

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
*(See Instructions on reverse)*

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
 WASHINGTON, DC 20408

1. FROM (Agency or establishment)  
 Environmental Protection Agency

2. MAJOR SUBDIVISION  
 Various

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER  
 Rachel Van Wingen

5. TELEPHONE  
 (202) 260-9709

LEAVE BLANK (NARA use only)

JOB NUMBER  
*NI-412-99-2*

DATE RECEIVED  
*10-13-98*

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE  
*5-27-99*

ARCHIVIST OF THE UNITED STATES  
*[Signature]*

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 9 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required;  is attached; or  has been requested

DATE  
 9/24/98

SIGNATURE OF AGENCY REPRESENTATIVE  
*[Signature]*  
 Rachel Van Wingen

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 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10.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)
	<p>See attached U.S. EPA Records Control Schedules 133H, 134A, and 135A.</p> <p><i>NI-412-99-2 supersedes all previously approved disposition authorities.</i>  <i>(Per e-mail request from agency, 1/21/99)</i></p> <p><i>YKW</i>  <i>1/21/99</i></p>		

JUN 30 1999 *MMW* Copy to: Agency, NWML, NWMB, NR

DRAFT OF 12/2/98

## U.S. EPA RECORDS SCHEDULE

1) **SERIES TITLE:** Environmental Impact Statement (EIS) Files**PROGRAM:** Federal Activities**EPA SERIES NO:** 133**NARA DISPOSAL AUTHORITY:** Pending  
(Use this number to retire records to the FRC)

DRAFT

**AGENCY FILE CODE:** ENVI 133**APPLICABILITY:** Headquarters**IDENTIFYING INFORMATION:****DESCRIPTION:** Contains documents related to the filing of Federal environment impact statements (EISs). Includes:

a. Official record

(1). EIS file - Drafts, final, and supplemental documents filed with the headquarters Office of Federal Activities only pursuant to 1506.9 of the Council on Environmental Quality (CEQ) Regulations for Implementing the National Environmental Policy Acts, as amended.

(2). CEQ Federal Register Report file - Computer-generated data summarizing the official filing of EISs received one week to be published in the Federal Register the following week, copies of abstract sheets used for data entry, the Notice of Availability published in the Federal Register under 1506.10 of the CEQ Regulations and associated materials such as time extensions, withdrawals, and corrections.

b. Electronic version of records created by office automation applications.

**ARRANGEMENT:** Arrangement varies.**TYPE OF RECORDS:**

Case files

**SPECIFIC RESTRICTIONS:**

None

**MEDIUM:**

Paper, maps and architectural materials, photographs, electronic

**VITAL RECORD:****FUNCTIONS SUPPORTED:**

Program operations

**SPECIFIC LEGAL REQUIREMENTS:**National Environmental Policy Act, as amended, Section 102  
Clean Air Act, as amended, Section 309  
Executive Order 11514, as amended (by Executive Order 11991)

40 CFR 1506.9-1506.10

DRAFT

EPA SERIES NO. 133H

**DISPOSITION INFORMATION:**

**FINAL DISPOSITION:**

a(1). Permanent

**TRANSFER TO FRC PERMITTED:**

Yes

(2). Disposable

No

b. Disposable

No

**FILE BREAK INSTRUCTIONS:**

a(1). Break file at the end of the review.

**DRAFT**

(2). Break file upon completion of the notice of public availability.

b. See disposition instructions.

**DISPOSITION INSTRUCTIONS:**

a(1). Keep inactive materials in office 2 years, then retire to the FRC. With approval of the FRC, records may be retired to the FRC prior to designated time if volume warrants. Transfer to the National Archives 10 years after file break in 5 year blocks.

(2). Keep weekly folders in office 2 years, then destroy. Keep Federal Register notices and typesetting requests in office ~~15~~<sup>10</sup> years, then destroy.

b. Delete when official record is generated.

**APPLICATION GUIDANCE:**

**REASONS FOR DISPOSITION:**

**AGENCY-WIDE GUIDANCE:** The headquarters Office of Federal Activities is responsible for the maintenance and disposition of the records under 1506.9 and 1506.10 of the CEQ regulations.

309 Review and Comment Files are scheduled as EPA 135. See EPA 057 for the Environmental Review Tracking System (ERP/ERTS). NEPA Document Preparation Files are scheduled as EPA 134.

**PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:** The Comdate report covered by EPA 057 is to be transferred to NARA at the same time as those records covered by item a.

**CUSTODIAL INFORMATION:**

**CONTROLLING UNIT:**

**Name:** OFA

**Location:** Ariel Rios

**Inclusive Dates:** 1979-

**Volume on Hand (Feet):** 47

**CONTACT POINT:**

**Name:** Marilyn Henderson

**Mail Code:** 2252A

**Telephone:** 202-564-7153

**Office:** NEPA Compliance Div.

EPA SERIES NO. 133H

Annual Accumulation: 23  
(feet or inches)

Room: 7228C

CONTROL INFORMATION:

RELATED ITEMS: EPA 057, EPA 134, EPA 135

PREVIOUSLY APPROVED BY  
NARA SCHEDULE NOS:

---

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
9/24/98		5/5/98	12/2/98

DRAFT

DRAFT OF 5/5/98

## U.S. EPA RECORDS CONTROL SCHEDULE

DRAFT

2) **SERIES TITLE:** National Environmental Policy Act (NEPA) Preparation Files**PROGRAM:** All Programs**EPA SERIES NO:** 134A**AGENCY FILE CODE:** ENVI 134**NARA SCHEDULE NO.** Pending

(Use this number to retire records to the FRC)

**APPLICABILITY:** Agency-wide**IDENTIFYING INFORMATION:****DESCRIPTION:** Contains information related to the in-house preparation of environmental impact statements by EPA staff and consultants. Includes:

## a. Official record

(1). Environmental impact statements (EISs) - Drafts, final, and any official supplemental EISs, record of decision, official reference material such as notices of intent and availability in the Federal Register, comments on EIS documents made by interested parties, special studies or supplemental material related to the EIS.

(2). Environmental assessments (EAs) - EA, Federal Register notices, findings of no significant impact (FONSI), any comments made by interested parties, special studies or supplemental material related to the EA.

(3). Categorical exclusions (CEs) - CE, any documents related to the distribution of the CE, special studies or supplemental material related to the CE.

## b. Electronic version of records created by office automation applications.

**ARRANGEMENT:** Arranged by EIS.**TYPE OF RECORDS:**

Case files

**SPECIFIC RESTRICTIONS:**

None

**MEDIUM:**

Paper, maps and architectural materials, photographs, electronic

**VITAL RECORD:****FUNCTIONS SUPPORTED:**

Program operations

**SPECIFIC LEGAL REQUIREMENTS:**National Environmental Policy Act, as amended, Section 102  
Clean Air Act, as amended, Section 309 Executive Order 11514, as amended (by

Executive Order 11991)  
40 CFR 1502

DRAFT

DISPOSITION INFORMATION:

**FINAL DISPOSITION:**

- a. Permanent  
b. Disposable

**TRANSFER TO FRC PERMITTED:**

Yes  
No

**FILE BREAK INSTRUCTIONS:**

- a(1). Break file upon preparation of record of decision or if project is withdrawn, upon official notification from the preparing office.  
  
(2). Break file upon completion of EA.  
  
(3). Break file upon completion of CE.

**DISPOSITION INSTRUCTIONS:**

- a. Keep inactive materials in office up to 4 years after file break, then retire to FRC. Transfer to the National Archives when 14 years old.  
  
b. Delete when official record is generated ~~or when no longer needed for reference or updating, not to exceed the life of the official record.~~

APPLICATION GUIDANCE:

**REASONS FOR DISPOSITION:** Disposition previously approved by the National Archives. Applicability has been expanded from regions to agency-wide. More detail regarding the contents of the records has been added. A sub-item has been added for electronic versions.

**AGENCY-WIDE GUIDANCE:** The office responsible for preparing the EIS, EA, or CE is responsible for maintaining the official record. All other copies may be destroyed when no longer needed.

309 Review and Comment Files are scheduled as EPA 135A. See EPA 057A for the Environmental Review Tracking System (ERP/ERTS). EIS files maintained by the headquarters Office of Federal Activities are covered in EPA 133H.

**PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:**

CUSTODIAL INFORMATION:

**CONTROLLING UNIT:** Multiple units      **CONTACT POINT:**

**Name:**

**Name:**

**Location:**

**Mail Code:**

**Inclusive Dates:**

**Telephone:**

**Volume on Hand (Feet):**

**Office:**

**Annual Accumulation:**  
(feet or inches)

**Room:**

CONTROL INFORMATION:

RELATED ITEMS: EPA 057A, EPA 133H, EPA 135A

DRAFT

## PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-76-1/I/11, NC1-412-85-19/9

---

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		8/20/91	5/5/98

DRAFT OF 7/29/98

## U. S. EPA RECORDS CONTROL SCHEDULE

DRAFT

3) **SERIES TITLE:** 309 Review and Comment Files

**PROGRAM:** All Programs

**EPA SERIES NO:** 135A

**AGENCY FILE CODE:** ENVI 135

**NARA SCHEDULE NO.** Pending

(Use this number to retire records to the FRC)

**APPLICABILITY:** Agency-wide

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** Contains documents used in review and coordination of EPA comments on projects that may impact on the environment. Includes:

a. Official record

(1). 309 review comment file - Includes official Agency comments made pursuant to Section 309 of the Clean Air Act regarding environmental impact statements (EISs), regulations, legislation and other major Federal actions. Also includes associate reviewer comments, a copy of materials reviewed, and other associated materials.

(2). 309 review report - Includes computer-generated data summarizing official 309 reviews, Federal Register notices, and other associated materials.

b. Electronic version of records created by office automation applications.

**ARRANGEMENT:** Arrangement varies.

**TYPE OF RECORDS:**

Case files

**SPECIFIC RESTRICTIONS:**

None

**MEDIUM:**

Paper, maps and architectural materials, photographs, electronic

**VITAL RECORD:**

**FUNCTIONS SUPPORTED:**

Program operations

**SPECIFIC LEGAL REQUIREMENTS:**

National Environmental Policy Act, as amended, Section 102  
Clean Air Act, as amended, Section 309  
Executive Order 11514, as amended (by Executive Order 11991)  
40 CFR 1502-1504

EPA SERIES NO. 135A

DISPOSITION INFORMATION:

DRAFT

**FINAL DISPOSITION:**

**TRANSFER TO FRC PERMITTED:**

a(1). Permanent

Yes

(2). Disposable

Yes

b. Disposable

No

**FILE BREAK INSTRUCTIONS:**

a(1). Break file upon completion of project review after final comment issuance.

(2). Break file at end of reporting cycle.

b. See disposition instructions.

**DISPOSITION INSTRUCTIONS:**

a(1). Keep inactive materials in office at least 2 years after file break, then retire to FRC. With approval of the FRC, records may be retired to FRC prior to designated time if volume warrants. Transfer to the National Archives 20 years after file break.

(2). Keep inactive materials in office 15 years after file break, then destroy. With FRC approval, materials may be retired to FRC if volume warrants.

~~b. Delete when the official record is generated, or when no longer needed for reference or updating, not to exceed the life of the official record.~~

APPLICATION GUIDANCE:

**REASONS FOR DISPOSITION:** Series title has been changed. More detail has been added to the description of the records. A subitem has been added to cover electronic versions of the records. Agency-wide guidance has been changed to indicate that the official records may be maintained by regional offices or headquarters, instead of just headquarters. Previously approved schedule numbers has been corrected. Disposition for paper records remains unchanged.

**AGENCY-WIDE GUIDANCE:** Each office acting as a principal reviewer under the Section 309 Policy Act Manual is responsible for maintaining the record copy. All other copies may be destroyed when no longer needed.

Environmental impact statements are logged into the Environmental Review Tracking System (ERP/ERTS) - EPA 057A. NEPA Preparation Files are scheduled as EPA 134A.

**PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:** Previous schedule items combined into this schedule were for the following programs: Enforcement and General Counsel, Regional Administrator, Federal Activities, Water, Toxic Substances, Mobile Source, Air and Hazardous Waste, Research and Development, and Pesticides. Specific item numbers are cited below.

CUSTODIAL INFORMATION:

**CONTROLLING UNIT:** Multiple units

**CONTACT POINT:**

EPA SERIES NO. 135A

Name:	Name:	DRAFT
Location:	Mail Code:	
Inclusive Dates:	Telephone:	
Volume on Hand (Feet):	Office:	
Annual Accumulation: (feet or inches)	Room:	

CONTROL INFORMATION:

RELATED ITEMS: EPA 057A, EPA 134A

## PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC174-255/I/3, NC1-412-75-5/9, NC1-412-76-1/I/12, NC1-412-76-1/II/3, NC1-412-76-1/III/16, NC1-412-76-9/29, NC1-412-76-15/10, NC1-412-77-5/18, NC1-412-84-1/4 and 5, NC1-412-85-6/29, N1-412-94-2/20

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		8/21/91	7/29/98