

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>NI-412-07-16</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>11/28/2006</i>	
1 FROM (Agency or establishment)  U.S. Environmental Protection Agency		<b>NOTIFICATION TO AGENCY</b>  In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked Adisposition not approved≅ or Awithdrawn≅ in column 10.	
2 MAJOR SUBDIVISION			
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER  John B. Ellis	5 TELEPHONE  202-566-1643	DATE <i>7/16/07</i>	ARCHIVIST OF THE UNITED STATES <i>Allen W. ...</i>
6 AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached ___ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies,  <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>11/16/06</i>	SIGNATURE OF AGENCY REPRESENTATIVE John B. Ellis <i>John B. Ellis</i>		TITLE Agency Records Officer
7. Item No	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)

EPA 686 Development and Enforcement of Air and Water Standards by States

~~NCI 412-85-1378~~

*74-255/12a, b(1)-(2) and 13b(1)*

*At 7/27/07 copies sent to Agency, NWMD, NWME, NWMW, NR*

# EPA Records Schedule 686

**Status:** Final, 02/29/2008

**Title:** Development and Enforcement of Air and Water Standards by States

**Program:** Enforcement and Compliance Assurance

**Applicability:** Headquarters

**Function:** 108-025-08 - Compliance and Enforcement

## **NARA Disposal Authority:**

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

- N1-412-07-16

## **Description:**

Contains records related to the development of air and water standards, including submission, progress, and status of clean air standards being enacted into law by states and territories and submitted to EPA for review and approval.

## **Disposition Instructions:**

### **Item a:** Air standards - Legal interpretations and opinions

Includes letters requesting legal interpretations and opinions, copies of state acts or programs, regional office review and comments, and technical reviews.

- **Disposable**
- Close inactive records upon completion of the program.
- Destroy 12 years after file closure.

### **Item b(1):** Water standards - Legal interpretations and opinions

Includes letters requesting legal interpretations and opinions, copies of state acts or programs, regional office reviews and comments, and technical reviews, letters to governors approving action by state to clean up a water body, press releases, state publications on pollution control directions to industry, and summaries of state action.

- **Disposable**
- Close inactive records upon completion of the program.
- Destroy 12 years after file closure.

**Item b(2)(a):** Water standards - Documents pertaining to waterways - Nonelectronic

Includes documents pertaining to the waterways within and bordered by the states, the industries within the 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 by EPA to DOJ for action.

- **Permanent**
- Close inactive records at the completion or change in state permit program.
- Transfer to the National Archives 15 years after file closure.

**Item b(2)(b):** Water standards - Documents pertaining to waterways - Electronic

Includes documents pertaining to the waterways within and bordered by the states, the industries within the 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 by EPA to DOJ for action.

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

**Item b(2)(c):** Water standards - Documents pertaining to waterways - Electronic copy of records transferred to the National Archives

Includes documents pertaining to the waterways within and bordered by the states, the industries within the 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 by EPA to DOJ for action.

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

**Item b(3):** Water standards - Documents pertaining to interim program for controlling water pollutants

Includes documents and data relating to statement of program, analysis of state laws, interim authorization, various programs and authorities, and statements from Attorney General.

- **Disposable**
- Close inactive records upon completion of the program.
- Destroy 20 years after file closure.

**Guidance:**

Similar records maintained by the Office of General Counsel are scheduled as EPA 676 for development of enforcement and environmental standards by states. Other records related to operation of state programs include: EPA 203 for state oversight; EPA 204 for state program authorizations and approvals; and EPA 217 for state implementation plans (SIPS).

**Reasons for Disposition:**

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

The following changes were made in the 02/29/2008 version:

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

Item c for electronic copies created with word processing and electronic mail applications deleted 08/23/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of Enforcement and Compliance Assurance

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

**Related Schedules:**

EPA 203, EPA 204, EPA 217, EPA 676

**Previous NARA Disposal Authority:**

NC174-255/12a, b(1), b(2) and 13b(1), NC1-412-85-13/8

**Entry:** 11/03/1993

**EPA Approval:** 11/16/2006

**NARA Approval:** 07/16/2007

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

## **EPA Records Schedule 686**

**Status:** Development, 11/09/2006

**Title:** Development and Enforcement of Air and Water Standards by States

**Program:** Enforcement and Compliance Assurance

**Applicability:** Headquarters

**Function:** 108-025-08 - Compliance and Enforcement

**NARA Disposal Authority:**

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

- Pending

### **Description:**

Contains records related to the development of air and water standards, including submission, progress, and status of clean air standards being enacted into law by states and territories and submitted to EPA for review and approval.

### **Disposition Instructions:**

**Item a:** Air standards - Letters requesting legal interpretations and opinions, copies of state acts or programs, regional office review and comments, and technical reviews

- Disposable
- Close inactive records upon completion of the program. Destroy 12 years after file closure.

**Item b(1):** Water standards - Letters requesting legal interpretations and opinions, copies of state acts or programs, regional office reviews and comments, and technical reviews, letters to governors approving action by state to clean up a water body, press releases, state publications on pollution control directions to industry, and summaries of state action

- Disposable
- Close inactive records upon completion of the program. Destroy 12 years after file closure.

**Item b(2):** Water standards - Documents pertaining to the waterways within and bordered by the states, the industries within the 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 by EPA to Justice Department for action

*Revised on 3/20/2007*

- Permanent
- Close inactive records at the completion or change in state permit program. Transfer nonelectronic records to the National Archives 15 years after file closure. Transfer electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time.

**Item b(3):** Water standards - Documents pertaining to the interim program for controlling water pollutants, documents and data relating to statement of program, analysis of state laws, interim authorization, various programs and authorities, and statements from Attorney General

- Disposable
- Close inactive records upon completion of the program. Destroy 20 years after file closure.

**Guidance:**

Similar records maintained by the Office of General Counsel are scheduled as EPA 676 - Development of Enforcement and Environmental Standards by States. Other records related to operation of state programs include:

- EPA 203 - State and Other Entity Relations and Oversight Files
- EPA 204 - State and Other Entity Program Authorization and Approval Files
- EPA 217 - State Implementation Plans (SIPS)

**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 deleted 08/23/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of Enforcement and Compliance Assurance

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

**Related Schedules:**

EPA 203, EPA 204, EPA 217, EPA 676

**Previous NARA Disposal Authority:**

NC174-255/12a, b(1), b(2) and 13b(1), NC1-412-85-13/8

**Entry:** 11/03/1993

**EPA Approval:** Pending

**NARA Approval:** Pending

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

## ERA Records Schedule 686

**Status:** Draft, 03/30/2007

**Title:** Development and Enforcement of Air and Water Standards by States

**Program:** Enforcement and Compliance Assurance

**Applicability:** Headquarters

**Function:** 108-025-08 - Compliance and Enforcement

**NARA Disposal Authority:**

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

- N1-412-07-16

### **Description:**

Contains records related to the development of air and water standards, including submission, progress, and status of clean air standards being enacted into law by states and territories and submitted to EPA for review and approval.

### **Disposition Instructions:**

**Item a:** Air standards - Legal interpretations and opinions

Includes letters requesting legal interpretations and opinions, copies of state acts or programs, regional office review and comments, and technical reviews.

- **Disposable**
- Close inactive records upon completion of the program.
- Destroy 12 years after file closure.

**Item b(1):** Water standards - Legal interpretations and opinions

Includes letters requesting legal interpretations and opinions, copies of state acts or programs, regional office reviews and comments, and technical reviews, letters to

*Superseded by  
2/29/08 version*

governors approving action by state to clean up a water body, press releases, state publications on pollution control directions to industry, and summaries of state action.

- **Disposable**

- Close inactive records upon completion of the program.
- Destroy 12 years after file closure.

**Item b(2):** Water standards - Documents pertaining to waterways

Includes documents pertaining to the waterways within and bordered by the states, the industries within the 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 by EPA to DOJ for action.

- **Permanent**

- Close inactive records at the completion or change in state permit program.
- Transfer nonelectronic records to the National Archives 15 years after file closure.
- Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 15 years after file closure.

**Item b(3):** Water standards - Documents pertaining to interim program for controlling water pollutants

Includes documents and data relating to statement of program, analysis of state laws, interim authorization, various programs and authorities, and statements from Attorney General.

- **Disposable**

- Close inactive records upon completion of the program.
- Destroy 20 years after file closure.

**Guidance:**

Similar records maintained by the Office of General Counsel are scheduled as EPA 676 for development of enforcement and environmental standards by states. Other records related to operation of state programs include: EPA 203 for state oversight; EPA 204 for state program authorizations and approvals; and EPA 217 for state implementation plans (SIPS).

**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 deleted 08/23/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of Enforcement and Compliance Assurance

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

**Related Schedules:**

EPA 203, EPA 204, EPA 217, EPA 676

**Previous NARA Disposal Authority:**

NC174-255/12a, b(1), b(2) and 13b(1), NC1-412-85-13/8

**Entry:** 11/03/1993

**EPA Approval:** 11/16/2006

**NARA Approval:** Pending