

Request for Records Disposition Authority

Records Schedule Number **DAA-0412-2013-0019**
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 **Records of Senior Officials**
Internal agency concurrences will be provided **No**

Background Information **This schedule covers records documenting activities of EPA senior officials, including Presidential appointees, Deputies (e.g., Principle, Assistant, etc.) and Special Counsels or Trusted Advisors of Presidential appointees, and Senior Executive Service (SES) employees.**

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 2 | 1 | 1 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0412-2013-0019

| Sequence Number | |
|-----------------|---|
| 1 | Records of senior officials |
| 1.1 | Historically significant records of senior officials Disposition Authority Number: DAA-0412-2013-0019-0001 |
| 1.2 | Routine senior official records Disposition Authority Number: DAA-0412-2013-0019-0002 |

Records Schedule Items

| Sequence Number | | | | | |
|-----------------|--|-----------------|--------------|-----------------|--|
| 1 | Records of senior officials | | | | |
| 1.1 | <p>Historically significant records of senior officials</p> <p>Disposition Authority Number DAA-0412-2013-0019-0001</p> <p>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; and speeches and presentations prepared for delivery while representing EPA, and congressional and expert testimony related to non-EPA cases.</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 1051 item a</td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation N1-412-06-5a N1-412-06-8a(1) N1-412-06-8a(2) N1-412-06-10a(1) N1-412-06-10a(2) N1-412-07-9a(1) N1-412-07-9a(2)</p> | Manual Citation | Manual Title | EPA 1051 item a | |
| Manual Citation | Manual Title | | | | |
| EPA 1051 item a | | | | | |

Disposition Instruction

Cutoff Instruction Close at end of calendar or fiscal year or when no longer needed for current agency business.

Transfer to the National Archives for Accessioning Transfer 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

Routine senior official records

Disposition Authority Number DAA-0412-2013-0019-0002

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.

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 1051 item b | |

GRS or Superseded Authority Citation N1-412-06-6/2a

Disposition Instruction

| | |
|------------------------|---|
| Cutoff Instruction | Close at end of calendar or fiscal year or when no longer needed for current agency business. |
| Retention Period | Destroy 10 year(s) after file closure. |
| 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 |
| 08/28/2013 | Return for Revision | Henry Wolfinger | Appraiser | National Archives and Records Administration - Records Management Services |
| 08/28/2013 | Submit For Certification | Sandy York | Records Information Manager V | Office of Environmental Information - records and Content Management Branch |
| 08/28/2013 | Certify | John Ellis | Agency Records Officer | Office of Environmental Information - Office of Information Collection |
| 09/16/2013 | Return for Revision | Henry Wolfinger | Appraiser | National Archives and Records Administration - Records Management Services |
| 09/18/2013 | Submit For Certification | Sandy York | Records Information Manager V | Office of Environmental Information - records and Content Management Branch |
| 09/18/2013 | Certify | John Ellis | Agency Records Officer | Office of Environmental Information - Office of Information Collection |
| 03/25/2015 | Return for Revision | Henry Wolfinger | Appraiser | National Archives and Records Administration - Records Management Services |
| 08/06/2015 | Submit For Certification | Sandy York | Records Information Manager V | Office of Environmental Information - records and Content Management Branch |

| | | | | |
|------------|--------------------------|------------------|---|--|
| 02/01/2016 | Return to Submitter | John Ellis | Agency Records Officer | Office of Environmental Information - Office of Information Collection |
| 02/16/2016 | Submit For Certification | Sandy York | Records Information Manager V | Office of Environmental Information - records and Content Management Branch |
| 02/16/2016 | Certify | John Ellis | Agency Records Officer | Office of Environmental Information - Office of Information Collection |
| 03/03/2016 | Return for Revision | Henry Wolfinger | Appraiser | National Archives and Records Administration - Records Management Services |
| 03/03/2016 | Submit For Certification | Sandy York | Records Information Manager V | Office of Environmental Information - records and Content Management Branch |
| 03/03/2016 | Certify | John Ellis | Agency Records Officer | Office of Environmental Information - Office of Information Collection |
| 06/20/2016 | Submit for Concurrence | Henry Wolfinger | Appraiser | National Archives and Records Administration - Records Management Services |
| 06/21/2016 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - ACNR Records Management Services |
| 06/22/2016 | Concur | Laurence Brewer | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 06/27/2016 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |

401 Administrative Management Records of Senior Officials

Activities of EPA senior officials, including Presidential appointees, Deputies (e.g., Principle, Assistant, etc.) and Special Counsels of Presidential appointees; Senior Executive Service (SES) employees and employees with decision-making authority over EPA policies, guidance and regulations.

| Previous Schedule | Previous Title | Previous Retention | New Schedule |
|-----------------------------|---|--|---------------------|
| 006a N1-412-06-6/2a | Program Management Files – Senior officials | Close inactive records at end of calendar year. Destroy 10 years after file closure. | 1051b |
| 111a N1-412-06-5a | Calendars, Schedules, and Logs of Daily Activities – Senior officials and assistants to those officials | Close at end of calendar year. 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. | 1051a |
| 140a(1) N1-412-06-8a(1) | Speeches and Testimony – Senior officials – Nonelectronic | Close inactive records at end of calendar year. Transfer to the National Archives 10 years after file closure. | 1051a |
| 140a(2) N1-412-06-8a(2) | Speeches and Testimony – Senior officials – Electronic | Close at end of calendar year. 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. | 1051a |
| 140a(3) N1-412-06-8a(3) | Speeches and Testimony – Senior officials – Electronic copy of records transferred to the National Archives | Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives. | 1051 guidance 008a |
| 141a(1) N1-412-06-10a(1) | Controlled and Major Correspondence – Senior officials and assistants to those officials – Nonelectronic | Close inactive records at end of year. Transfer to the National Archives in 5 year blocks, 20 years after file closure. | 1051a |
| 141a(2) N1-412-06-10a(2) | Controlled and Major Correspondence – Senior officials and assistants to those officials – Electronic | Close at end of calendar year. 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. | 1051a |

Crosswalk for schedule 1051
 May 12, 2016

| Previous Schedule | Previous Title | Previous Retention | New Schedule |
|-----------------------------|--|--|---------------------|
| 141a(3) N1-412-06-10a(3) | Controlled and Major Correspondence – Senior officials and assistants to those officials – Electronic copy of records transferred to the National Archives | Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives. | 1051 guidance 008a |
| 523a(1) N1-412-07-9a(1) | Administrator’s Meetings File – Record copy – Nonelectronic | Close inactive records at end of year. Transfer to the National Archives in 5 year blocks, 20 years after file closure. | 1051a |
| 523a(2) N1-412-07-9a(2) | Administrator’s Meetings File – Record copy – Electronic | Close at end of calendar year. 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. | 1051a |
| 523a(3) N1-412-07-9a(3) | Administrator’s Meetings File – Electronic copy of records transferred to the National Archives | Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives. | 1051 guidance 008a |