pesticide science data reviews of scientific data to determine the potential hazards of pesticide chemicals, which may pertain to toxicology, residue chemistry, ecological effects, exposure assessment, and similar records;
- Pesticide special review files of data used to review a chemical suspected of meeting risk criteria (e.g., acute and chronic toxicity, reproduction, reduction in wildlife, endangered species and non-target animals, lack of emergency treatment), including correspondence, exposure/risk and benefit analyses, environmental fate profiles, copies of Federal Register notices, technical literature, company submitted data, science reviews, evaluation and validation of rebuttals, Scientific Advisory Panel and U.S. Department of Agriculture reports, registration data, press releases, draft and final position documents with comments, concurrences, and associated bibliographies;
- Pesticide tolerance petition jackets for established tolerances, including correspondence between EPA and manufacturers, product labels and updates, applications for temporary permits, copies of Federal Register notices, inert ingredient tolerance/tolerance exemption petitions, and related records;
- Pesticide usage survey final reports consisting of quantitative usage surveys conducted for EPA, reports of survey design, implementation, reports of results, basic data and documentation on the actual usage of pesticide products by region, extent of usage, site, and other information;
- Research records related to acid deposition, environmental monitoring and atmospheric processes;
- Research records related to environmental engineering and technology, including energy systems and energy control and conservation;
- Source data files needed for continued research related to in-house radiological research projects consisting of data files, research findings, test results, survey questionnaires, reports used to collect and process raw data generated by experimental observations and radiological surveillance to arrive at conclusions or scientific determinations during the course of a research project (e.g., Three Mile Island Nuclear Plant, Massachusetts Bay Study of 1992 involving radioactive waste disposal dumped in the Bay during 1946-1972);
- Toxic Substances Control Act (TSCA) chemical inventory file containing documentation related to the inventory of chemicals pursuant to Section 5 of TSCA, consisting of reports, correspondence, corrected data and replacement of data submitted, and related records;
- TSCA Section 4 chemical test program results related to the testing requirements specified in a test rule or consent order, consisting of final reports, interim progress reports, amendments, modification requests and EPA responses, exemption from test rule applications, request for exclusions, request for waivers, study protocol submissions, meeting summaries, legal proceedings, hearings, written and telephone conversations, comments and other supporting records;
- TSCA Section 5 new chemical files related to the screening of risk and the regulation of new chemicals to be manufactured or imported, including test data, communications between EPA and the submitter, focus reports, reviews, telephone logs, and related records;
- TSCA Section 6 regulation of hazardous chemical substances and mixtures files related to the requirements associated with the disposal, prohibition, or limitation of the manufacture, processing, distribution in commerce or use of a chemical or mixture (e.g., polychlorinated biphenyl (PCB), lead, dioxin furans) that presents or unintentionally causes the chemical substances or mixture to present an unreasonable risk of injury to human health or the environment, consisting of permit applications for disposal or research and development,

toxicity data, company notifications of inadvertently produced chemicals, requests for waiver or exemptions, internal correspondence and related records;
- TSCA Section 8 information and reporting files consisting of a wide variety of reports, notices, and health and safety studies submitted per TSCA Section 8, or voluntarily to EPA, pertaining to a chemical or group of chemicals' identity, use, manufacturing production, importation, processing, health and environmental effects and fates, associated by-products, human exposure, and/or disposal data of chemicals or chemical mixtures, including preliminary assessment information rule (PAIR), comprehensive assessment information rule (CAIR), and inventory update rule (IUR); and
- Water quality planning and management files consisting of final plans and biennial reports documenting activities undertaken by EPA, states, interstate, regional, and local agencies and dealing with nonpoint source implementation projects and information on projects such as reservoirs and nuclear power plants which may affect water quality.

NARA Disposal Authority: DAA-0412-2013-0021-0001

- **Permanent**
- Close when activity, project, or topic completed.
- Transfer to the National Archives 15 years after file closure.

Item b: Long-term environmental program and project records

Includes records that are not required for documenting the history of the program or project, but which have operational value to EPA throughout the life of the program or project. Includes, but is not limited to:

- Clean Air Act certification records related to manufacturers' applications and EPA actions for emission certification for motor vehicles, locomotives, and nonroad mobile sources, including technical product descriptions, test results, copies of the certificate of conformity, notices of violations, and related records;
- Emergency Planning and Community Right-To-Know Act (EPCRA) trade secret claims files submitted to EPA under Section 322 of the Superfund Amendments and Reauthorization Act (SARA) of 1986, including chemical identity, substantiation of trade secret eligibility, and other information on the chemical for which trade secret protection is being claimed;
- IRIS documentation files consisting of unsolicited and solicited submissions from the public with information on chemicals for consideration in new and future IRIS assessments;
- Pesticide chemical inert ingredient master file consisting of information on the chemical identity of proprietary trade name products used as inert ingredients, including correspondence, Material Safety Data Sheets (MSDS), and chemical identification of proprietary inert ingredient products;
- Pesticide company transfer correspondence file consisting of correspondence, transfer agreements, affirmation documents, and other supporting documentation related to the transfer/ownership of companies, products, and data;
- Pesticide experimental use product (EUPs) jackets, including the application for experimental use, product label, application data, briefing paper, and acceptance or rejection letter;

- Pesticide product label system (PPLS) consisting of a collection of registered pesticide product labels submitted by registrants and accepted by EPA prior to 1996, including a cumulative index;
- Pesticide reviews of chemical compounds used to support risk assessments, benefit assessments, and regulatory actions, consisting of draft reviews, comments, copies of journal articles, lab reports, test products, economic impacts, use analysis or applications covering such areas as pharmacology and toxicology, residues in crops and food items, environmental samples (e.g., soil, sediment, water, fish, grass), human samples and their related materials, lab validations of registrants' methods;
- Pesticide registration jackets for new registration of a pesticide, including confidential statement of formula, enforcement action, product label, label change recommendations, chemical reviews, reports and materials supporting label citations, enforcement case reviews, cancellation notices, certified mail receipts, products, formulas, and related records;
- Pesticide registration maintenance fee records consisting of mailing receipts and telephone logs of conversations with registrants concerning maintenance fee billings and fee responses from companies, and related correspondence;
- Pesticide reregistration case files containing registrant response worksheets, correspondence, copies of Federal Register notices, bibliographies, disciplinary and topical summaries, and related records;
- Pesticide test method evaluation records related to the review, evaluation, modification, and validation of test methods used for the analysis of environmental samples, food, feed, and pesticide products, consisting of methods reports, methods and essential laboratory raw data such as chromatograms and original test method data submitted by companies;
- Pesticide 24c applications by state, including the applicant's name and address, product name, issue date, expiration date, toxicity, pesticide form, pesticide type(s), chemical active ingredients, and percent concentration of each ingredient, sites, and pests; and
- Scientific research project files related to basic, exploratory research for projects conducted by EPA personnel in ORD laboratories and research project files for the Office of Chemical Safety and Pollution Prevention (OCSPP) that provide demonstration or proof of concept projects such as method validation studies, and basic, exploratory, conceptual research to study basic phenomena or issues, including characterization of health or ecological mechanisms and/or endpoints in order to improve the understanding of the interaction of environmental compounds, conditions, or processes with human and other life forms, including research plans, research methodology, questionnaires, quality assurance project plans, raw data, laboratory notebooks, correspondence, data collection media, interim and final reports, quality assurance assessments.

  NARA Disposal Authority: DAA-0412-2013-0021-0002

- **Disposable**
- Close when activity, project, or topic completed.
- Destroy 20 years after file closure.

Item c: Routine environmental program and project records

Includes records with routine operational value and not considered essential for the ongoing management of the program or project. Includes, but is not limited to:

- Alternate test procedure applications for methods developed for nationwide use in regulated NPDES and NPDWR monitoring or for limited use in NPDES monitoring or NPDWR radionuclide monitoring that are not approved;
- Ann Arbor recall and in-use testing records, consisting of listings of vehicle owners, labels, supplemental sheets, maintenance forms, correspondence, and related records;
- Certification of Waste Isolation Pilot Plant (WIPP) records consisting of information gathered by EPA in its role as regulator to certify that WIPP is in compliance with disposal regulations before the U.S. Department of Energy (DOE) can begin waste emplacement, including DOE applications, references, and other supporting information;
- Clean Air Act data records related to motor vehicle emission standards, including temperature chart tests, correlation tests of instruments, strip chart of analyses, drivers trace charts, exhaust concentration data, preliminary results, as compared to final results of tests, and related records;
- Collections of approved or accepted quality assurance project plans (QAPPs) and quality management plans (QMPs) that describe procedures to assess environmental measurement activities or document the quality system of the organization conducting the environmental data collection activities;
- Collections of laboratory standard operating procedures (SOPs) used to assure quality of analytical procedures used by EPA laboratories and used to implement and assess environmental measurements activities; including sampling, instrument operations, calibration of equipment and instruments, sample preparation, laboratory and field analytical procedures, data validation and verification, health and safety, interlab cross-check reports, trip reports, and special project analysis reports;
- Disaster response and preparedness records for other Presidential declared emergencies such as short-term federal emergencies requiring federal assistance to supplement state and local efforts to save lives, protect property, or to lessen or avert the threat of a catastrophe, and local EPA emergencies occurring in or near EPA facilities (e.g., flooding due to a broken pipe) affecting the ability to conduct EPA business;
- Drinking water management and direct implementation files related to public water supply systems, source water assessment and protection, wellhead protection, and the direct implementation of the primary and secondary drinking water regulations, including supplier reports to the states, public notices, education materials, public water system inventories, correspondence, reports, and related records;
- Effluent guidelines studies supporting documentation;
- Emergency planning program for radiological incident records, consisting of accident and incident reports, emergency planning symposium arrangements, model emergency plans, reference materials, interagency meetings and conference minutes, scenarios for power plant accident exercises, investigation reports, and related records;
- International affairs bilateral agreements related to the evaluation of all international bilateral activities involving EPA and foreign organizations and governments;
- International affairs ocean dumping files related to EPA participation in implementing the 1972 Ocean Dumping Treaty and EPA's chairmanship of the U.S. delegations to treaty group meetings, EPA monitoring of ocean dumping incidents, review and evaluation of

ocean dumping regulations, and related matters, consisting of position papers, conference reports, correspondence, and related records;

- National Contingency Plan (NCP) product files, including the NCP Product Schedule of dispersants and other chemical or biological products that may be authorized for use on oil discharges and consisting of the NCP Product Schedule, vendor applications, correspondence, Agency and contractor review documentation, Technical Bulletins, and related records;
- National emissions standards for hazardous pollutants (NESHAPS) radiation facility and site files consisting of records related to the investigation of emissions into the air from radiologically contaminated sites, radioactive waste disposal sites, and industrial sources of radionuclides as air pollutants, including reports of the Department of Energy, other federal agencies, and other entities such as states and tribes;
- Pesticide facilities files consisting of records related to the manufacture, distribution, and application of pesticides products, including registration applications, registrations, investigation reports, supporting papers, certification forms, correspondence, and related records;
- Pesticide tolerance petition jackets for established limited or temporary tolerances and inactive tolerances;
- Pesticide emergency exemption jackets (Section 18s) consisting of state or federal requests to exempt a pesticide from certain provisions of the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), including the scope of emergency, economics, residue and efficacy data supporting the request, scientific evaluations, action memorandum, acceptances, withdrawal or denial correspondence, reports submitted during and after exemption regarding use, effect, results from use under an exemption, and copies of Federal Register notices for tolerance rate;
- Pesticide laboratory test reports and supporting documentation related to the receipt and tests made on pesticide samples and supporting documentation, including raw data, media/reagent preparation records, quality and control records, chain of custody, test results, sterilization and calibration records, temperature and air sampling records, inspection records, state testing program-related correspondence, state standard operating procedures, and other reports and assessments;
- Pesticide notices of supplemental distribution of a registered product submitted by registrants wanting to register another company to distribute their product;
- Pesticide indemnification files consisting of original claim forms for indemnification, contractor's report, invoices and/or affidavits, certification documents, notification of payment, and correspondence;
- Pesticide reregistration fees case files for pesticide products containing active ingredients subject to FIFRA reregistration, consisting of registrant market share request submissions, correspondence, copies of reregistration fee invoices, market share request green cards, case-specific background information, and reregistration fee historic information;
- Pesticide state and federal FIFRA issues research and evaluation group (SFFIREG) files consisting of transcripts of meetings, action items, minutes, reports, and related records;
- Pilot project supporting files for pilot projects which explore new technologies, cleanup methods, etc., to improve the environment in a variety of ways on such topics as medical waste tracking demonstration program, environmental leadership pilot project encouraging facilities to develop innovative auditing and compliance programs, and similar projects;

- Radon action files related to the management and oversight of the radon state grant program and the regional radon training centers and technical assistance on radon problem assessment, mitigation, and prevention, including health risk surveys and data, reports, public notices and information, instructional materials, records of communication, and related records (excludes grants which are covered by EPA 1003);
- Rapid tax amortization files related to granting federal tax deductions to facilities that have installed pollution control equipment and devices, consisting of applications, state certifications, technical and legal reviews by regional offices, federal certification, and related records;
- Risk management plan (RMP) implementation records consisting of RMPs, facility audit reports, correspondence, and other records related to the implementation of the Clean Air Act, Section 112(r);
- Sampling and analytical data files related to the chemical analysis services performed to support EPA's environmental programs, including analysis conducted through the Contract Laboratory Program (CLP), sample results in the form of "current files," "purge files," and Sample Management Office (SMO) files, as well as regional lab records of in-house sampling, document inventory forms, data summaries, field sheets, chain of custody, data reports, log books, correspondence, quality assurance and data validation files, quality control summaries and related records;
- Special studies and surveys supporting files related to the development of such topics as environmental levels of toxic substances, coastal zone management, or economic benefits and impact of pesticides produced in house by individuals, committees, or task forces;
- Toxic substances files related to the manufacture, processing, importing, or distribution of substances for commercial purposes and/or disposal covered by TSCA, as amended, including copies of release inventory reports, investigation forms, notification forms, data summaries and reports, certifications, correspondence, and related records;
- Underground storage tanks (UST) site and facility files documenting the management of the UST program, including release reports, site characterization reports, financial assurance documents, evaluations, information requests, and inspection and sampling reports;
- Voluntary partnership programs such as Partners for the Environment, including partnership agreements, reports, correspondence, and related records; and
- Water quality planning and management supporting files for final plans and annual and biennial reports.

  NARA Disposal Authority: DAA-0412-2013-0021-0003

- **Disposable**
- Close when activity, project, or topic completed.
- Destroy 10 years after file closure.

Item d: Short-term environmental program and project records

Includes records with short-term operational value and not considered essential for the ongoing management of the program or project. Includes, but is not limited to:

- Accident and incident summary reports, consisting of brief summary reports on accidents and incidents resulting in or brought on by water contamination;

- Advanced technology problem area projects files related to nuclear fuel processing, fabrication of uranium and plutonium, generic field studies, waste disposal, enrichment, transportation, and other radiation technology problem areas, consisting of problem statements and work plans, analysis and calculation work papers, field investigation reports, testimony before state and federal legislative bodies, technical reports, and related records;
- Alternate test procedure applications for nationwide use in regulated NPDES and NPDWR monitoring or for limited use in NPDES monitoring or NPDWR radionuclide monitoring where the application is defaulted by the applicant or the application is not within EPA jurisdiction (parameter not regulated);
- Applied and directed scientific research project workpapers and administrative correspondence, including completed questionnaires or other documents used for data collection, drafts or copies of interim progress reports, and other workpapers created in the course of the study, excluding those workpapers needed to support the basis for the research conclusions;
- Chlorofluorocarbon (CFC) certificates and registrations received by regional offices under the Clean Air Act Amendments of 1990, consisting of motor vehicle air condition (MVAC) recover/recycle or recover equipment certification form, EPA refrigerant recovery or recycling device acquisition certification form, certifications for technicians, and related records;
- Collections of QAPPs and QMPs that are not approved or accepted;
- Imported nonconforming motor vehicle case files consisting of forms, entry documents, affidavits, invoices, photographs, records describing modifications to vehicles and engines, and certifying conformity to EPA standards, and Agency decisions;
- Instrument notebooks or logs kept by scientists in the course of performing routine, nonprogrammatic activities such as maintenance, calibration and inspection of equipment;
- International activities and agreements records consisting of routine correspondence, meeting notes, conference and symposia materials, and routine records related to multilateral organizations such as the United Nations Environmental Program, the Intergovernmental Maritime Consultative Organization, the World Health Organization, and similar groups;
- International bilateral programs file consisting of records other than the bilateral agreement, including correspondence with the countries and within EPA and information on work accomplishments;
- Laboratory approval and analytical method development supporting direct implementation of drinking water regulations project workpapers and administrative correspondence, including progress reports, analysis reports generated on individual samples assayed during method development, laboratory bench sheets, and correspondence with other researchers conducting similar method development efforts;
- Pesticide export notices of unregistered pesticides containing foreign purchaser acknowledgment statements (FPAS) from exporters of unregistered pesticides with signed statements from foreign purchasers acknowledging that the pesticide is not registered for use in the U.S., including annual summaries from exporters and Agency export notice logs;
- Pesticide imports files consisting of records on source and destination of pesticides imports into the United States, including notices of arrival of pesticides and services and attached registration label of product;
- Pesticide test method evaluation records consisting of nonessential supporting documentation such as extra copies of submissions, nonreportable data, and similar records;

- Protective action planning manual work files related to the development of the nuclear incident protective planning manual, consisting of technical articles and reports, task force records, work plans and reports, comments, and related records;
- Radiological emergency planning records consisting of copies of state and local emergency response plans, inspection reports, correspondence, safety analysis reports, and related records;
- Research project logbooks or index records reflecting the status of individual research projects;
- Resource Conservation and Recovery Act (RCRA) solid waste management plans documenting the process for approving state and municipal plans addressing all solid waste with potential adverse effects on health or the environment or opportunity for resource conservation or resource recovery, consisting of a copy of the proposed plan, capacity assurance plans, review and evaluation of the plan, correspondence, public notices and comments, plan revisions, and related records;
- Spill Prevention Control and Countermeasure (SPCC) facility plans submitted by owners and operators of facilities, submitted to regional offices as required by regulations, including plans and amendments prescribed by the Regional Administrators;
- Summary research projects status reports submitted by project officers to laboratory management showing the status of their projects;
- TSCA administrative tracking and control records consisting of log books, registers, and other records (e.g., transfer logs, document inventory logs and records disposition logs) used to control or document receipt status, maintenance or use of documents containing TSCA confidential business information (CBI) maintained as a separate file and containing significant information for determining location and custodian;
- TSCA Section 12(b) notice of export files containing notifications to EPA from companies of their export or intent to export specific chemicals or mixtures subject to specified actions taken under Sections 4, 5, 6, and 7 of TSCA, including correspondence between EPA and foreign government authorities, other U.S. government agencies, the legal community, industry, or other interested parties, original notices, tracking and control records, and supporting information;
- TSCA Section 13 import records from companies concerning the importation of a regulated chemical substance or mixture, including certification statements and correspondence from companies documenting the receipt of shipment as well as certification of compliance; and
- Water supply laboratory certification program files related to the development of evaluation procedures and quality assurance criteria for ORD laboratories analyzing public drinking water, consisting of procedures manual for laboratory certification, comments on the certification procedures for states, other government agencies, and private groups, and related records.

  NARA Disposal Authority: DAA-0412-2013-0021-0004

- **Disposable**
- Close when activity, project, or topic completed.
- Destroy 5 years after file closure.

Item e: Other environmental program and project records

Includes records that have no value once they are superseded, updated, replaced, or no longer needed for the ongoing management of the program or project. Includes, but is not limited to:

- Alternate test procedure applications master list of approved procedures for NPDES and NPDWR and non-radionuclide methods developed for limited use in NPDWR monitoring;
- Emission factors program (EFP) test records in which EPA tests emissions of privately-owned vehicles, consisting of vehicle and owner identifying information, procurement agreements, owner survey results, inspection records, raw data in the form of strip-chart recordings and printouts from test instrumentation, and emission test results;
- Files containing data determined by competent scientific or technical personnel either to be duplicated or sufficiently summarized in technical reports or elsewhere in the records, or to be of such a routine, repetitive or fragmentary nature that they would not be needed for continued research purposes, excluding original (raw) data used to form the basis for the research conclusions;
- IRIS documentation files, consisting of reference dose/reference concentration (RfD/RfC) and carcinogen risk assessment verification endeavor (CRAVE) files (prior to 1995), including work group notes for chemical assessments completed or not completed for IRIS, and nondecisional file reference and background records and supplemental data prior to 1997;
- Novel microbial pesticide (NMP) files consisting of notifications on small scale field testing of non-indigenous or genetically engineered microbials;
- Oil removal contingency plans for states and local and regional entities, providing for the coordination of the total response to an oil discharge;
- Pesticide company name and address correspondence file;
- Pesticide producing establishments reports showing data transferred from producers' annual reports concerning the kind and amount of pesticides being manufactured by the establishments;
- Pesticide product label system (PPLS) collected after 1996;
- Pesticide requests for EPA company number from entities that will become manufacturing establishments, consortia, distributors of EPA registered products, etc., consisting of requests and EPA's response;
- Research project status lists;
- Source data files related to in-house radiological research projects, other than scientific data needed for continued research purposes; and
- TSCA administrative tracking and control records maintained as a separate file and containing no significant information (e.g., visitor sign-in logs, fax transmittal sheets, firm mailing books, and other mail receipt logs).

  NARA Disposal Authority: DAA-0412-2013-0021-0005

- **Disposable**
- Close when superseded, updated, replaced, or no longer needed for current agency business.
- Destroy immediately after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Related records - Site-specific records for Superfund, Brownfields, and oil spills are covered by schedule 1036. Contracts are covered by schedule 1004 and grants and other program agreements by schedule 1003. Compliance and enforcement records are covered by schedule 1044, and permits by schedule 1047.

Permanent electronic records transferred to the National Archives - The copy of permanent electronic records transferred to the National Archives (e.g., previously scheduled as EPA 0091a(3), EPA 0213a(3), EPA 0233a(3), EPA 0247a(3), EPA 0258a(3), EPA 0261a(3), EPA 0262a(3), EPA 0314a(3), EPA 0315c(1)(c), EPA 0324a(3), EPA 0326a(3), EPA 0335a(3), EPA 0348a(3), EPA 0361a(3), EPA 0364a(3), EPA 0371a(3), EPA 0372a(3), EPA 0414a(3), EPA 0449a(1)(c), EPA 0451a(3), EPA 0452a(3), EPA 0453a(3), EPA 0454a(3), EPA 0455a(3), EPA 0460a(3), EPA 0461b(3), EPA 0472a(3), EPA 0501a(3), EPA 0507a(3), EPA 0507b(3), EPA 0507c(3), EPA 0514a(3), EPA 0741a(3)) maintained by the submitting office until they are notified by NARA that the transfer is successful is a nonrecord (EPA 0008, item a) and can be deleted when no longer needed.

Cited sources – Copies of published material cited in a report, study or similar records, do not need to be included as part of the official records if they are publicly available. If the cited material is available on a website, the citation must include the specific website address (e.g., http://www.epa.gov...) and the date the material was accessed. If, however, the website material is critical to support the decision, conclusion, recommendation, or guidance provided in the record, the material must be filed in the recordkeeping system with the record, if possible.

Delegated programs – If a state or other entity is authorized to implement a program, and the delegated entity maintains the records for the period identified above or longer, the EPA regional program office may destroy the copies it receives when no longer needed. If recordkeeping requirements (e.g., what records to keep and how long to keep them) for authorized entities are not

covered in EPA's regulations, the requirements should be established in a memorandum of understanding.

Quality assurance records – Quality assurance records for specific projects or research files are to be maintained according to the same disposition instructions as the records they support. Item c covers quality assurance project plans (QAPPs) and quality management plans (QMPs) maintained as a separate collection. Unacceptable draft versions of approved QAPPs and QMPs may be destroyed when no longer needed.

Disaster response records – The Robert T. Stafford Disaster Relief and Emergency Assistance Act (the Stafford Act), 42 U.S.C. 5121, et seq., authorizes the President to issue major disaster and emergency declarations. The Agency Records Officer will notify offices if the records are to be maintained as permanent records under item a and will provide additional recordkeeping guidance. Superfund National Priority List (NPL) files for sites affected by a natural catastrophe or emergency should continue to be documented in the appropriate site file covered by schedule 1036.

Original (raw) data and workpapers related to EPA's scientific research that are used to form the basis for the research conclusions must be retained for the approved retention period for the related research project files to ensure the integrity and defensibility of the research records.

Tissue samples and specimens – Tissue samples and specimens, including wet specimens, samples of test, control, or reference substances, and specially prepared material that are relatively fragile and differ markedly in stability and quality during storage, are to be retained only as long as the quality of the preparation affords evaluation. Specimens obtained from mutagenicity tests, specimens of soil, water, and plants, and wet specimens of blood, urine, feces, biological fluids, do not need to be retained after quality assurance verification. In some research studies involving humans, the agreement with the human subjects requires samples to be destroyed immediately after the analysis and quality assurance verification is complete. In that case, the sample is retained as specified in the agreement. Other tissue samples and specimens are to be retained according to the disposition instructions for item d.

Final manuscripts of articles and other publications are permanent records and covered by item a of schedule 1022. Copies of manuscripts and other publications may be maintained in the related project file and are maintained according to the same disposition instructions as the records they support.

TSCA administrative and tracking control records maintained with the related case files are subject to the same retention as the related files.

Reasons for Disposition:

The following changes were made in the 04/30/2017 version:

- Deleted 2nd bullet in item a for annual fish kill reports which have been transferred to NARA.
- Added wording to the disaster response bullets in items a and c.

The following changes were made in the 05/31/2016 version:

- Moved from draft to final status and added NARA approval date..

The following change was made in the 03/31/2016 version:

- Revised disposition instructions for item a.

The following changes were made in the 11/30/2015 version:

- Revised examples of historically significant records in item a.
- Removed FACA records from items a, c, d, e and guidance.
- Revised description for item e.

The following changes were made in the 07/31/2014 version:

- Added "renewal or termination" for FACA records covered in item a.
- Moved FACA committee management records from item c to item e.

The following changes were made in the 02/28/2014 version:

- Revised list of previous schedule items in paragraph in Guidance related to permanent electronic records transferred to the National Archives.
- Added last paragraph to Guidance about TSCA administrative and tracking control records.

This schedule combines and consolidates previously approved EPA and GRS schedule items.

Custodians:

Multiple units

Related Schedules:

EPA 0008, EPA 1003, EPA 1004, EPA 1022, EPA 1036, EPA 1044, EPA 1047

Previous NARA Disposal Authority:

Previous NARA disposal authorities can be found at: http://intranet.epa.gov/records/schedule/consolidation/files/1035_Environmental_programs_and_projects_crosswalk.docx.

Entry: 07/12/2012

EPA Approval: 08/27/2013

NARA Approval: 05/11/2016

EPA Records Schedule 1044

Status: Final, 01/31/2020

Title: Compliance and Enforcement

Program: All Programs

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- DAA-0412-2013-0017-0001 (Item a)
- DAA-0412-2013-0017-0002 (Item b)
- DAA-0412-2013-0017-0003 (Item c)
- DAA-0412-2013-0017-0004 (Item d)
- DAA-0412-2013-0017-0005 (Item e)
- DAA-0412-2013-0017-0006 (Item f)

Description:

This schedule covers records of activities that support all EPA pollution prevention and control programs through monitoring and oversight of specific individuals, groups, industries, or communities participating in a regulated activity via market mechanisms, command and control features, or other means to control or govern conduct or behavior. Includes, but is not limited to: inspections and compliance monitoring as well as direct measurement of pollutants or substances of interest in permitted discharges or in the ambient environment; standard setting and reporting guideline development involving the establishment of allowable limits associated with a regulated activity and the development of reporting requirements necessary to monitor and control compliance with allowable limits; activities to enforce compliance with regulations through legal means, including criminal investigations and prosecutions; cases of the Environmental Appeals Board (EAB); and environmental impact statements (EIS).

Excludes: Permits which are covered by schedule 1047.

Disposition Instructions:

Item a: Historically significant compliance and enforcement records

Includes, but is not limited to:

- Administrative Law Judge (ALJ) case files for landmark cases, consisting of hearings concerning various environmental laws, administrative documents arranging hearings, public

notices of hearings, prehearing and hearing transcripts, orders, all exhibits entered, case index, and other related records;

- Clean Air Act Section 309 review and comment files with official Agency comments regarding EISs, regulations, legislation, and other major federal actions, associate reviewer comments, reviewed materials, and associated records;
- Development and enforcement of air and water standards by states, including documents pertaining to waterways within and bordered by the states, the industries within states, activities of the states relative to the permit program, development of state clean water acts and agencies to monitor and enforce them, and cases referred to the Department of Justice (DOJ) for action;
- Enforcement action files for landmark or precedent cases referred to the Office of Regional Counsel or other offices with enforcement authority, for action against a pollution source or discharger, consisting of correspondence, meeting documentation, inspections, field notebooks, evaluations, notices of deficiency, information requests, warning letters, administrative compliance orders, documentation of civil and criminal actions, corrective action orders, attorney work products, case summaries, pleadings, state and local enforcement records, settlement documents including consent decrees, and discovery requests;
- Enforcement records maintained by the Office of Enforcement and Compliance Assurance (OECA) and related to enforcement of EPA statutes, regulations and standards, including case development and litigation support files, background studies and surveillance reports, legal opinions, attorney work products, violation notices, press releases, compliance orders, and related records;
- EAB case files for landmark cases that are precedent setting, change the way EPA operates, involve a significant policy of national importance, or the subject of review by an appellate court of the United States;
- Environmental impact statements, including drafts, final, and supplemental documents, filed with the Office of Federal Activities (OFA) pursuant to 1506.9 of the Council on Environmental Quality (CEQ) regulations for implementing the National Environmental Policy Act (NEPA) (Excludes the 309 review and comment files maintained in the regional offices which are covered by item b.) (Note: Beginning in 2012, NEPA-related documents are directly input into the ENEPA system by submitting entities. OFA manages ENEPA and is responsible for transferring the record copy to the National Archives.);
- EPA-prepared EISs and environmental assessments (EAs), including draft, final, and any supplemental documents, findings of no significant impact, records of decision, reference materials and documents such as notices of intent and availability in the Federal Register, comments on EPA-prepared EISs or EA documents made by interested parties, special studies or supplemental materials related to the EPA-prepared EIS or EA, EPA-prepared categorical exclusions (CEs), any documents related to the distribution of the EPA-prepared CE, special studies or supplemental material related to the EPA-prepared CE;
- National Historic Preservation Act (NHPA) compliance records documenting EPA's compliance with Section 106 of NHPA, including agreements, correspondence, consulting parties lists, case notes, notification of adverse findings, permit applications, cultural resource surveys (CRS), final criteria of adverse effect report, engineering report, meeting notes, areas of potential effects documentation, and related records;
- Resource Conservation and Recovery Act (RCRA) corrective action files for RCRA land disposals documenting corrective action measures as imposed through a RCRA permit,

RCRA facility assessments (RFA), RCRA facility investigations (RFI), corrective measures studies (CMS), corrective measures implementation (CMI), and related records; and
- State and local agency air monitoring records used to monitor state and local air pollution programs consisting of quality assurance reports of state and local ambient monitoring networks, national air monitoring station reports (NAMS) and state and local air monitoring station reports (SLAMS), staff reviews, comments on Section 105 grant applications, and audit reports showing performance of the agencies.

NARA Disposal Authority: DAA-0412-2013-0017-0001

- **Permanent**
- Close when activity, project, or case is completed.
- Transfer to the National Archives 15 years after file closure.

Item b: Long-term compliance and enforcement records

Includes, but is not limited to:

- Administrative hearing and judicial action case files containing documents on disputed Agency actions heard by Hearing Examiners or ALJs, hearing notices, subpoenas, legal briefs, transcripts, judicial opinions, court orders, decisions by Examiners, as well as technical support files for General Counsel in securing technical data, obtaining and preparing expert witnesses, reading witnesses for testimony, witness lists and resumes, scenarios, technical data references, lab reports, and related records;
- ALJ case files for routine cases, consisting of hearings concerning various environmental laws, administrative documents arranging hearings, public notices of hearings, prehearing and hearing transcripts, orders, all exhibits entered, and other related records;
- Criminal enforcement counsel cases investigated by the Criminal Investigation Division and prosecuted by DOJ, including legal counsel and policy advice pertaining to specific criminal investigations and criminal prosecutions, requests and responses for legal interpretations and opinions pertaining to the intent and application of environmental criminal laws and application regulations and policies, and related criminal laws;
- Criminal investigation records for closed cases that are prosecuted by the DOJ, consisting of completed criminal investigation packages, search warrants, interview reports, investigation reports, lab analyses, indictments, plea agreements, business records, affidavits, and related records;
- Development and enforcement of air and water standards in states, including submission, progress, and status of standards being enacted into law by states and territories, and submitted to EPA for review and approval; legal interpretations and opinions, copies of state acts or programs, and related records;
- Enforcement action files for judicial case files where routine legal actions are required, whether a formal enforcement action is initiated or not, including cases referred to the Office of Regional Counsel or other offices with enforcement authority, for action against a pollution source or discharger, consisting of correspondence, meeting documentation, inspections, field notebooks, evaluations, notices of deficiency, information requests, warning letters, administrative compliance orders, documentation of civil and criminal actions, corrective action orders, attorney work products, case summaries, pleadings, state

and local enforcement records, settlement documents including consent decrees, and discovery requests;
- Enforcement records maintained by OECA and related to the interim program for controlling air pollutants, compliance monitoring and enforcement program for controlling hazardous waste, control of emissions from automobile engines, and compliance monitoring and enforcement program for controlling toxic substances, including statements of program, analyses of state laws, statements from Attorney General, guidance, policies, strategies, and interim and final authorities;
- EIS review and comment files maintained in EPA regional offices, including comments made pursuant to Section 309 reviewer comments, a copy of materials reviewed, and other associated materials; and
- Printouts of pesticide production and distribution data reported under the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA) with information on pesticide establishments bearing an EPA number and data reported to EPA on quantities produced or distributed for each pesticide.

NARA Disposal Authority: DAA-0412-2013-0017-0002

- **Disposable**
- Close when activity, project, or case is completed.
- Destroy 20 years after file closure.

Item c: Routine compliance and enforcement records

Includes, but is not limited to:

- Credentials for inspections and enforcement issued by regional and headquarters organizations under the provisions of EPA Order 3510 EPA Federal Credentials for Inspections and Enforcement of Federal Environmental Statutes and Other Compliance Responsibilities (See file closure requirements in Guidance below.);
- Criminal enforcement counsel cases investigated by the Criminal Investigation Division for which targets were identified, but DOJ declined to prosecute, including legal counsel and policy advice pertaining to specific criminal investigations and criminal prosecutions;
- Criminal investigation records for closed cases where targets were identified, but the DOJ declined to prosecute, consisting of completed criminal investigation packages, search warrants, interview reports, investigation reports, lab analyses, indictments, plea agreements, business records, affidavits, and related records;
- Enforcement action files for administrative case files, whether a formal enforcement action is initiated or not, including cases referred to the Office of Regional Counsel or other offices with enforcement authority, for action against a pollution source or discharger, consisting of correspondence, meeting documentation, inspections, field notebooks, evaluations, notices of deficiency, information requests, warning letters, administrative compliance orders, documentation of civil and criminal actions, corrective action orders, attorney work products, case summaries, pleadings, state and local enforcement records, settlement documents including consent decrees, and discovery requests;
- Enforcement records maintained by OECA and related to motor vehicles rulemaking and vehicles and engines imported for sale and use, including records on fuels;

- Enforcement records maintained by OECA and related to the collection of pesticide samples, the laboratory analysis of the samples, the conformity of the packages and labeling to standards and sample content, discovery of violations, and enforcement of activities;
- Enforcement records maintained by OECA and related to the emission control program, including the development, application, and suspension of guidelines and rules for better control of the emissions from automobile engines, records pertaining to the design and operation of programs for mobile units in production or planned for production, and records pertaining to vehicles or motors already-in-use;
- EAB case files excluding those covered in item a, including permit appeals, enforcement appeals, and Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) reimbursement petitions filed pursuant to CERCLA Sec. 106(b), petitions and responses, pleadings, motions, or correspondence filed in connection with a petition, notices of appeals, appellate briefs, exhibits, oral argument transcripts, orders, and preliminary and final decisions of the EAB;
- Environmental impact assessments of nongovernmental activities, including tourism, in Antarctica, preliminary environmental review memoranda (PERMs), initial environmental evaluations (IEEs), and comprehensive environmental evaluations (CEEs) completed by operators of nongovernmental expeditions organized in or proceeding from the United States to Antarctica;
- External discrimination complaints related to civil rights violations filed by individuals or groups alleging that their civil rights have been violated by EPA-funded entities, complaints, correspondence, reports, exhibits, notices, depositions, transcripts, and other related records;
- Federal agency liaison files for special projects, including projects conducted or coordinated by federal agency liaison staff (e.g., interagency task force activities, multiagency activities and reports, Government Accountability Office (GAO) reports, and other related project reports;
- Federal facilities data system consisting of reports showing the status of pollution abatement efforts by federal agencies, including reports submitted under Office of Management and Budget (OMB) Circular A-106;
- Permit appeal files documenting the appeal process of permits issued by EPA regional offices, including copies of the administrative record, requests for evidentiary hearings, responses and/or petitions for review and responses, reply briefs, hearing transcripts, research documents, settlement records, orders, motions and final decisions of the Regional Administrator, ALJ and/or EAB;
- RCRA corrective action files for corrective actions except RCRA land disposals (item a);
- Records of legal counsel and policy advice by criminal and civil enforcement attorneys that is not enforcement case specific, such as legal opinions or policy advice that apply to more than one case, or to the other mission-related activities of the enforcement and compliance assurance program; and
- State 305(b) water quality reports prepared by state governments and submitted to EPA for review and analysis and transmission to Congress as required by the Clean Water Act, as amended.

NARA Disposal Authority: DAA-0412-2013-0017-0003

- **Disposable**
- Close when activity, project, or case is completed.
- Destroy 10 years after file closure.

Item d: Short-term compliance and enforcement records

Includes, but is not limited to:

- 309 review report of data summarizing official 309 reviews, Federal Register notices, and associated records;
- Air quality management files maintained in regional offices, including annual air quality data reports, air quality modeling reports, annual source emissions and state action reports, prevention of significant air quality deterioration (PSD) nonapplicability files, notification forms, Section 109(j) consistency reports, correspondence, and related records;
- Compliance files consisting of records used to determine compliance with pollution regulations and to recommend legal enforcement actions, if necessary, compliance schedules, inspections, reports, correspondence, inventories, sampling and analytical data, field notebooks, notices of noncompliance, and compliance orders that do not result in enforcement actions;
- Criminal enforcement counsel cases investigated by the Criminal Investigation Division, but not referred to DOJ because no targets were identified, including legal counsel and policy advice pertaining to specific criminal investigations and criminal prosecutions;
- Criminal investigation records for closed cases that are investigated but not referred to the DOJ because no targets were identified or allegations were unfounded, consisting of completed criminal investigation packages, search warrants, interview reports, investigation reports, lab analyses, indictments, plea agreements, business records, affidavits, and related records;
- Executive orders and OMB circulars review and comments file, including EPA evaluations and comments originated or coordinated by other federal agencies, correspondence, evaluation documents, and responses;
- Federal facilities monitoring files containing information used to monitor the environmental controls in use at installations and facilities operated by the federal government and military installations, including correspondence with the facilities, survey reports showing inventory of pollution control equipment in use, discharges, and other facts (excludes: site-specific records relating to hazardous waste sites at federal facilities submitted for preliminary assessments covered by schedule 1036.);
- Federal facilities referrals records related to the referral and processing of requests from federal actions in federal installations that might affect the environment, correspondence and worksheets, reports showing actions proposed and taken, and other related records;
- Federal Register notices for EIS filing; and
- Import and export notifications documenting the decisions regarding the importation of hazardous waste into the United States and the exportation of hazardous waste to foreign countries, notifications to export or import filed by a facility, manifests, correspondence to the country involved and responses, acknowledgement of consent letters to the facility allowing or denying import or export, and related reports.

  NARA Disposal Authority: DAA-0412-2013-0017-0004

- **Disposable**
- Close when case is completed or end of calendar year.
- Destroy 5 years after file closure.

Item e: Other compliance and enforcement records

Includes, but is not limited to:

- Enforcement records maintained by OECA and related to motor vehicles and motor vehicle engines, including import declarations forms, declarations of conformity, code sheets for import declarations, and listings of imported vehicle identification numbers; and
- Federal agency liaison files used to monitor and coordinate EPA contacts and activities with other federal agencies for specific federal agency actions, correspondence with the agencies, NEPA compliance, federal facilities compliance, and other related records.

  NARA Disposal Authority: DAA-0412-2013-0017-0005

- **Disposable**
- Close when activity, project, or case is completed, or when no longer needed for current agency business.
- Destroy 1 year after file closure.

Item f: Administrative Law Judge's repository file

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

NARA Disposal Authority: DAA-0412-2013-0017-0006

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

Guidance:

Media neutral – This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see “Basic Requirements of an Electronic Recordkeeping System at EPA” on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records

containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Copies of permanent electronic records transferred to the National Archives - The copy of permanent electronic records transferred to the National Archives (previously scheduled as EPA 0133a(1)(c), 0134a(1)(c), 0134a(2)(c), 0134a(3)(c), 0206a(3), 0207c(3), 0237a(3), 0399a(3), 0412a(3), 0412c(3), 0412d(3), 0508a(2)(c), 0509a(3), 0686b(2)(c), 0688b(3), 0689a(3), 0689b(3), 0690b(3), 0693b(3), maintained by the submitting office until they are notified by NARA that the transfer is successful is a nonrecord (EPA 0008, item a) and can be deleted when no longer needed.

Delegated programs – If a state or other entity is authorized to implement a program, and the delegated entity maintains the records for the period identified above or longer, the EPA regional office may destroy the copies it receives when no longer needed. If recordkeeping requirements (e.g., what records to keep and how long to keep them) for authorized entities are not covered in EPA's regulations, the requirements should be established in a memorandum of understanding.

Disposition

- The record copy of NEPA-related records, formerly covered by schedules 134 National Environmental Policy Act (NEPA) Preparation Files and 135 309 Review and Comment Files are maintained by OFA at headquarters. Copies maintained by other offices may be destroyed after submission to OFA.
- Landmark cases - Landmark cases are historic, exceptional cases of major, lasting interest at the national or regional level, as well as cases of major precedential significance affecting the legal responsibilities of one or more industrial or commercial sectors across the country. Landmark cases typically involve substantial sustained interest on the part of the public and the media, as well as significant interest on the part of elected officials.
- Civil enforcement action files maintained in EPA regional offices – The regional unit with enforcement authority is responsible for maintaining the record copy and implementing the disposition, including selecting landmark cases for recommendation to the Regional Administrator or the Regional Administrator's designee. Criminal investigation files – Criminal investigation files are maintained by the Office of Enforcement and Compliance Assurance's (OECA's) Criminal Investigation Division. Attorney files pertaining to criminal enforcement matters are held by the assigned attorney's office (Region or Headquarters). Selecting historically significant (landmark) criminal case files for recommendation to the OECA Assistant Administrator is the responsibility of the Director of the Criminal Investigation Division, Office of Criminal Enforcement, Forensics and Training.
- Copies of these records incorporated into other files (e.g., site or facility files) are to be retained according to the disposition instructions for the records they support.
- In situations where one file (e.g., facility file) contains records covered by more than one records schedule, retain the records for the longest retention period.
- UIC well monitoring reports - UIC Class II, III, and V wells are regulated under solution mining and other permits, including deep and shallow injection wells, pose no threat to human health or the environment. The monitoring reports maintained in the regional offices are used as compliance documents similar to other enforcement programs and are covered by item d.

Field activities

- The EPA QA Field Activities Procedure (CIO 2105-P-02.0) applies to both sampling and non-sampling field activities and provides records management requirements for field activities, including field notebooks. To the extent possible, legacy field notebooks should be reviewed and activities identified to be consistent with the Procedure and local, applicable standard operating procedures.
- EPA's Policy on the Use of Mobile Field Inspection Tools (https:www.epa.gov/compliance/policy-use-mobile-field-inspection-tools) establishes the use of electronic devices to access, create, use, analyze and collect information as part of inspections, field investigations, or compliance evaluations. When using electronic devices, it is very important to demonstrate that there has been no change to the original files, and any edits made to the files must be tracked and retained according to the requirements of this records schedule as stated in section d (Preservation of Records) of the Policy.

File closures

- Compliance files - Close files upon completion of review and determination that no additional investigation is warranted and no enforcement is to be pursued.
- Inspector credentials - Close files when the credential expires.
- Regional administrative and civil or criminal judicial enforcement actions - Enforcement action files maintained in program offices and by case attorneys may be transferred to the federal records center (FRC) upon settlement of the case (issued consent agreements/final orders (CA/FOs), issued administrative orders on consent (AOCs), or entered consent decrees, or similar judicial settlement documents, e.g., Judgments). Compliance and monitoring activities required by the settlement document are considered part of the enforcement action file. Program offices and case attorneys should establish a procedure for determining when the file is to be closed and transferred to the FRC so both sets of records have a consistent disposition. For example: The program office notifies the Office of Regional Counsel (ORC) when the compliance activities for an enforcement action are complete and the case attorney certifies the case is closed or the consent decree is terminated and the final close date. The program office updates the disposition date for records at the FRC, if needed.

Related records - Permits are covered by schedule 1047.

Reasons for Disposition:

The following change was made in the 01/31/2020 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following changes were made in the 05/31/2017 version:

- Added guidance on file closures for compliance files and regional enforcement case files.

The following changes were made in the 01/31/2017 version:

- Added inspector credentials to item c and added file closure instructions in guidance.
- Updated guidance on disposition of UIC well monitoring reports maintained in regional offices.
- Added guidance on EPA's Policy on the Use of Mobile Field Inspection Tools.

The following changes were made in the 07/31/2016 version:

- Moved from draft status to final.
- Added NARA approval date.

The following changes were made in the 06/30/2016 version:

- Moved bullet for EIS review and comment files maintained in regional offices from item a to item b.
- Revised guidance on landmark cases and added guidance on the EPA QA Field Activities Procedure.

The following changes were made in the 02/29/2016 version:

- Added note to item a bullet for environmental impact statements and revised transfer instructions.
- Added guidance on disposition of NEPA-related records.

The following change was made in the 03/31/2015 version:

- Added guidance on disposition of UIC Class II well monitoring reports.

This schedule combines and consolidates previously approved EPA and GRS schedule items.

Custodians:

Multiple units

Related Schedules:

EPA 0008, EPA 1047

Previous NARA Disposal Authority:

Previous NARA disposal authorities can be found at:
http://intranet.epa.gov/records/schedule/consolidation/files/1044_Compliance_and_Enforcement_crosswalk.docx.

Entry: 09/12/2012

EPA Approval: 08/09/2013

NARA Approval: 06/27/2016

EPA Records Schedule 1047

Status: Final, 01/31/2020

Title: Permits

Program: All Programs

Applicability: Agency-wide

Function: 108 - Environmental Management

NARA Disposal Authority:

- DAA-0412-2013-0018-0001 (Item a)
- DAA-0412-2013-0018-0002 (Item b)
- DAA-0412-2013-0018-0003 (Item c)
- DAA-0412-2013-0018-0004 (Item d)
- DAA-0412-2013-0018-0005 (Item e)

Description:

This schedule covers records related to the issuance or denial of environmental permits by EPA offices or authorized states, federal facilities, interstate, or local agencies.

Disposition Instructions:

Item a: Historically significant permits

Includes, but is not limited to:

- Resource Conservation and Recovery Act (RCRA) generators, transporters, and treatment, storage, and disposal (TSD) facilities files for RCRA land disposal permits, including notification forms, permit applications and modifications, background and supporting documentation, public notices, drafts and final permits, comments and records of public meetings, fact sheets, exception reports, appeals, import and export notifications, closure and post-closure documents, inspection reports, court orders, manifests, delistings, correspondence, records relating to interim status, and related records; and
- Underground injection control (UIC) Class I, II, III, V, and VI permits, when EPA is the permitting authority, UIC aquifer exemptions, land ban petitions, monitoring reports for UIC Class I permits, including permit applications and final permits, permit modifications, background and supporting documentation, public notices, documentation of compliance with statutory requirements (e.g., Wild and Scenic Rivers Act, Endangered Species Act, National Historic Preservation Act), comments and records of public meetings, fact sheets, exception reports, appeals, correspondence, and related records.

NARA Disposal Authority: DAA-0412-2013-0018-0001

- **Permanent**
- Close RCRA records at permit termination if post-closure care is not required; if post-closure care is required, close records at completion of post-closure care period. Close UIC records when a well has been properly plugged, abandoned and terminated per EPA requirements; or when a permit expires; or when a permit application has been denied.
- Transfer electronic records to the National Archives 5 years after file closure. Transfer non-electronic records to the National Archives 15 years after file closure.

Item b: Administrative records for historically significant permits

Includes, but is not limited to:

- Administrative records for RCRA land disposal permits when EPA is the permitting authority, if maintained separately from the permit file, including permit applications, draft permits or notices of intent to deny, statements of basis and documentation, comments received during the public comment period, public hearing transcripts, final permits, and related records; and
- Administrative records for UIC and UIC land ban exemptions, if maintained separately from the permit file, including land ban petitions, permit applications, draft permits or notices of intent to deny, statements of basis and documentation, comments received during the public comment period, public hearing transcripts, final permits, and related records.

NARA Disposal Authority: DAA-0412-2013-0018-0002

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

Item c: Routine permits

Includes, but is not limited to:

- Administrative records for permits excluding those covered by item b, including permit applications, draft permits or notices of intent to deny, statements of basis and documentation, comments received during the public comment period, public hearing transcripts, final permits, and related records;
- Other permit files such as UIC (excluding where EPA is the permitting authority and UIC aquifer exemptions), national pollutant discharge elimination system (NPDES), pretreatment, sewage treatment, ocean dumping, new source review (NSR) (including prevention of significant deterioration (PSD), nonattainment NSR, and minor NSR), and Toxic Substances Control Act (TSCA) polychlorinated biphenyls (PCB) disposal, including draft and final permits, permit modifications, background and supporting documentation, public notices, comments and records of public meetings, fact sheets, exception reports, appeals, delistings, correspondence, and related records (except those covered in items a and d);

- RCRA permits excluding RCRA land disposal covered by item a, including facilities that comply with regulations without following the usual permitting process, and contains notification forms, permit applications and modifications, background and supporting documentation, public notices, drafts and final permits, comments and records of public meetings, fact sheets, exception reports, appeals, import and export notifications, closure and post-closure documents, inspection reports, court orders, manifests, delistings, correspondence, records relating to interim status, and related records; and
- UIC Class V survey forms where the facilities have responded that there is no shallow well on their property and do not require a permit, or businesses change ownership or go bankrupt.

NARA Disposal Authority: DAA-0412-2013-0018-0003

- **Disposable**
- Close when administrative record is issued; or permit is renewed, terminated, expired, withdrawn, or the determination has been made that a permit is not required; or when no longer needed for current agency business.
- Destroy 10 years after file closure.

Item d: Dredging and fill permits (except the 404 program under Section 404 of the Clean Water Act (CWA) covered by schedule 1035).

NARA Disposal Authority: DAA-0412-2013-0018-0004

- **Disposable**
- Close when permit is renewed or terminated (revocation or expiration), or at end of calendar year, or when no longer needed for current agency business.
- Destroy 5 years after file closure.

Item e: Financial and state assurance documents

NARA Disposal Authority: DAA-0412-2013-0018-0005

- **Disposable**
- Close when related records are destroyed or transferred to the National Archives.
- Destroy after file closure or return to submitter.

Guidance:

Media neutral – This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and

1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - These records may contain sensitive information (e.g., controlled unclassified information (CUI) such as personally identifiable information (PII)) – Records containing CUI must be appropriately managed, safeguarded, and when appropriate, destroyed with caution, for paper records by shredding or pulping and for electronic records deleted at final disposition to protect confidentiality.

Recordkeeping requirements for authorized states –If authorized states maintain disposable records for the retention periods identified above, the program office may decide to review the records in the state offices rather than maintain copies in regional offices and destroy the copies it receives. If recordkeeping requirements (e.g., what records to keep and how long to keep them) for authorized states are not covered in EPA's regulations, they should be established in a memorandum of understanding or agreement.

Draft permits and working papers – Draft permits and working papers may be destroyed after approval of the final permit.

Notification forms – Notification forms that have been withdrawn or canceled prior to issuance of a permit and TSDs that have not gone through the permitting process are subject to the same retention as the permits. Regional offices may determine the appropriate file closure for notification and other files for which a permit is not issued.

Land disposal permits – If land disposal permits are included or combined with other permits, they may be separated, if practical and volume warrants.

Financial assurance documents – Financial assurance documents are "ability to pay" documents, and negotiable instruments such as letters of credit and other financial assurance mechanisms acceptable to the Agency. Original negotiable instruments must be protected and kept in fireproof, locked containers such as a safe. Copies of the negotiable instruments may not be made in order to maintain the integrity of financial instruments which name EPA as beneficiary.

Related records - Compliance and enforcement records are covered by schedule 1044. Clean Water Act, Section 404 records are covered by EPA 1035. Regional Off-Site Contact (ROC) records related to facilities approved to receive Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) wastes are covered by schedule 1036.

Copies of permanent electronic records transferred to the National Archives - The copy of permanent electronic records transferred to the National Archives (previously scheduled as schedule 0205a(3) and 0478a(3)) maintained by the submitting office until they are notified by NARA that the transfer is successful is a nonrecord (schedule 0008, item a) and can be deleted when no longer needed.

Reasons for Disposition:

The following change was made in the 01/31/2020 version:

- Revised guidance on handling sensitive information to include controlled unclassified information (CUI).

The following changes were made in the 05/31/2017 version:

- Revised file closure instructions for items a and c.
- Added cross reference for Regional Off-Site Contact (ROC) records in guidance.
- Updated guidance on financial assurance documents.

The following changes were made in the 08/31/2015 version:

- Moved from draft status to final.
- Added NARA approval date.

The following changes were made in the 05/31/2015 version:

- Revised the file closure instructions for RCRA records covered by item a.
- Deleted Regional Off-Site Contact (ROC) records covered by item c due to re-evaluation of retention.

This schedule combines and consolidates previously approved EPA and GRS schedule items.

Custodians:

Multiple units

Related Schedules:

EPA 0008, EPA 1035, EPA 1036, EPA 1044

Previous NARA Disposal Authority:

Previous NARA disposal authorities can be found at:
http://intranet.epa.gov/records/schedule/consolidation/files/1047_Permits_Crosswalk.docx.

Entry: 07/12/2012

EPA Approval: 08/09/2013

NARA Approval: 08/06/2015

EPA Records Schedule 1049

Status: Final, 06/30/2020

Title: Information Access and Protection Records

Program: All Programs

Applicability: Agency-wide

Function: 305 - Public Affairs

NARA Disposal Authority:

- DAA-GRS-2016-0002-0001 (Item a)
- DAA-GRS-2019-0001-0002 (Item b)
- DAA-GRS-2013-0007-0020 (Item c)
- DAA-GRS-2016-0002-0003 (Item d)
- DAA-GRS-2019-0001-0003 (Item e)
- NC1-412-64-77-1/27 (Item f)
- DAA-GRS-2015-0002-0001 (Item g)
- DAA-GRS-2015-0002-0002 (Item h)
- DAA-GRS-2013-0007-0006 (Item i)
- DAA-GRS-2013-0007-0022 (Item j)
- DAA-GRS-2013-0007-0023 (Item k)
- DAA-GRS-2013-0007-0007 (Item l)
- DAA-GRS-2013-0007-0008 (Item m)
- DAA-GRS-2013-0007-0011 (Item n)
- DAA-GRS-2015-0002-0003 (Item o)
- DAA-GRS-2013-0007-0012 (Item p)
- DAA-GRS-2013-0007-0013 (Item q)
- DAA-GRS-2019-0001-0001 (Item r)
- DAA-GRS-2019-0001-0001 (Item s)
- DAA-GRS-2016-0003-0002 (Item t)
- DAA-GRS-2016-0003-0003 (Item u)
- DAA-GRS-2016-0003-0004 (Item v)
- DAA-GRS-2016-0003-0005 (Item w)
- DAA-GRS-2016-0008-0001 (Item x)
- DAA-GRS-2019-0001-0004 (Item y)
- DAA-GRS-2019-0001-0005 (Item z)
- DAA-GRS-2019-0001-0006 (Item aa)
- DAA-GRS-2019-0001-0007 (Item ab)
- DAA-GRS-2019-0001-0008 (Item ac)
- DAA-GRS-2019-0001-0009 (Item ad)

Description:

This schedule covers records created in response to requests for access to government information and protecting information that is classified or controlled unclassified, or contains personal data that is required by law to be protected.

Disposition Instructions:

Item a: Access and disclosure request files

Includes case files created in response to requests for information under Freedom of Information Act (FOIA), Mandatory Declassification Review (MDR) process, Privacy Act (PA), Classification Challenge, and similar access programs, and completed by granting the request in full; granting the request in part; denying the request for any reason, including the inability to fulfill request because records do not exist, or the request inadequately describes the records, or the search or reproduction fees are not paid; final adjudication on appeal to any of the above original settlements; and final agency action in response to court remand on appeal. Includes the requests (either first-party or third-party); replies; copies of requested records; administrative appeals; and related supporting documents (such as sanitizing instructions).

Excludes the record copies of requested records which are covered by their original disposition authority.

NARA Disposal Authority: DAA-GRS-2016-0002-0001

- **Disposable**
- Close 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later.
- Destroy after file closure.

Item b: Records tracking and controlling access to protected information

Includes records documenting receipt, internal routing, dispatch, or destruction of classified and controlled unclassified (CUI) records; tracking databases and other records used to manage overall access program; and requests and authorizations for individuals to have access to classified and controlled unclassified records and information.

NARA Disposal Authority: DAA-GRS-2019-0001-0002

- **Disposable**
- Close 2 years after last form entry, reply, or submission; or when associated documents are declassified, decontrolled, or destroyed; or when an individual's authorization expires, whichever is appropriate.
- Destroy after file closure.

Item c: Access control records

Includes safe and padlock combinations; names or other personal identifiers of individuals who know combinations; and comparable data used to control access into classified document containers.

NARA Disposal Authority: DAA-GRS-2013-0007-0020

- **Disposable**
- Close when superseded or obsolete.
- Destroy after file closure.

Item d: Classified or controlled unclassified document container records

Includes forms placed on safes, cabinets, or vaults that record opening, closing, and routine checking of container security, such as SF-701 and SF-702.

Excludes forms involved in investigations which are covered by the schedule for records of the investigation.

NARA Disposal Authority: DAA-GRS-2016-0002-0003

- **Disposable**
- Close after last entry on form.
- Destroy 90 days after file closure.

Item e: Records accounting for and controlling access to records requested under FOIA, PA, and MDR

Includes records documenting identity, internal routing, control points, and accountability for information for which access has been requested, including forms, registers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request; inventories; forms accompanying documents to ensure continuing control, showing names of people handling the documents, inter-office routing, and comparable data; and agent and researcher files.

NARA Disposal Authority: DAA-GRS-2019-0001-0003

- **Disposable**
- Close 5 years after date of last entry or final action by agency, as appropriate.
- Destroy after file closure.

Item f: PA accounting of disclosure files

Includes files maintained under the provisions of 5 U.S.C. Section 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including: forms with the subject individual's name; records of the requester's name and address; explanations of the purpose for the request; date of disclosure; proof of subject individual's consent.

NARA Disposal Authority: NC1-412-64-77-1/27

- **Disposable**

- Close in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.
- Destroy after file closure.

Item g: Erroneous release records when released records are filed with records of the erroneous release

Includes files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy, including requests for information, copies of replies; all related supporting documents.

NARA Disposal Authority: DAA-GRS-2015-0002-0001

- **Disposable**
- Close in accordance with the approved disposition instructions for the released record copy, or 6 years after the erroneous release, whichever is later.
- Destroy after file closure.

Item h: Erroneous release records when released records are not filed with records of the erroneous release

Includes files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy, including requests for information; copies of replies; all related supporting documents.

NARA Disposal Authority: DAA-GRS-2015-0002-0002

- **Disposable**
- Close after the erroneous release.
- Destroy 6 years after file closure.

Item i: Agency statistical reports to other entities

Includes statistical reports to the Congress, Department of Justice (DOJ), or other entities regarding FOIA, MDR, PA, and similar access and disclosure programs that summarize the number of access requests EPA receives under federally mandated programs that provide public access to information.

NARA Disposal Authority: DAA-GRS-2013-0007-0006

- **Disposable**
- Close after date of report.
- Destroy 2 years after file closure.

Item j: Annual reports

Includes annual reports prepared in compliance with Federal laws and regulations, such as the E-Government Act (Public Law 107-347), Title III (Federal Information Security Management Act), and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in 44 U.S.C. Section 101 and submitted by the Chief Information Officer (CIO), Inspector General (IG), or Senior Agency Official for Privacy (SAOP).

NARA Disposal Authority: DAA-GRS-2013-0007-0022

- **Disposable**
- Close after submission of report.
- Destroy 5 years after file closure.

Item k: All other reports

Includes all other agency and internal reports by individual system owners to the SAOP.

NARA Disposal Authority: DAA-GRS-2013-0007-0023

- **Disposable**
- Close after submission of report.
- Destroy 2 years after file closure.

Item l: PA amendment request files

Includes files relating to an individual's request to amend a record pertaining to that individual under 5 U.S.C. Section 552a(d)(2), to the individual's request for review of an agency's refusal to amend a record under 5 U.S.C. Section 552a(d)(3), and to any civil action or appeal brought by the individual against the refusing agency under 5 U.S.C. Section 552a(g), including: requests to amend and to review refusal to amend; copies of agency's replies; statement of disagreement; agency justification for refusal to amend a record; appeals; and related materials.

NARA Disposal Authority: DAA-GRS-2013-0007-0007

- **Disposable**
- Close with the records for which amendment was requested or 4 years after close of case (final determination by agency or final adjudication, whichever applies).
- Destroy after file closure.

Item m: Automatic and systematic declassification review program records

Includes files related to the review of permanent records in anticipation of automatic declassification at 25, 50, or 75 years per Executive Order 13526, and the periodic review of records exempted from automatic declassification. Files include program records documenting declassification decisions.

NARA Disposal Authority: DAA-GRS-2013-0007-0008

- **Disposable**

- Close after completion of review.
- Destroy 30 years after file closure.

Item n: Fundamental classification guidance review files

Includes reports submitted to the Information Security Oversight Office (ISOO), significant correspondence, drafts, received comments, and related materials responding to "fundamental classification guidance review" as required by Executive Order 13526 Section 1.9.

NARA Disposal Authority: DAA-GRS-2013-0007-0011

- **Disposable**
- Close after report is submitted to ISOO.
- Destroy 5 years after file closure.

Item o: Classified information nondisclosure agreements

Includes copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by civilian and military personnel with access to information that is classified under standards put forth by executive orders governing security classification.

Excludes copies maintained in the individual's official personnel folder (OPF) (see Guidance).

NARA Disposal Authority: DAA-GRS-2015-0002-0003

- **Disposable**
- Close at end of calendar year.
- Destroy 50 years after file closure.

Item p: PII extracts

Includes system-generated or hardcopy printouts generated for business purposes that contain Personally Identifiable Information (PII).

NARA Disposal Authority: DAA-GRS-2013-0007-0012

- **Disposable**
- Close when 90 days old or no longer needed pursuant to supervisory authorization, whichever is appropriate.
- Destroy after file closure.

Item q: PII extract logs

Includes logs that track the use of PII extracts by authorized users, containing some or all of: date and time of extract, name and component of information system from which data is extracted, user extracting data, data elements involved, business purpose for which the data will be used, length of

time extracted information will be used. Also includes (if appropriate): justification and supervisory authorization for retaining extract longer than 90 days, and anticipated disposition date.

NARA Disposal Authority: DAA-GRS-2013-0007-0013

- **Disposable**
- Close when business use ceases.
- Destroy after file closure.

Item r: FOIA administrative files

Includes records related to managing information access and protection activities. Records include correspondence related to routine implementation of the Freedom of Information Act (FOIA) and administration of document security classification; associated subject files; and feeder and statistical reports.

NARA Disposal Authority: DAA-GRS-2019-0001-0001

- **Disposable**
- Close when no longer needed for current agency business.
- Destroy 3 years after file closure.

Excludes records documenting policies and procedures residing in offices having agency-wide responsibilities for FOIA and classified documents.

Item s: PA administrative files

Includes records on managing information access and protection activities. Records include correspondence related to routine implementation of the Privacy Act (PA) and administration of document security classification; associated subject files; and feeder and statistical reports.

NARA Disposal Authority: DAA-GRS-2019-0001-0001

- **Disposable**
- Close when no longer needed for current agency business.
- Destroy 3 years after file closure.

Excludes records documenting policies and procedures residing in offices having agency-wide responsibilities for PA and classified documents.

Item t: Privacy Act System of Records Notices (SORNs)

Includes agency copy of notices about the existence and character of systems of records, documenting publication in the Federal Register when the agency establishes or revises the system, per the Privacy Act of 1974 (5 U.S.C. 552a(e)(4) and 5 U.S.C. 552a(e)(11)), as amended. Also includes significant material documenting SORN formulation, other than Privacy Impact Assessment records (see item v).

NARA Disposal Authority: DAA-GRS-2016-0003-0002

- **Disposable**
- Close after supersession by a revised SORN or after system ceases operation.
- Destroy 2 years after file closure.

Item u: Records of Privacy Threshold Analyses (PTAs) and Initial Privacy Assessments (IPAs)

Includes records of research on whether an agency should conduct a Privacy Impact Assessment (PIA)

NARA Disposal Authority: DAA-GRS 2016-0003-0003

- **Disposable**
- Close after associated PIA is published or determination that PIA is unnecessary.
- Destroy 3 years after file closure.

Item v: Records of Privacy Impact Assessments (PIAs)

NARA Disposal Authority: DAA-GRS-2016-0003-0004

- **Disposable**
- Close after a superseding PIA is published, after system ceases operation, or (if PIA concerns a website) after website is no longer available to the public, as appropriate.
- Destroy 3 years after file closure.

Item w: Computer matching program notices and agreements

Includes agency copy of notices of intent to share data in systems of records with other Federal, state, or local government agencies via computer matching programs, and related records documenting publication of notice in the Federal Register per the Privacy Act of 1974 (5 U.S.C. 552a(3)(12)), as amended. Also, agreements between agencies, commonly referred to as Computer Matching Agreements, prepared in accordance with Office of Management and Budget Final Guidance. Includes documentation of Data Integrity Board (DIB) review and approval of matching programs and agreements, and significant background material documenting formulation of notices and agreements.

NARA Disposal Authority: DAA-GRS-2016-0003-0005

- **Disposable**
- Close upon supersession by a revised notice or agreement, or 2 years after matching program ceases operation.
- Destroy after file closure.

Item x: Virtual public access library records

Includes records published by EPA on line to fulfill the requirement in 5 U.S.C. 552(a)(2)(A) through 5 U.S.C. 552(a)(2)(D) and 5 U.S.C. 552(g)(1) through 5 U.S.C. 552(g)(3) that agencies must make those records available for public inspection and copying, including: final concurring and dissenting opinions and orders EPA issues when adjudicating cases; statements of policy and interpretations EPA adopts but does not publish in the Federal Register; administrative staff manuals and instructions to staff that affect a member of the public; copies of records requested under the FOIA which, because of the nature of their subject matter, EPA determines are, or are likely to become, the subject of subsequent requests for substantially the same records or which have been requested three or more times; indexes of EPA major information and record locator systems; and handbooks for obtaining various types and categories of EPA public information. (Applies to electronic records only.)

Excludes the record copy of such material which may be of permanent value and must be scheduled.

NARA Disposal Authority: DAA-GRS-2016-0008-0001

- **Disposable**
- Close when no longer needed.
- Destroy after file closure.

Item y: Privacy complaint files

Includes records of privacy complaints and responses received in these categories: process and procedural (consent, collection, and appropriate notice); redress (inquiries seeking resolution of difficulties or concerns about privacy matters not specifically outlined in the Privacy Act); operational (inquiries regarding Privacy Act matters but not including Privacy Act requests for access and/or correction); and complaints referred to another organization.

NARA Disposal Authority: DAA-GRS-2019-0001-0004

- **Disposable**
- Close after resolution or referral, as appropriate.
- Destroy 3 years after file closure.

Item z: CUI program implementation records

Includes records of overall program management, including records documenting the process of planning agency policy and procedure; agency submissions to the Controlled Unclassified Information (CUI) Executive Agent of authorities (laws, Federal regulations, or Government-wide policies containing safeguarding or dissemination controls) the agency proposes to include in the CUI Registry to designate unclassified information as CUI; agency submissions to the CUI Executive Agent of proposed laws, Federal regulations, or Government-wide policies that would establish, eliminate, or modify a category of CUI, or change information controls applicable to CUI; and correspondence with CUI Executive Agent.

Excludes CUI directives and formal policy documents, records of CUI self-inspections, and records of annual program reports to the CUI Executive Agent. See Guidance.

NARA Disposal Authority: DAA-GRS-2019-0001-0005

- **Disposable**
- Close when no longer needed for current agency business.
- Destroy 7 years after file closure.

Item aa: CUI information sharing agreements

Includes agreements in which agencies agree to share Controlled Unclassified Information (CUI) with non-executive branch entities (e.g., state and local police) and foreign entities that agree to protect the CUI.

Excludes contracts involving CUI and contractor access to CUI. See Guidance.

NARA Disposal Authority: DAA-GRS-2019-0001-0006

- **Disposable**
- Close after agreements are canceled or superseded.
- Destroy 7 years after file closure.

Item ab: Records of waivers of CUI requirements

Includes records with a description of and rationale for each waiver, documentation of alternate steps the agency takes to ensure it sufficiently protects the Controlled Unclassified Information (CUI) covered by the waiver, and records of the agency notifying authorized recipients and the public of the waiver.

NARA Disposal Authority: DAA-GRS-2019-0001-0007

- **Disposable**
- Close when waiver is rescinded, system is no longer in use, or all affected records are destroyed, as applicable.
- Destroy after file closure.

Item ac: Records of requests for decontrol and challenges to CUI designations filed separately from the record-keeping copy of the CUI-marked records

Includes requests to decontrol Controlled Unclassified Information (CUI) or challenging a CUI marking as incorrect (either improperly assigned or lacking), responses to requests, records of adjudication, and records of dispute resolution if adjudication is appealed.

NARA Disposal Authority: DAA-GRS-2019-0001-0008

- **Disposable**
- Close after change in CUI status.
- Destroy 6 years after file closure.

Item ad: Records of CUI misuse

Includes records citing allegations of Controlled Unclassified Information (CUI) misuse, records of internal investigations, communications with and reports of findings from the CUI Executive Agent, and records of corrective actions.

Excludes records of investigations assigned to the Inspector General. See Guidance.

NARA Disposal Authority: DAA-GRS-2019-0001-0009

- **Disposable**
- Close after completing the investigation or completing all corrective actions, whichever is later.
- Destroy 5 years after file closure.

Guidance:

Media neutral – This schedule authorizes the disposition of the record copy in any media (media neutral) (except item x which covers electronic records only). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site [http://intranet.epa.gov/records/tools/erks.html].

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Confidential business information (CBI) access records - CBI access records, formerly schedule 624, are covered by item e of this schedule.

Controlled Unclassified Information (CUI) - CUI directives and formal policy documents are covered by schedule 1023. Records of CUI self-inspections are covered by schedule 1016, item d. Records of annual program reports to the CUI Executive Agent are covered by schedule 1016, item c. Contracts involving CUI and contractor access to CUI are covered by schedule 1005, item b. Records of requests for decontrol and challenges to CUI designations filed with the record-keeping copy of the CUI-marked records should follow the appropriate schedule of the records at issue. Records of investigations assigned to the Inspector General are covered by schedule 1016.

Related schedules - The FOIAonline system is covered by schedule 0263. Classified information nondisclosure agreements maintained in the individual's OPF are covered by schedule 0553 for the OPF. Security of data and information systems is covered by schedule 1012, and security related to physical protection of personnel, assets, and facilities, security briefings, training, and individuals' security clearances are covered by schedule 1008. Routine information requests are covered by schedule 1006, item e. Records documenting agency-wide policies and procedures for FOIA, Privacy Act, and classified documents are covered by schedule 1023.

Annual reports - With the issuance of General Records Schedule (GRS) 4.2, August 2015, Privacy Act (PA) and FOIA annual reports (formerly covered by schedules 0029 and 0313) are no longer permanent records and are disposable and are covered by items i (FOIA) and j (PA) of this schedule.

Permanent electronic records transferred to the National Archives - The copy of permanent electronic records transferred to the National Archives (e.g., previously scheduled as EPA 0029a(3) and EPA 0313a(3)) maintained by the submitting office until they are notified by NARA that the transfer is successful is a nonrecord (EPA 0008, item a) and can be deleted when no longer needed.

Reasons for Disposition:

The following changes were made in the 06/30/2020 version:

- Revised NARA disposal authority for item a to conform to GRS 4.2, transmittal 30, issued December 2019.
- Revised title, description, NARA disposal authority, and closure instructions for items b and e to conform to GRS 4.2.
- Revised description and NARA disposal authority for item d to conform to GRS 4.2.
- Revised closure instructions and retention for item l to conform to GRS 4.2.
- Revised title, description, NARA disposal authority, closure instructions, and retention for items r and s to conform to GRS 4.2.
- Updated retention for item t to conform to GRS 4.2.
- Added items y, z, aa, ab, ac, and ad to conform to GRS 4.2.
- Updated guidance on Controlled Unclassified Information (CUI) and related schedules to conform to GRS 4.2.
- Revised NARA Approval date, formerly 09/01/2016.

The following change was made in the 03/31/2017 version:

- Added item x to conform to GRS 4.2 transmittal 27 issued January 2017.

The following changes were made in the 11/30/2016 version:

- Revised title and description of item b to conform to GRS 4.2 transmittal 26 issued September 2016.
- Revised titles of items c and e to conform to GRS 4.2
- Added items t, u, v and w to conform to GRS 4.2.
- Added guidance about permanent electronic records transferred to the National Archives.

The following changes were made in the 01/31/2016 version:

- Corrected "controlled classified" to "controlled unclassified" in description.
- Revised guidance regarding PA and FOIA annual reports.

All PA- and FOIA-related schedules (0029, 0030, 0031, 0032, 0033, 0112, 0113, 0115, 0116, 0117, 0313) and some items from schedule 1008 were combined into this schedule and revised to match GRS 4.2 issued August 2015.

Custodians:

Multiple units

Related Schedules:

EPA 0263, EPA 0553, EPA 1006, EPA 1008, EPA 1012

Previous NARA Disposal Authority:

GRS 14/11, 12, 13, 14, 15, 21, 22, 23, 24, 25, 26, GRS 18/2, 3, 4, 5, 6, 7, 25, NC-412-75-3/I/1, 2, 3, 4, 5, 6, NC1-412-85-2/4, 6c, NC1-412-85-3/6, NC1-412-85-4/6, NC1-412-85-5/8, NC1-412-85-6/6, NC1-412-85-8/4, NC1-412-85-10/6, NC1-412-85-11/8, 9, 10, 11, NC1-412-85-12/7, NC1-412-85-13/6, NC1-412-85-14/6, NC1-412-85-15/10, NC1-412-85-16/6, NC1-412-85-19/14, NC1-412-85-22/23, NC1-412-85-24/47, NC1-412-85-26/I/3, NC1-412-85-26/III/1, 2, 3, 4, 5, 6, 24, 26, NC1-412-85-27/I/3, NC1-412-85-28/22, N1-412-86-1/6, N1-412-86-2/3, 5, 6, 7, 8, N1-412-86-3/6, 16, 17, N1-412-87-2/6, N1-412-87-4/6, N1-412-87-5/6, N1-412-95-7/4, N1-412-03-20, N1-412-07-1/14, N1-412-07-2/1, N1-412-07-13

Entry: 08/19/1991

EPA Approval: Not applicable

NARA Approval: 12/01/2019

EPA Records Schedule 1051

Status: Final, 07/31/2016

Title: Records of Senior Officials

Program: All Programs

Applicability: Agency-wide

Function: 301 - Controls and Oversight

NARA Disposal Authority:

- DAA-0412-2013-0019-0001 (Item a)
- DAA-0412-2013-0019-0002 (Item b)

Description:

This schedule covers records documenting activities of EPA senior officials, including Presidential appointees, Deputies (e.g., Principal, Assistant, etc.) and Special Counsels or Trusted Advisors of Presidential appointees, and Senior Executive Service (SES) employees.

Disposition Instructions:

Item a: Historically significant records of senior officials

Includes, but is not limited to:

- Administrator's meeting files, including documents used by the Administrator, Deputy Administrator, and other senior level staff in the Administrator's Office to prepare for meetings and briefings, including meeting notes, invitations and acceptances, draft itineraries and schedules, copies of position papers, policy statements, and other briefing or background papers;
- Calendars, schedules, and logs of daily activities, including substantive information relating to official activities when not incorporated into memoranda, reports, correspondence or other records included in the official files;
- Controlled and major correspondence which significantly documents the program activities and was processed under special handling control procedures because of the importance of the letters or time requirements of replies, including copies of incoming letters, responses, and enclosures, indexes to the correspondence;
- Speeches and presentations prepared for delivery while representing EPA, and congressional and expert testimony related to non-EPA cases.

NARA Disposal Authority: DAA-0412-2013-0019-0001

- **Permanent**
- Close at end of calendar or fiscal year or when no longer needed for current agency business.
- Transfer to the National Archives 15 years after file closure.

Item b: Routine senior officials records

Includes, but is not limited to: program management files related to the on-going management of programs and routine projects within programs for both mission and operational programs.

Excludes: program management files maintained by EPA employees other than senior officials, and general administrative and routine housekeeping records covered by schedule 1006.

NARA Disposal Authority: DAA-0412-2013-0019-0002

- **Disposable**
- Close at end of calendar or fiscal year or when no longer needed for current agency business.
- Destroy 10 years after file closure.

Guidance:

Media neutral - This schedule authorizes the disposition of the record copy in any media (media neutral). However, if the format (e.g., electronic) of permanent records is specified in a records schedule approved by NARA, the records are to be transferred to the National Archives in accordance with NARA standards at the time of transfer. If the record copy is created in electronic format or digitized (e.g., imaged) and maintained electronically (e.g., Data on Aquatic Resources Tracking for Effective Regulation (DARTER) maintained in the Office of Water), the electronic records must be retrievable and usable for as long as needed to conduct Agency business and to meet NARA-approved disposition to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20. Retention and disposition requirements for the various components of electronic systems (e.g., software, input, output, system documentation) are covered in schedule 1012, Information and Technology Management. In addition to 36 CFR 1236, see "Basic Requirements of an Electronic Recordkeeping System at EPA" on the EPA records intranet site http://intranet.epa.gov/records/tools/erks.html.

Sensitive information - When records are due for destruction according to the disposition instructions, records containing sensitive information (e.g., confidential business information (CBI), personally identifiable information (PII)) must be shredded or otherwise definitively destroyed to protect confidentiality.

Senior officials - Headquarters program and regional offices are responsible for determining who is a senior official in their program or region for recordkeeping purposes. The senior official's role is defined by position and not by the person holding the position. If someone is acting in a senior leader's position, the records are permanent and covered by item a. Examples of senior officials include, but are not limited to:

Headquarters:

- Administrators and Deputy Administrators; Assistant, Deputy Assistants, and Associate Administrators; Chiefs of Staff and Deputy Chiefs of Staff; Environmental Appeals and Administrative Law Judges; General Counsels and Associate General Counsels; Inspectors General and Assistant Inspectors General; Chief Financial Officers and Deputy Chief Financial Officers; Comptrollers and Deputy Comptrollers; and equivalent, including other officials when acting in those capacities.
- Office Directors and Deputy Office Directors, and equivalent, including other officials when acting in those capacities.
- Special Assistants (e.g., Staff Assistants) and Senior Advisors to the previously named officials.

Regions:

- Regional Administrators; Deputy and Assistant Regional Administrators; Regional Counsels and Deputy Regional Counsels; and equivalent, including other officials when acting in those capacities.
- Office Directors and Deputy Office Directors; Division Directors and Deputy Division Directors; and equivalent, including other officials when acting in those capacities.
- Special Assistants (e.g., Staff Assistants) to the previously named officials.

Laboratories:

- Laboratory Directors; Associate Laboratory Directors; and equivalent, including other officials when acting in those capacities.
- Division and Deputy Division Directors, and equivalent, including other officials when acting in those capacities.
- Special Assistants (e.g., Staff Assistants) to the previously named officials.

Calendars

- If the calendar of a senior official is maintained electronically, a copy may be pre-accessioned or transferred to the National Archives earlier (e.g., at the end of each calendar year). If an electronic copy is sent to NARA before the end of the approved retention period, the submitting office is still responsible for maintaining a record copy for the entire approved retention period. See NARA Bulletin 2009-03 Pre-accessioning Permanent Electronic Records for more information.
- Portions of calendars that do not pertain to official Agency business may be personal papers. Personal items may be redacted prior to submittal. For instructions on determining whether a specific item is a record or a personal paper, see Agency and federal guidance. Copies incorporated into other files (e.g., testimony submitted to the Office of Congressional and Intergovernmental Relations (OCIR) covered by schedule 1020) are to be retained according to the disposition instructions for the records they support.

- If the record copy of the calendar is maintained in paper format, the Lotus Notes "calendar list" or the "print detailed agenda calendar" option in Outlook is recommended for printing. Instructions for capturing electronic calendars maintained in Lotus Notes or Outlook and saving them as records in EZ Email can be found at http://intranet.epa.gov/ecms/guides.

Correspondence

- If the record copy of controlled and major correspondence is placed in the Correspondence Management System (CMS), the paper may be destroyed after the completion of quality assurance. Since CMS interfaces with EPA's electronic recordkeeping system, retention in CMS is managed via the electronic recordkeeping system. CMS is scheduled as EPA 0077.
- For the Office of the Administrator and Deputy Administrator, the interagency correspondence file and environmental multiple letters file are covered by item a. Related electronic indices are to be transferred in accordance with NARA's requirements for the transfer of electronic records.
- If the official copies of controlled correspondence for senior officials are returned to the originating program office, they should be filed separately and dispositioned according to the instructions in item a.
- If the index for the correspondence is paper, enclose a copy of the index with the correspondence files when the files are retired to the Federal Records Centers (FRCs) or transferred as permanent records to the National Archives.

Program management files – Records maintained by senior officials that document the on-going management of programs and projects that are not deemed to be historically significant are covered by item b. If the records are not listed in the description for item a and there are questions about whether they are historically significant, contact the program or region records liaison officer (RLO) or the National Records Management Program (NRMP) records help desk. Contact information can be found on the records website at: http://www.epa.gov/records/contact.htm.

Copies of permanent electronic records transferred to the National Archives - The copy of permanent electronic records transferred to the National Archives (previously scheduled as schedule 0140a(3), schedule 0141a(3) and schedule 0523a(3)) maintained by the submitting office until they are notified by NARA that the transfer is successful is a nonrecord (schedule 0008, item a) and can be deleted when no longer needed.

Biographical information and portraits- Biographical information and portraits are covered by records schedules for the records they support; e.g., schedule 1022 for news releases, publications, and similar records.

Email messages - Email messages, including senders' and recipients' versions of messages, that meet the definition of federal records and any attachments to the messages are covered by records schedules for the records they support. Emails that are personal and unrelated to EPA

business are nonrecords and may be destroyed/deleted immediately by the user. See "Frequent Questions about E-Mail and Records": at: http://www.epa.gov/records/faqs/email.htm.

Speeches, presentations, and testimony - Copies of speeches, presentations, and testimony of senior officials are covered by item a of this schedule. Copies may also be maintained in a related project or subject file and retained according to the disposition instructions for the records they support.

Reasons for Disposition:

The following changes were made in the 07/31/2016 version:

- Moved from draft status to final.
- Added NARA approval date.
- Added guidance about speeches, presentations, and testimony.

The following changes were made in the 08/31/2015 version:

- Deleted reference to the EPA Seniors Leaders Directory in schedule description.
- Added examples of senior officials in guidance.
- Deleted bullets in item a for biographical information and portraits, and electronic mail.

The following change was made in the 05/31/2014 version:

- Added guidance on saving calendars in electronic format.

This schedule combines and consolidates previously approved EPA and GRS schedule items.

Custodians:

Multiple units

Related Schedules:

EPA 0008, EPA 0077, EPA 0537, EPA 1006

Previous NARA Disposal Authority:

Previous NARA disposal authorities can be found at: http://intranet.epa.gov/records/schedule/consolidation/files/1051_Senior_Officials_Crosswalk.docx.

Entry: 07/12/2012

EPA Approval: 08/28/2013

NARA Approval: 06/27/2016