

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>N1-412-07-58</i>	
To NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>7/12/07</i>	
1 FROM (Agency or establishment) U S Environmental Protection Agency		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U S C 3303a, the disposition request, including amendments, is approved except for items that may be marked Adisposition not approved≅ or Awithdrawn≅ in column 10	
2 MAJOR SUBDIVISION Office of Water			
3 MINOR SUBDIVISION Agency-wide and Headquarters			
4 NAME OF PERSON WITH WHOM TO CONFER John B Ellis	5 TELEPHONE 202-566-1643	DATE <i>8/21/07</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</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 23 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>6/20/07</i>	SIGNATURE OF AGENCY REPRESENTATIVE John B Ellis <i>[Signature]</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7 Item No	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)

1	EPA 405 Clean Watersheds Needs Survey (CWNS)	N1-412-94-1
2.	EPA 411 Accident and Incident Summary Reports	NC1-412-85-6/33
3.	EPA 412 State Water Standards Files	NC1-412-85-6/37a-b, 38, 39
4	EPA 414 Effluent Guidelines Studies (EFG)	N1-412-95-4/2
5	EPA 426 Regional Inventory – Municipal Waste Facilities (A Cooperative State Report)	NC1-412-85-6/46 and 47
6	EPA 428 Annual Report – Fish Kills	NC1-412-85-6/49
7	EPA 429 State 305(b) Water Quality Reports	N1-412-95-4/3
8	EPA 434 Additives Files	NC1-412-85-6/55

14 8/13/08 copies sent to Agency, NUNMD, NUNME, NUNMWA

115-109 PREVIOUS EDITION NOT USABLE *NR, NWC* STANDARD FORM SF 115 (REV 3-91) Prescribed by NARA 36 CFR 1228

9 EPA 449 Alternate Test Procedure Applications

NC1-412-97-4/1

10 EPA 514 404 Program File

NC1-412-84-1/6

EPA Records Schedule 405

Status: Final, 04/30/2010

Title: Clean Watersheds Needs Survey (CWNS)

Program: Water

Applicability: Agency-wide

Function: 108-025-02-04 - Manage Watersheds

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.

- N1-412-07-58/1

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.

- **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

- **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

- **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

- **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

- **Disposable**
- Close when no longer needed for data comparison and reference purposes
- Destroy immediately after file closure

Guidance:

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 444

Specific legal citations include

- Clean Water Act, as amended, Sec. 205(a), 516(b)(1)

Reasons for Disposition:

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:** Michael Plastino
- **Telephone:** 202-564-0682

Related Schedules:

EPA 444

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

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 411

Status: Development, 04/30/2007

Title: Accident and Incident Summary Reports

Program: Water

Applicability: Headquarters

Function: 108-025-02 - Manage Water Quality

NARA Disposal Authority:

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

- Pending

Description:

Records consist of brief summary reports on accidents and incidents resulting in or brought about by water contamination

Disposition Instructions:

Item a: Record copy

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

Guidance:

Reasons for Disposition:

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

Item b for electronic copies created with word processing and electronic mail applications deleted 08/21/2006 pursuant to NARA Bulletin 2006-04

Custodians:

Office of Water, Office of Ground Water and Drinking Water, Standards and Risk Management
DIVISION

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

Related Schedules:

Previous NARA Disposal Authority:

NC-412-76-5/15, NC1-412-85-6/33

Entry: 12/21/1992

EPA Approval: Pending

NARA Approval: Pending

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

EPA Records Schedule 412

Status: Development, 04/30/2007

Title: State Water Standards Files

Program: Water

Applicability: Headquarters

Function: 108-025-02 - Manage Water Quality

NARA Disposal Authority:

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

- Pending

Description:

Contains documents pertaining to the history, development and implementation of water standards by states and territories in accordance with Section 303(a) of the Clean Water Act

Disposition Instructions:

Item a: Standards, initial development, 1965-1974

Includes inter- and intra-state standards change request, state Attorney General enforcement certifications, EPA approvals, notices of proposed and final rulemaking for publication in the Federal Register, newspaper clippings, and related records

- **Permanent**
- Close file at end of 1974
- Transfer nonelectronic records to the National Archives 20 years after file closure.
- Transfer electronic records to the National Archives 20 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 20 years after file closure

Item b: Standards, continuation, 1975-forward

- **Disposable**

- Close inactive records every 3 years
- Destroy 10 years after file closure

Item c: History

Includes the historical summary of the development and implementation of each state's and territory's standard prior to 1972

- **Permanent**
- Close file at end of 1977
- Transfer nonelectronic copies to the National Archives 10 years after file closure
- Transfer electronic records to the National Archives 20 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 10 years after file closure

Item d: Letters from state governors on development and adoption of water standards, 1967-1971

Includes letters and EPA staff comments and briefing memos

- **Permanent**
- Close file at end of 1975
- Transfer nonelectronic copies to the National Archives 20 years after file closure
- Transfer electronic records to the National Archives 20 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 20 years after file closure

Guidance:

State oversight files are scheduled as EPA 203 and state program authorizations/approvals as EPA 204 See EPA 149 for development, review, and approval of EPA regulations, standards, and guidelines

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 e for electronic copies created with word processing and electronic mail applications deleted 08/21/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 149, EPA 203, EPA 204

Previous NARA Disposal Authority:

NC-412-76-7/7, 8 and 9, NC1-412-85-6/37a-b, 38 and 39

Entry: 12/21/1992

EPA Approval: Pending

NARA Approval: Pending

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

EPA Records Schedule 414

Status: Development, 04/30/2007

Title: Effluent Guidelines Studies (EFG)

Program: Water

Applicability: Headquarters

Function: 108-025-02-02-01 - Develop Effluent Guidelines

NARA Disposal Authority:

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

- Pending

Description:

The Effluent Guidelines Studies (EFG) contain information collected on an industry-by-industry basis to support development of various technology-based effluent guidelines. Studies were conducted separately and with different study leaders. Information collected includes questionnaires covering engineering and economic information on individual plants. The questionnaires are supplemented by sampling and analyses from waste water discharge points and secondary engineering and economic information. Information may include plant name and location, plant size and age, wastewater characteristics, wastewater controls, treatment technologies, types of products/services, waste use, costs of wastewater treatment, and pollution prevention practices.

Disposition Instructions:

Item a: Completed studies

- **Permanent**
- Close file when study completed
- Transfer nonelectronic records to the National Archives in 5 year blocks 10 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 10 years after file closure

Item b: Supporting documentation

- **Disposable**
- Close file when study completed
- Destroy 10 years after file closure

Guidance:

Records related to the development, review, and approval of regulations, standards, and guidelines are scheduled as EPA 149. Dockets are covered in EPA 150.

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 08/21/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Water, Office of Science and Technology, Engineering and Analysis Division, Environmental Engineering Branch

- **Contact:** Carey A. Johnston
- **Telephone:** 202-566-1014

Related Schedules:

EPA 149, EPA 150

Previous NARA Disposal Authority:

N1-412-95-4/2

Entry: 01/06/1993

EPA Approval: Pending

NARA Approval: Pending

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

EPA Records Schedule 426

Status: Development, 04/30/2007

Title: Regional Inventory - Municipal Waste Facilities (A Cooperative State Report)

Program: Water

Applicability: Headquarters

Function: 108-025-02-02 - Manage Point Sources of Water Pollution

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:

Record consists of reports on municipal waste facilities for each state within each region. The report is published at irregular yearly intervals between 5 and 12 years. The regional inventory gives the location, type, capacity, point of discharge, degree of treatment, and additional abatement needs for each facility. The statistical summary presents a summary and analysis of detailed inventory data on sewage disposal and treatment facilities.

Disposition Instructions:

Item a(1): Regional inventory

- **Permanent**
- Close file upon publication
- Transfer nonelectronic records to the National Archives 20 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 20 years after file closure

Item a(2): (Reserved)

Item b(1): Statistical summary

- **Permanent**
- Close file upon publication.
- Transfer nonelectronic records to the National Archives 20 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 20 years after file closure.

Item b(2): (Reserved)

Guidance:

Reasons for Disposition:

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

The following items were deleted as nonrecords in the 04/27/2007 version:

Item a(2) - Other copies of regional inventory

Item b(2) - Other copies of statistical summary

Item c 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

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

Related Schedules:

Previous NARA Disposal Authority:

NC-412-76-7/16 and 17, NC1-412-85-6/46 and 47

Entry: 12/21/1992

EPA Approval: Pending

NARA Approval: Pending

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

EPA Records Schedule 428

Status: Development, 04/30/2007

Title: Annual Report - Fish Kills

Program: Water

Applicability: Headquarters

Function: 108-025-02-04 - Manage Watersheds

NARA Disposal Authority:

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

- Pending

Description:

Records consist of a published report of fish kills where water pollution is known or suspected to be the cause of death. Report also presents a summary, analysis, and comparison of fish kill data.

Disposition Instructions:

Item a: Record copy

- **Permanent**
- Close file upon publication of report.
- Transfer nonelectronic records to the National Archives 20 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 20 years after file closure.

Guidance:

The Storage and Retrieval Water Quality Data Base (STORET) is scheduled as EPA 400.

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 items were deleted in the 08/21/2006 version:

Item b - All other copies deleted as nonrecords.

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

Custodians:

Office of Water, Office of Wetlands, Oceans, and Watersheds, Assessment and Watershed Protection Division

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

Related Schedules:

EPA 400

Previous NARA Disposal Authority:

NC-412-76-7/19, NC1-412-85-6/49

Entry: 01/04/1993

EPA Approval: Pending

NARA Approval: Pending

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

EPA Records Schedule 429

Status: Development, 04/30/2007

Title: State 305(b) Water Quality Reports

Program: Water

Applicability: Headquarters

Function: 108-025-02 - Manage Water Quality

NARA Disposal Authority:

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

- Pending

Description:

The state water quality report is a biennial report 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, Section 305(b). Reports present a description of navigable water quality, protection of water life, elimination of pollutants, cost control, and other related records.

Disposition Instructions:

Item a: Record copy

- **Disposable**
- Close inactive records upon transmission of report to Congress.
- Destroy 10 years after file closure.

Guidance:

See EPA 446 - The Waterbody System (WBS) for the database of state water quality assessment information required by Section 305(b).

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 08/21/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Water, Office of Wetlands, Oceans and Watersheds, Assessment and Watershed Protection Division, Monitoring Branch

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

Related Schedules:

EPA 446

Previous NARA Disposal Authority:

NC-412-76-7/20, NC1-412-85-6/50, N1-412-95-4/3

Entry: 12/21/1992

EPA Approval: Pending

NARA Approval: Pending

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

EPA Records Schedule 434

Status: Development, 04/30/2007

Title: Additives Files

Program: Water

Applicability: Headquarters

Function: 108-025-03-02-01 - Develop Drinking Water Standards

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:

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

- **Disposable**
- Close when program is completed or discontinued.
- Destroy when 25 years old.

Guidance:

The Additive Information System (AIS) is covered in EPA 088.

Program discontinued in 1989. Records for period May 1981 through February 1982 retired as accession 412-92-0072.

Reasons for Disposition:

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 088

Previous NARA Disposal Authority:

NC1-412-85-6/55

Entry: 12/21/1992

EPA Approval: Pending

NARA Approval: Pending

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

EPA Records Schedule 449

Status: Development, 04/30/2007

Title: Alternate Test Procedure Applications

Program: Water

Applicability: Headquarters

Function: 108-025-02 - Manage Water Quality

NARA Disposal Authority:

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

- Pending

Description:

Records include 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. Each file includes a method description, performance data and/or comparability study data, technical and statistical reviews, a method recommendation to the approval authority, and related correspondence.

Disposition Instructions:

Item a(1): Approval of proposed method recommended and proposed method recommended as an acceptable version of a previously approved method

Includes methods developed either for nationwide use in regulated NPDES and NPDWR monitoring or for limited use in NPDES monitoring or NPDWR radionuclide monitoring.

- **Permanent**
- Close inactive records when 3 years old.
- Transfer nonelectronic records to the National Archives in 10 year blocks 20 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 20 years after file closure.

Item a(2): Disapproval of proposed method recommended

Includes methods developed either for nationwide use in regulated NPDES and NPDWR monitoring or for limited use in NPDES monitoring or NPDWR radionuclide monitoring.

- **Disposable**
- Close inactive records when 3 years old.
- Destroy records 7 years after file closure.

Item a(3): Application defaulted by applicant

Includes methods developed either for nation-wide use in regulated NPDES and NPDWR monitoring or for limited use in NPDES monitoring or NPDWR radionuclide monitoring.

- **Disposable**
- Close inactive records when 3 years old.
- Destroy after file closure.

Item a(4): Application not within EPA jurisdiction (parameter not regulated)

Includes methods developed either for nation-wide use in regulated NPDES and NPDWR monitoring or for limited use in NPDES monitoring or NPDWR radionuclide monitoring.

- **Disposable**
- Close inactive records when 3 years old.
- Destroy after file closure.

Item b: Non-radionuclide methods developed for limited use in NPDWR monitoring

- **Disposable**
- Close inactive records when superseded.
- Destroy after file closure.

Item c: Master list of approved alternative test procedures for NPDES and NPDWR generated every six months

- **Disposable**
- Close inactive records when superseded.
- Destroy after file closure.

Guidance:

Regulations, Standards, and Guidelines are scheduled as EPA 149.

Records containing sensitive information must be shredded or otherwise definitively destroyed to protect confidentiality.

A December 1989 memo, issued by the Office of Ground Water and Drinking Water, announced that the previous approval of any method for limited use in NPDWR monitoring would be rescinded after reconsideration and promulgation of the nationwide method(s) for the corresponding regulated parameter. This policy was formally announced in the January 30, 1991 Federal Register, Vol. 56, No. 20, p. 3548.

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 d 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 Science and Technology

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

Related Schedules:

EPA 149

Previous NARA Disposal Authority:

N1-412-97-4/1

Entry: 11/07/1995

EPA Approval: Pending

NARA Approval: Pending

EPA Records Schedule 514

Status: Final, 09/30/2012

Title: 404 Program File

Program: Water

Applicability: Headquarters

Function: 108-025-02-03 - Manage Non-Point Sources of Water Pollution

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.

- N1-412-07-58/10

Description:

Includes records related to the management of the nation's navigable waters, wetlands, and soil erosion efforts to prevent the pollution of the waterways. Records consist 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 404 program under Section 404 of the Clean Water Act (CWA).

Disposition Instructions:

Item a(1): Record copy - Nonelectronic

- **Permanent**
- Close inactive records at end of 2 years.
- Transfer to the National Archives in 5 year blocks 20 years after file closure.

Item a(2): Record copy - Electronic

- **Permanent**
- Close inactive records at end of 2 years.
- Transfer to the National Archives 5 years after file 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 a(3): Electronic copy of records transferred to the National Archives

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

Guidance:

This schedule covers all headquarters CWA section 404 program files. Regional 404 program files are maintained under schedules 203 and 204 according to the local records management plan.

DARTER electronic data - Item a(2) of this schedule covers the program data in EPA's electronic system, Data on Aquatic Resources Tracking for Effective Regulation (DARTER), used to manage workload and coordination activities for the 404 program.

DARTER 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 to meet NARA-approved disposition. The electronic software program will be covered in EPA 1012, Information and Technology Management, which is in development.

DARTER input - For disposition of input follow the instructions in EPA 171, item a(4) (GRS 20/2a(4)), item b (GRS 20/2b), or item c (GRS 20/2c), whichever is applicable.

DARTER 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.

DARTER system documentation - 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 is covered in EPA 304, item a(2) and GRS 20/11a(2) which provide direction to follow the disposition instructions for the electronic data. System documentation consisting of those records necessary to document how the system captures, manipulates and outputs data while in operation at EPA is disposable and is covered in EPA 125, item b(1) and GRS 24/3b(1).

DARTER system development documentation - System development documentation, including but not limited to project proposals, feasibility studies, cost analyses, requirements documents, and documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving activities that are conducted prior to implementation of the system, will be covered by EPA 1012, Information and Technology Management, which is in development.

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 09/30/2012 version:

- Revised the description with a minor edit.
- Added guidance and contact information for the DARTER system.
- Revised related schedules.

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

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

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

Custodians:

Office of Water, Office of Wetlands, Oceans and Watersheds, Wetlands Division, Wetlands and Aquatic Resources Regulatory Branch

- **Contact:** Clayton T. Miller
- **Telephone:** 202-566-1365

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Related Schedules:

EPA 125, EPA 171, EPA 203, EPA 204, EPA 304

Previous NARA Disposal Authority:

NC1-412-84-1/6

Entry: 06/18/1993

EPA Approval: 06/20/2007

NARA Approval: 08/07/2008