

Request for Records Disposition Authority

Records Schedule Number **DAA-0412-2013-0018**

Schedule Status **Approved**

Agency or Establishment **Environmental Protection Agency**

Record Group / Scheduling Group **Records of the Environmental Protection Agency**

Records Schedule applies to **Agency-wide**

Schedule Subject **Permits**

Internal agency concurrences will be provided **No**

Background Information **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.**

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	1	4	0

GAO Approval

Outline of Records Schedule Items for DAA-0412-2013-0018

Sequence Number	
1	Permits
1.1	Historically significant permits Disposition Authority Number: DAA-0412-2013-0018-0001
1.2	Administrative records for historically significant permits Disposition Authority Number: DAA-0412-2013-0018-0002
1.3	Routine permits Disposition Authority Number: DAA-0412-2013-0018-0003
1.4	Dredging and fill permits (except the 404 program under Section 404 of the Clean Water Act (CWA) covered by schedule 1035) Disposition Authority Number: DAA-0412-2013-0018-0004
1.5	Financial and state assurance documents Disposition Authority Number: DAA-0412-2013-0018-0005

Records Schedule Items

Sequence Number					
1	Permits				
1.1	<p>Historically significant permits</p> <p>Disposition Authority Number DAA-0412-2013-0018-0001</p> <p>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.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>EPA 1047 item a</td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation N1-412-08-6a(1) N1-412-08-6a(2) N1-412-07-6a(1) N1-412-07-6a(2)</p>	Manual Citation	Manual Title	EPA 1047 item a	
Manual Citation	Manual Title				
EPA 1047 item a					

Disposition Instruction

Cutoff Instruction 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 application has been denied or withdrawn, or when a determination has been made that a permit is not required, or if the permit has been issued and not acted upon by the company within one year.

Transfer to the National Archives for Accessioning 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.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
Transfer of these records is ongoing.

How frequently will your agency transfer these records to the National Archives? Unknown
Transfer of these records is ongoing.

1.2

Administrative records for historically significant permits

Disposition Authority Number DAA-0412-2013-0018-0002

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.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in Yes

electronic format(s) other than e-mail and word processing?

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
EPA 1047 item b	

GRS or Superseded Authority Citation **N1-412-07-36a
N1-412-07-36b**

Disposition Instruction

Cutoff Instruction **Close at issuance of administrative record.**

Retention Period **Destroy 30 year(s) after file closure.**

Additional Information

GAO Approval **Not Required**

Routine permits

Disposition Authority Number **DAA-0412-2013-0018-0003**

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 receiving 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 covered by item a), 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.

1.3

Final Disposition Temporary
 Item Status Active
 Is this item media neutral? Yes
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes
 Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
EPA 1047 item c	

GRS or Superseded Authority Citation N1-412-08-6b
 N1-412-08-6c
 N1-412-07-36c
 N1-412-07-36d
 N1-412-07-6b

Disposition Instruction

Cutoff Instruction Close when administrative record is issued, or permit is renewed or terminated, or when no longer needed for current agency business.

Retention Period Destroy 10 year(s) after file closure.

Additional Information

GAO Approval Not Required

Dredging and fill permits (except the 404 program under Section 404 of the Clean Water Act (CWA) covered by schedule 1035)

Disposition Authority Number DAA-0412-2013-0018-0004

Final Disposition Temporary
 Item Status Active
 Is this item media neutral? Yes
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes
 Do any of the records covered by this item exist as structured electronic data? Yes

1.4

1.5

Manual Citation	Manual Title
EPA 1047 item d	

GRS or Superseded Authority Citation N1-412-08-6d

Disposition Instruction

Cutoff Instruction 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.

Retention Period Destroy 5 year(s) after file closure.

Additional Information

GAO Approval Not Required

Financial and state assurance documents

Disposition Authority Number DAA-0412-2013-0018-0005

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
EPA 1047 item e	

Disposition Instruction

Cutoff Instruction Close when related records are destroyed or transferred to the National Archives.

Retention Period Destroy after file closure or return to submitter.

Additional Information

GAO Approval Not Required

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
08/09/2013	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
11/14/2013	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
11/15/2013	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
11/18/2013	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
05/07/2015	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
05/11/2015	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
05/11/2015	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
08/03/2015	Submit for Concurrence	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
08/05/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services