

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>N1-412-06-6</i>	
To NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>1-17-2006</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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION			
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER Constance Downs	5 TELEPHONE 202-566-1640	DATE <i>5/13/06</i>	ARCHIVIST OF THE UNITED STATES <i>Allen Weinstein</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 <u>19</u> 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>1/9/2006</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Constance Downs</i> Constance Downs		TITLE Acting 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7 Item No	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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 003 Grants and Other Program Support Agreements	N1-412-94-2/1	
2	EPA 006 Program Management Files	N1-412-94-2/3	
3	EPA 099 Pilot Projects	N1-412-99-15	
4	EPA 127 General Correspondence Files	N1-412-94-2/18	
5	EPA 202 Contract Management Records	N1-412-94-2/31	
6	EPA 249 Artwork and Camera Ready Copy	N1-412-94-2/35	
7	EPA 459 Conferences, Seminars, Associations, and Societies Files	N1-412-94-2/44	
8	EPA 680 Grant Appeals	NC1-412-84-2/9	

cc Agency NR N1-412-06-6 N1-412-94-2/1-2/3-15-18-31-35-44-44

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5	EPA 202 Contract Management Records	N1-412-94-2/31	
6	EPA 249 Artwork and Camera Ready Copy	N1-412-94-2/35	
7	EPA 459 Conferences, Seminars, Associations, and Societies Files	N1-412-94-2/44	
8	EPA 680 Grant Appeals	NC1-412-84-2/9	

cc Agency NR NWA NWA NWA NWA

This schedule is under development and **MAY NOT** be used to retire or destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 003

Status: Development, 01/04/2006

Title: Grants and Other Program Support Agreements

Program: All Programs, with exceptions

Applicability: Agency-wide

NARA Disposal Authority:

- Pending

Description:

Includes records that document all types of agreements with other federal, state, or local government agencies, universities, non-profit organizations, and other institutions to which EPA is a party, and which support EPA's environmental programs (other than Superfund site specific, wastewater construction and state revolving fund grants, and tribal grants). Specific types of agreements include assistance agreements, grants, cooperative agreements, interagency agreements, agreements for "guest" workers, and other types of program support agreements administered by headquarters or EPA regions and which provide for research, demonstration projects, training, fellowships, investigation, surveys, studies, or other types of program support activities.

Also includes supporting documentation. Specific types of records include, but are not limited to, documentation of significant actions and decisions relating to and supporting the award of agreements, documentation of actions and decisions relating to the competition of agreements, announcements and solicitations of funding opportunities, justifications, requests and justifications for the non-competitive award of agreements, cost estimates, scopes of work, correspondence, applications, pre-award reviews, funding decisions, award documentation, documentation relating to the evaluation of proposals and applications, conflict of interest documentation, transmittal correspondence, agreements, agreement oversight activities, non-compliance documentation, dispute documentation, audit records, closeout documentation for completed agreements, and reports and evaluations resulting from agreements.

Excludes: Final products and deliverables (EPA 258), Superfund site-specific grants and agreements (EPA 001), wastewater construction and state revolving fund grants (EPA 232), and tribal grants (EPA 244).

Disposition Instructions:

Item a: Record copy

- Disposable
- Close file immediately after closeout of the agreement. Destroy 7 years after file closure.

Item b: Electronic copies created with word processing and electronic mail applications

- Disposable
- Destroy when record copy is generated.

Guidance:

Agreement closeout is when the Agency determines all administrative actions and required work is completed (submission of the final expenditure report, SF 269 - Financial Status Report, by the recipient) or when the agreement is terminated or annulled and any disputes settled. Final closeout documentation may consist only of an internal Agency memo.

The Grants Administrator (also called the Grants Management Officer), Grant Project Officer, and Financial Management Officer are responsible for the record copies of grant agreement records and implementing the disposition. Records can include unique program files maintained by the grant project officer or client or technical representative and documentation relating to the grant competitions. All other copies may be destroyed when no longer needed.

The following offices and managers are responsible for maintaining a complete record set and dispositioning documents as designated below:

Grants Management Officer (Grants Specialist) - Record copy of applications; reviews and amendments related to the application; administrative review checklist; certifications; agreements and any amendments; award documentation including documentation supporting the decision to make an award; requests for deviations; stop work orders; documentation relating to termination actions, disputes and appeals, annulments and audits; legal opinions; financial status reports; and increases and decreases; correspondence and other related documents. See EPA 183 for Grant and Other Agreement Oversight records.

Program Office (Project Officer) - Record copy of documents used for day-to-day technical assistance for the grant or interagency agreement such as draft and final products and deliverables; work plans and progress reports; draft documents and comments provided or other records of technical direction. Copies of applications, awards, amendments and other administrative and financial documents. Documentation relating to the competition of assistance agreements including announcements, correspondence with applicants, evaluation documentation, and other documents relating to the selection or non-selection of applicants for award of an agreement. Documents relating to requests and justifications for non-competitive award of assistance agreements and disputes.

Financial Management Officer - Record copy of reimbursement requests, payment vouchers, payment files, federal cash transaction reports; copies of financial status report and other related documents.

Grants and agreements that are being audited, appealed, or in any other kind of legal action can not be destroyed until the case is closed. See EPA 680 for the Grant Appeal File and EPA 183 for Grant and Other Agreement Oversight.

See EPA 274 for Unsuccessful Grant Application Files. Final products and deliverables are permanent records and are scheduled as EPA 258. Superfund site specific grants are scheduled as EPA 001; waste water construction and state revolving fund grants as EPA 232; and tribal grants as EPA 244. Contracts are covered under EPA 020, EPA 055, EPA 202, and EPA 258. The Grants Information and Control System is scheduled as EPA 575. EPA 009 covers the Integrated Grants Management System (IGMS).

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.

Custodians:

Multiple units

Related Schedules:

EPA 001, EPA 009, EPA 020, EPA 055, EPA 183, EPA 202, EPA 232, EPA 244, EPA 258, EPA 274, EPA 575, EPA 680

Previous NARA Disposal Authority:

NC174-118/IV/3, NC174-255/I/8 (TN28-C4/8), NC-412-75-6/9 (TN28-C8/9), NC-412-75-9/25 (TN28-C7/25), NC1-412-76-1/I/4 and 6 (TN28-D1/4 and 6), NC1-412-76-1/II/2 and 4 (TN28-D2/2 and 4), NC1-412-76-1/III/14, 17, and 19 (TN28-D3/14, 17 and 19), NC1-412-76-9/25 (TN28-C16/25), NC1-412-77-1/8 and 9 (TN28-C15/8 and 9), NC1-412-77-4/1 (TN28-B20/1), NC1-412-77-5/11a (TN28-C19/10a), NC1-412-78-10/6b, NC1-412-85-6/8 and 15 (TN28-C12/3 and C15/10), NC1-412-85-7/8 (TN28-C8/9), NC1-412-85-12/6 (TN28-C20/3), NC1-412-85-14/7 (TN28-C6/1), NC1-412-85-17/2, NC1-412-85-18/2, NC1-412-85-19/4, NC1-412-85-23/4a, NC1-412-85-25/5a and b, NC1-412-85-26/I/4, N1-412-86-1/8 (TN28-C11/3), N1-412-86-3/7, N1-412-94-2/1

Entry: 03/20/1991

EPA Approval: Pending

NARA Approval: Pending

EPA Records Schedule 006

Status: Final, 02/01/2007

Title: Program Management Files

Program: All Programs

Applicability: Agency-wide

Function: 301-093 - Program Monitoring

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

- N1-412-06-6/2

Description:

Includes records which relate to the on-going management of programs and routine projects within programs. Types of files include both mission and operational programs and may be maintained by one or more organizational unit. Specific types of records include correspondence, memoranda, staff meeting records such as agendas, background papers, attendance lists, and meeting minutes or summaries, routine office procedures, and reports relating to general policy and program matters, oversight reviews, interagency activity, research and other similar materials. Also includes project control files showing assignments, progress, and completion of projects.

Excludes General administrative and routine housekeeping records (EPA 110) and organization and program development records (EPA 145)

Disposition Instructions:

Item a: Senior officials

- **Disposable**
- Close inactive records at end of calendar year
- Destroy 10 years after file closure

Item b: Other than senior officials

- **Disposable**
- Close inactive records at end of calendar year.

- Destroy 5 years after file closure

Guidance:

Also includes routine project control documents such as personnel assignments and periodic progress reports maintained by branch and section personnel and planning documents such as SCAP (Superfund Comprehensive Accomplishment Plan) reports. Such records should be incorporated into the branch or section files prior to retirement.

Senior officials at headquarters include

- Administrators and Deputy Administrators, Assistant and Associate Administrators, Chiefs of Staff and Deputy Chiefs of Staff, Environmental Appeals and Administrative Law Judges, General Counsels and Associate General Counsels, Inspectors General and Assistant Inspectors General, Chief Financial Officers and Deputy Chief Financial Officers, Comptrollers and Deputy Comptrollers, and equivalent, including other officials when acting in those capacities.
- Office Directors and Deputy Office Directors, and equivalent, including other officials when acting in those capacities.
- Special Assistants (e.g., Staff Assistants) to the previously named officials

Senior officials in the regions include:

- Regional Administrators, Deputy and Assistant Regional Administrators, Regional Counsels and Deputy Regional Counsels, and equivalent, including other officials when acting in those capacities
- Office Directors and Deputy Office Directors, Division Directors and Deputy Division Directors, and equivalent, including other officials when acting in those capacities
- Special Assistants (e.g., Staff Assistants) to the previously named officials

Senior officials in the laboratories include:

- Laboratory Directors, Associate Laboratory Directors, and equivalent, including other officials when acting in those capacities.
- Division and Deputy Division Directors, and equivalent, including other officials when acting in those capacities.
- Special Assistants (e.g., Staff Assistants) to the previously named officials

General administrative and housekeeping records are scheduled under EPA 110. Records documenting the program development of the Agency should be pulled and retired in accordance with EPA 145. See EPA 127 for General Correspondence, EPA 141 for Controlled and Major Correspondence, and EPA 140 for Speeches and Testimony. Management Studies are scheduled as EPA 105. Committee records are covered in EPA 181 - Advisory Groups Established under the Federal Advisory Committee Act (FACA), EPA 186 - Interagency Committee Records Not Related to FACA, EPA 187 - Intra-Agency and Internal Committees, EPA 188 - Quality and Information Council, EPA 518 - Rulemaking Committees, and EPA 525 - Congressional Committees File.

Previous schedule items combined into this schedule were for the following programs: Organization and Management, Federal Activities, General Counsel, Resources Systems, Administrative Law Judge, Regional Operations, Intergovernmental Liaison, Procurement/Contracts, Water, Solid Waste, Safety, Emergency and Remedial Response, Toxic Substances, Enforcement and Compliance Monitoring, Mobile Source, Air Quality Planning and Standards, International Activities, Air and Hazardous Waste, Regional

Administrator and Staff, Environmental Services, Research and Development, Research and Development Laboratories, Pesticides, Facilities and Support Services, Financial Management, Personnel, Radiation, Information and Resource Management, Inspector General, Legislative, Planning and Evaluation and Program Reporting, and Public Affairs. Specific schedule item numbers are cited below.

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 was deleted 08/14/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

GRS 25/9, GRS 27/6

EPA 105, EPA 110, EPA 127, EPA 140, EPA 141, EPA 145, EPA 181, EPA 186, EPA 187, EPA 188, EPA 518, EPA 523, EPA 525

Previous NARA Disposal Authority:

NC174-118/3, NC174-255/1b (TN28-C4/1b), NC-412-75-2/VIII/2, NC1-412-76-1/I/3 and 10, NC1-412-76-1/II/22 (TN28-D2/22), NC1-412-76-1/IV/11, NC1-412-76-1/V/11, NC-412-76-3/1a, NC-412-76-4/6, NC1-412-77-5/10, NC1-412-78-2/1, NC1-412-82-7/22, NC1-412-83-1/II/6, NC1-412-83-3/1, NC1-412-84-1/3, NC1-412-84-2/1, NC1-412-85-1/1 and 6, NC1-412-85-2/3, NC1-412-85-3/4, NC1-412-85-4/7, 8 and 10, NC1-412-85-5/3, NC1-412-85-6/4 and 30, NC1-412-85-7/4, NC1-412-85-8/2, NC1-412-85-10/4, NC1-412-85-12/4, NC1-412-85-13/4, NC1-412-85-14/4, NC1-412-85-16/4, NC1-412-85-17/1, NC1-412-85-18/18, NC1-412-85-19/3, NC1-412-85-20/14, NC1-412-85-21/3 and 11, NC1-412-85-22/10 and 24b, NC1-412-85-23/1, 2 and 4b, NC1-412-85-24/52, NC1-412-85-25/2, NC1-412-85-26/I/2 and 26/II/2, NC1-412-85-26/VII/10, NC1-412-85-26/VIII/7c, NC1-412-85-26/IX/5, NC1-412-85-27/I/2, NC1-412-85-28/2, N1-412-86-1/4, N1-412-86-3/4 and 8, N1-412-86-4/1, N1-412-87-2/4, N1-412-87-4/4 and 11, N1-412-87-5/4, N1-412-94-2/3

Entry: 03/20/1991

EPA Approval: 01/09/2006

NARA Approval: 05/13/2006

This schedule is under development and MAY NOT be used to retire or destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 099

Status: Development, 01/04/2006

Title: Pilot Projects

Program: All Programs

Applicability: Agency-wide

NARA Disposal Authority:

- Pending

Description:

Contains supporting documentation relating to pilot projects which explore new technologies, cleanup methods, etc., to improve the environment in a variety of ways. Frequently a pilot is conducted on a small scale to determine the feasibility of full-scale implementation. Examples include the Medical Waste Tracking demonstration program, Environmental Leadership Pilot Project which encourages facilities to develop innovative auditing and compliance programs and to reduce the risk of non-compliance through pollution prevention practices, and the Delaware Estuary project designed to facilitate access to environmental data in the Delaware Estuary Region. Records consist of proposals, monitoring and measurement plans, correspondence, progress reports, and related documentation.

Excludes: Final reports which are scheduled as EPA 258 and unsuccessful bids and proposals which are scheduled as EPA 275.

Disposition Instructions:

Item a: Record copy

- Disposable
- Close file at the completion of the project. Destroy 10 years after file closure.

Item b: Electronic copies created with electronic mail and word processing applications

- Disposable
- Destroy when record copy is generated.

Guidance:

If the pilot project becomes an Agency program, the records series must be scheduled separately. A copy of the final report, along with any background documentation generated before the pilot project was initiated, may be filed in Program Development Files - EPA 145. Copies of documents incorporated into program development files or other series are to be retired according to the disposition instructions for

the related series.

Unsuccessful bids and proposals are covered in EPA 275. Final deliverables and reports are scheduled as EPA 258.

Documentation for electronic systems pilot projects is covered in EPA 304 - Systems Documentation.

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.

Custodians:

Multiple units

Related Schedules:

EPA 005, EPA 145, EPA 258, EPA 275, EPA 304

Previous NARA Disposal Authority:

N1-412-99-15

Entry: 02/13/1995

EPA Approval: Pending

NARA Approval: Pending

This schedule is under development and MAY NOT be used to retire or destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 127

Status: Development, 01/04/2006

Title: General Correspondence Files

Program: All Programs

Applicability: Agency-wide

NARA Disposal Authority:

- Pending

Description:

Contains copies of all non-controlled correspondence and memoranda relating to work accomplishments, personnel needs, and other routine activities of the office. Includes incoming letters and enclosures.

Disposition Instructions:

Item a: Record copy

- Disposable
- Close file at end of the calendar year. Destroy 5 years after file closure.

Item b: Electronic copies created with word processing and electronic mail applications

- Disposable
- Delete when record copy is generated.

Guidance:

This item covers all general or uncontrolled correspondence files in all programs Agency-wide. Controlled correspondence is scheduled as EPA 141. Records documenting the organization and program development of the Agency are covered in EPA 105. See EPA 006 for records relating to program management activities. General administrative and housekeeping records, other than correspondence, are scheduled under EPA 110.

Routine congressional correspondence for which the office arranged or signed the reply when not filed as part of Controlled or Major Correspondence (EPA 141), is covered in EPA 132.

Previous schedule items combined into this schedule were for the following programs: Federal Activities, General Counsel, Administrative Law Judge, Regional Operations, Intergovernmental Liaison, Water, Solid Waste, Safety, Emergency and Remedial Response, Administrator and Deputy

Administrator, Toxic Substances, Enforcement and Compliance Monitoring, Mobile Source, Air Quality Planning and Standards, International Activities, Regional Administrator and Staff, Environmental Services, Research and Development, Pesticides, Assistance and Interagency Agreements, Facilities and Support Services, Financial Management, Personnel, Radiation, Information and Resources Management, Inspector General, Legislative, Planning and Evaluation and Program Reporting, and Public Affairs. Specific item numbers are cited below.

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.

Custodians:

Multiple units

Related Schedules:

EPA 006, EPA 105, EPA 110, EPA 132, EPA 141

Previous NARA Disposal Authority:

NC174-118/IV/1b, NC1-412-76-1/I/2, NC1-412-76-1/V/4, NC1-412-78-2/2, 5 and 7, NC1-412-78-3/1b, NC1-412-78-6/2 and 6b, NC1-412-82-12/6, NC1-412-84-1/2, NC1-412-84-2/12, NC1-412-85-2/1, NC1-412-85-3/2, 9, NC1-412-85-4/2, 7, 8 and 10, NC1-412-85-6/2, NC1-412-85-7/2 and 7, NC1-412-85-8/1, NC1-412-85-10/2, 8, 9 and 11, NC1-412-85-11/2, 6b, NC1-412-85-12/2, NC1-412-85-13/2, NC1-412-85-14/2, NC1-412-85-15/1b, NC1-412-85-16/2, NC1-412-85-19/2, NC1-412-85-21/3, NC1-412-85-22/20, 22, NC1-412-85-24/14, NC1-412-85-25/1b, NC1-412-85-26/I/1, NC1-412-85-27/I/1, NC1-412-85-27/III/4, NC1-412-85-28/1, N1-412-86-1/2, N1-412-86-3/2, N1-412-86-4/10, N1-412-87-2/2, N1-412-87-4/2, N1-412-87-5/2, N1-412-94-2/18

Entry: 08/20/1991

EPA Approval: Pending

NARA Approval: Pending

EPA Records Schedule 202

Status: Final, 10/31/2008

Title: Contract Management Records

Program: All Programs, with exceptions

Applicability: Agency-wide

Function: 405 - Supply Chain Management

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.

- N1-412-06-6/5

Description:

Contract records include all correspondence and related records pertaining to the award, administration, receipt, inspection and payment of any and all contracts to which EPA is a party and which are maintained and used for contract documentation and for performance and financial monitoring and oversight activities. Also includes reviews and audits conducted by the Financial Analysis and Rate Negotiation Service Center (FARSC).

Excludes: Superfund site-specific contract management records scheduled as EPA 020, final deliverables scheduled as EPA 258; and unsuccessful bids and proposals not filed with the related contract case files scheduled as EPA 275.

Disposition Instructions:

Item a: Contracting Officer (CO)

- **Disposable**
- Close inactive records upon final payment for the overall contract.
- Destroy 6 years and 3 months after file closure.

Item b: Contract-level Contracting Officer's Representative (COR)

Formerly called Project Officer (PO)

- **Disposable**
- Close inactive records upon filing of final invoice or completion or termination of the task order or

work assignment.

- Destroy 6 years and 3 months after final payment for the overall contract

Item c: Other Contracting Officer's Representatives (CORs)

Includes Delivery Order CORs, Simplified Acquisition CORs, Task Order CORs, and Work Assignment CORs. Formerly called Delivery Order Project Officers (DOPOs) or Work Assignment Managers (WAMs)

- **Disposable**
- Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment.
- Destroy 6 years and 3 months after final payment for the overall contract.

Guidance:

This schedule covers management of contracts by headquarters or field offices, including Tribal contracts, except for site-specific Superfund contracts scheduled as EPA 020 Superfund site-specific work assignments, task orders, and technical direction documents must be handled in accordance with instructions in EPA 020 Determination of whether a Superfund contract is covered by EPA 020 or EPA 202 is made by the COR.

Final deliverables are scheduled as EPA 258 Unsuccessful bids and proposals and canceled solicitations not maintained with the related contract case files are scheduled as EPA 275 Contracts that are being audited, protested, or are in any other kind of legal action can not be destroyed until the case is closed See EPA 679 for bid protest appeals, EPA 656 for Board of Contract appeals cases, and EPA 657 for GAO contract bid protest cases. Routine requisitions, purchase orders, leases, and bond and surety agreements not related to contracts are covered in EPA 036 for routine procurement files.

Copies incorporated into other files are retained according to the disposition instructions for the records they support.

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

Contracting officers and CORs should work together to determine who is responsible for maintaining specific documents to minimize duplication while still providing an adequate audit trail. The following are general guidelines

a. Contracting Officer (CO) - Record copy of RFPs; successful bids and proposals; contract and modifications; copies of financial and payment documents; contract specifications, drawings or manuals incorporated into the contract by reference; performance evaluations; technical and financial progress reports; statements of work (SOWs) and level of effort (LOE) documents, COR designations; notices to proceed, stop work or correct deficiencies, and related documents

b Contract-level COR - Supporting documentation of performance evaluations, technical and financial progress reports, invoices and invoice approvals

c Other CORs - Record copy of documents used for day-to-day technical direction of the task order or work assignment. Documents include work plans and schedules, amendments and/or modifications, draft deliverables submitted by the contractor, comments provided to the contractor or other records of technical direction, contract monitoring logs and communication records, cost estimates, meeting records and notes, evaluation forms, supporting documentation for statements of work (SOWs) and level of effort (LOE) documents, amendments and modifications, invoices and invoice approvals.

Specific legal citations include, but are not limited to:

- 48 CFR Chapters 1 and 15

Reasons for Disposition:

The following changes were made in the 10/31/2008 version

- Revised title of disposition item c
- Reorganized guidance and reasons for disposition
- Updated cross references

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 was deleted 08/16/2006 pursuant to NARA Bulletin 2006-04.

Previous schedule items combined into this schedule were for the following programs: Procurement/Contracts, Water, Solid Waste, Emergency and Remedial Response, Toxic Substances, Mobile Source, Research and Development, Research and Development Laboratories, Pesticides, Facilities and Support Services, Radiation, Information and Resources Management, Planning and Evaluation and Program Reporting, and Public Affairs. Specific item numbers are cited below.

Custodians:

Multiple units

Related Schedules:

EPA 020, EPA 036, EPA 258, EPA 275, EPA 656, EPA 657, EPA 679

Previous NARA Disposal Authority:

NC174-118/V/3, NC-412-76-4/10, NC1-412-76-9/25, NC1-412-77-5/11, NC1-412-85-5/4 and 6, NC1-412-85-6/8, NC1-412-85-7/8, NC1-412-85-10/15, NC1-412-85-12/6, NC1-412-85-14/7, NC1-412-85-22/11, NC1-412-85-23/4a, NC1-412-85-26/I/4, N1-412-86-1/8, N1-412-86-3/7, N1-412-87-4/14 and 15, N1-412-87-5/13, N1-412-94-2/31

Entry: 04/02/1992

EPA Approval: 01/09/2006

NARA Approval: 05/13/2006

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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](#).

EPA Records Schedule 249

Status: Draft, 05/04/2006

Title: Artwork and Camera Ready Copy

Program: All Programs

Applicability: Agency-wide

Function Code: 305-109-02-04 - Provide Public Information, Education and Outreach

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.

- N1-412-06-6/6

Description:

Files consist of original artworks, mechanicals, or negatives of drawings and photographs used to produce publications and promotional items such as manuals, handbooks, brochures, pamphlets, posters, comic books, buttons, bumper stickers, or other materials. Also includes camera ready copy (i.e., unbound, quality versions that will produce good duplicates). Publications and promotional items are developed for use by Agency staff or for distribution to regions, states, other government agencies, the regulated community, and the public.

Excludes: Publications and promotional items which are scheduled as EPA 250.

Disposition Instructions:

Item a: Record copy

- Disposable
- Close inactive records after last printing Destroy 10 years after file closure

Item b: Electronic copies created with electronic mail and word processing applications

- Disposable
- Destroy when record copy is captured in a recordkeeping system

Guidance:

Original photographs/slides used in the preparation of layouts are to be retired under NARA General

Records Schedule 21

Printing instructions should be maintained with the artwork to which it relates and retained for the same amount of time

Previous schedule items combined into this schedule were for the following programs Water, Solid Waste, Emergency and Remedial Response, and Public Affairs Specific item numbers are cited below.

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.

Custodians:

Multiple units

Related Schedules:

GRS 21

EPA 250

Previous NARA Disposal Authority:

GRS 21/6, NC1-412-75-9/21, NC1-412-83-1/V/2 and 3, NC1-412-85-7/11, NC1-412-82-12/19, NC1-412-85-10/21, N1-412-87-5/11, N1-412-94-2/35

Entry: 09/10/1992

EPA Approval: 01/09/2006

NARA Approval: Pending

This schedule is under development and MAY NOT be used to retire or destroy records. If you have any questions, please contact the [Records Help Desk](#).

EPA Records Schedule 459

Status: Development, 01/04/2006

Title: Conferences, Seminars, Associations, and Societies Files

Program: All Programs

Applicability: Agency-wide

NARA Disposal Authority:

- Pending

Description:

Includes records related to the participation or sponsorship of EPA staff in professional associations, societies, and related groups. Records consist of conference literature, trip reports, meeting agendas and arrangements, evaluations, copies of papers and other materials collected during participation, and other related records.

Disposition Instructions:

Item a: Record copy

- Disposable
- Close file at end of the calendar year. Destroy 2 years after file closure.

Item b: Electronic copies created with word processing and electronic mail applications

- Disposable
- Destroy when copy record is generated.

Guidance:

Records pertaining to planning, preparing, arranging and conducting training programs are scheduled as EPA 200. Presentations are covered in EPA 140 - Speeches and Testimony.

Previous schedule items combined into this schedule were for the following programs: Intergovernmental Liaison, Emergency and Remedial Response, Research and Development, Research and Development Laboratories, Radiation, and Information and Resources Management. Specific item numbers are cited below.

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.

Custodians:

Multiple units

Related Schedules:

EPA 140, EPA 200

Previous NARA Disposal Authority:

NC-412-75-6/11, NC1-412-77-5/17, NC1-412-78-2/9, NC1-412-78-3/12, NC1-412-78-7/2, NC1-412-85-4/12, NC1-412-85-10/10, NC1-412-85-22/17, NC1-412-85-23/12, N1-412-86-1/11, N1-412-86-3/19, N1-412-94-2/44

Entry: 02/25/1993

EPA Approval: Pending

NARA Approval: Pending

This schedule is under development and MAY NOT be used to retire or destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 680

Status: Development, 01/04/2005

Title: Grant Appeals

Program: All Programs

Applicability: Agency-wide

NARA Disposal Authority:

- Pending

Description:

Consists of copies of notices of appeal and any requests for reconsideration, appeal file documents and exhibits, correspondence, legal briefs, statements, memoranda, transcripts of any hearings held, and orders and decisions.

Disposition Instructions:

Item a: Record copy

- Disposable
- Close file when the case is settled. Destroy 10 years after file closure.

Item b: Electronic copies created with word processing and electronic mail applications

- Disposable
- Destroy when record copy is generated.

Guidance:

The office issuing the decision is the office of record and is responsible for maintaining the record copy.

Superfund site-specific grants are scheduled as EPA 001; tribal grants as EPA 244; and other grants as EPA 003. See EPA 274 for Unsuccessful Grant Application Files.

Reasons for Disposition:

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

Custodians:

Multiple units

Related Schedules:

EPA 001, EPA 003, EPA 244, EPA 274

Previous NARA Disposal Authority:

NC1-412-84-2/9

Entry: 10/27/1993

EPA Approval: Pending

NARA Approval: Pending

This schedule is under development and MAY NOT be used to retire or destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 006

Status: Development, 01/04/2006

Title: Program Management Files

Program: All Programs

Applicability: Agency-wide

NARA Disposal Authority:

- Pending

Description:

Includes records which relate to the on-going management of programs and routine projects within programs. Types of files include both mission and operational programs and may be maintained by one or more organizational unit. Specific types of records include correspondence; memoranda; staff meeting records such as agendas, background papers, attendance lists, and meeting minutes or summaries; routine office procedures; and reports relating to general policy and program matters, oversight reviews, interagency activity, research and other similar materials. Also includes project control files showing assignments, progress, and completion of projects.

Excludes: General administrative and routine housekeeping records (EPA 110) and organization and program development records (EPA 145).

Disposition Instructions:

Item a: Program management files held by senior federal employees, as defined in Agency-wide guidance

- Disposable
- Close file at the end of the calendar year. Destroy 10 years after file closure.

Item b: Program management files held by other than senior federal employees as defined in Agency-wide guidance

- Disposable
- Close file at the end of the calendar year. Destroy 5 years after file closure.

Item c: Electronic copies created with word processing and electronic mail applications

- Disposable
- Destroy when record copy is generated.

SUPERSEDED

By VERSION OF

02/01/2007

(See e-mail of

3/20/2007)

Guidance:

Also includes routine project control documents such as personnel assignments and periodic progress reports maintained by branch and section personnel and planning documents such as SCAP (Superfund Comprehensive Accomplishment Plan) reports. Such records should be incorporated into the branch or section files prior to retirement.

Senior officials at headquarters include:

- Administrators and Deputy Administrators, Assistant and Associate Administrators, Chief of Staff and Deputy Chief of Staff, Environmental Appeals and Administrative Law Judges, General Counsels and Associate General Counsels, Inspectors General and Assistant Inspectors General, Chief Financial Officer and Deputy Chief Financial Officer, Comptroller and Deputy Comptroller, and equivalent, including other officials when acting in those capacities. Also includes Special Assistants (e.g., Staff Assistants) to the previously named officials.
- Office Directors and Deputy Office Directors, and equivalent, including other officials when acting in those capacities

Senior officials in the regions include:

- Regional Administrators, Deputy and Assistant Regional Administrators, Regional Counsel and Deputy Regional Counsels, and equivalent, including other officials when acting in those capacities. Also includes Special Assistants (e.g., Staff Assistants) to the previously named officials.
- Office Directors and Deputy Office Directors, Division Directors and Deputy Division Directors, and equivalent, including other officials when acting in those capacities.

Senior officials in the laboratories include:

- Laboratory Directors, Associate Laboratory Directors, and equivalent, including other officials when acting in those capacities. Also includes Special Assistants (e.g., Staff Assistants) to the previously named officials.
- Division and Deputy Division Directors, and equivalent, including other officials when acting in those capacities.

General administrative and housekeeping records are scheduled under EPA 110. There are specific EPA schedules to cover records such as budget, personnel, property, etc. Records documenting the program development of the Agency should be pulled and retired in accordance with EPA 145. See EPA 127 for General Correspondence, EPA 141 for Controlled and Major Correspondence, and EPA 140 for Speeches and Testimony. Management Studies are scheduled as EPA 105. Committee records are covered in: EPA 181 - Records Created by Advisory Commissions, Committees, Councils, Boards, and Other Groups Established under the Federal Advisory Committee Act (FACA); EPA 186 - Committee Records Not Maintained by the Sponsor or Secretariat; EPA 187 - Intra-Agency and Internal Committees; EPA 188 - Quality and Information Council; EPA 518 - Rulemaking Committees; and EPA 525 - Congressional Committees File.

Previous schedule items combined into this schedule were for the following programs: Organization and Management, Federal Activities, General Counsel, Resources Systems, Administrative Law Judge, Regional Operations, Intergovernmental Liaison, Procurement/Contracts, Water, Solid Waste, Safety, Emergency and Remedial Response, Toxic Substances, Enforcement and Compliance Monitoring,

Mobile Source, Air Quality Planning and Standards, International Activities, Air and Hazardous Waste, Regional Administrator and Staff, Environmental Services, Research and Development, Research and Development Laboratories, Pesticides, Facilities and Support Services, Financial Management, Personnel, Radiation, Information and Resource Management, Inspector General, Legislative, Planning and Evaluation and Program Reporting, and Public Affairs. Specific item numbers are cited below.

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.

Custodians:

Multiple units

Related Schedules:

GRS 25/9, GRS 27/6

EPA 105, EPA 110, EPA 127, EPA 140, EPA 141, EPA 145, EPA 181, EPA 186, EPA 187, EPA 188, EPA 518, EPA 523, EPA 525

Previous NARA Disposal Authority:

NC174-118/3, NC174-255/1b (TN28-C4/1b), NC-412-75-2/VIII/2, NC1-412-76-1/I/3 and 10, NC1-412-76-1/II/22 (TN28-D2/22), NC1-412-76-1/IV/11, NC1-412-76-1/V/11, NC-412-76-3/1a, NC-412-76-4/6, NC1-412-77-5/10, NC1-412-78-2/1, NC1-412-82-7/22, NC1-412-83-3/1, NC1-412-84-1/3, NC1-412-84-2/1, NC1-412-85-1/1 and 6, NC1-412-85-2/3, NC1-412-85-3/4, NC1-412-85-4/7, 8 and 10, NC1-412-85-5/3, NC1-412-85-6/4 and 30, NC1-412-85-7/4, NC1-412-85-8/2, NC1-412-85-10/4, NC1-412-85-12/4, NC1-412-85-13/4, NC1-412-85-14/4, NC1-412-85-16/4, NC1-412-85-17/1, NC1-412-85-18/18, NC1-412-85-19/3, NC1-412-85-20/14, NC1-412-85-21/3 and 11, NC1-412-85-22/10 and 24b, NC1-412-85-23/1, 2 and 4b, NC1-412-85-24/52, NC1-412-85-25/2, NC1-412-85-26/I/2 and 26/II/2, NC1-412-85-26/VII/10, NC1-412-85-26/VIII/7c, NC1-412-85-26/IX/5, NC1-412-85-27/I/2, NC1-412-85-28/2, N1-412-86-1/4, N1-412-86-3/4 and 8, N1-412-86-4/1, N1-412-87-2/4, N1-412-87-4/4 and 11, N1-412-87-5/4, N1-412-94-2/3

Entry: 03/20/1991

EPA Approval: Pending

NARA Approval: Pending

EPA Records Schedule 202

Status: Final, 05/31/2007

Title: Contract Management Records

Program: All Programs, with exceptions

Applicability: Agency-wide

Function: 405 - Supply Chain Management

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

- N1-412-06-6/5

Description:

Contract records include all correspondence and related records pertaining to the award, administration, receipt, inspection and payment of any and all contracts to which EPA is a party and which are maintained and used by the Agency or Contracting Officer for contract documentation and for performance and financial monitoring and oversight activities. Also includes reviews and audits conducted by the Financial Analysis and Rate Negotiation Service Center (FARSC)

Excludes Superfund site-specific contract management records scheduled as EPA 020; final deliverables scheduled as EPA 258; and unsuccessful bids and proposals not filed with the related contract case files scheduled as EPA 275.

Disposition Instructions:

Item a: Contracting Officer (CO)

- **Disposable**
- Close inactive records upon final payment for the overall contract
- Destroy 6 years and 3 months after file closure.

Item b: Contract-level Contracting Officer's Representative (COR)

Formerly called Project Officer (PO)

- **Disposable**
- Close inactive records upon filing of final invoice or completion or termination of the task order or

*Superseded by
version of 10/31/2008
See S. York e-mail of 11/26/2008*

work assignment

- Destroy 6 years and 3 months after final payment for the overall contract.

Item c: Work Assignment Contracting Officer's Representative (COR)

Formerly called Delivery Order Project Officer (DOPO) or Work Assignment Manager (WAM)

- **Disposable**
- Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment.
- Destroy 6 years and 3 months after final payment for the overall contract

Guidance:

This schedule covers management of contracts by headquarters or field offices, including Tribal contracts, except for site-specific Superfund contracts scheduled as EPA 020. Superfund site-specific work assignments, task orders, and technical direction documents must be handled in accordance with instructions in EPA 020. Determination of whether a Superfund contract is covered by EPA 020 or EPA 202 is made by the COR.

Final deliverables are permanent documents and are scheduled as EPA 258. The Integrated Contracts Management System (ICMS) is covered in EPA 055. Unsuccessful bids and proposals and canceled solicitations not maintained with the related contract case files are scheduled as EPA 275. Records related to cost recovery of Superfund site-specific funding or payment are covered in EPA 024.

Routine requisitions, purchase orders, leases, and bond and surety agreements not related to contracts are covered in EPA 036 for routine procurement files.

Contracting officers and CORs should work together to determine who is responsible for maintaining specific documents to minimize duplication while still providing an adequate audit trail. The following are general guidelines:

- a. Contracting Officer (CO) - Record copy of RFPs, successful bids and proposals; contract and modifications, copies of financial and payment documents, contract specifications, drawings or manuals incorporated into the contract by reference, performance evaluations, technical and financial progress reports; statements of work (SOWs) and level of effort (LOE) documents, COR designations; notices to proceed, stop work or correct deficiencies, and related documents.
- b. Contract-level COR - Supporting documentation of performance evaluations, technical and financial progress reports, invoices and invoice approvals
- c. Work Assignment COR - Record copy of documents used for day-to-day technical direction of the task order or work assignment. Documents include work plans and schedules, amendments and/or modifications, draft deliverables submitted by the contractor, comments provided to the contractor or other records of technical direction, contract monitoring logs and communication records, cost estimates, meeting records and notes, evaluation forms, supporting documentation for statements of work (SOWs) and level of effort (LOE) documents, amendments and modifications, invoices and invoice approvals

Copies incorporated into other files are retained according to the disposition instructions for the records they support

Contracts that are being audited, protested, or are in any other kind of legal action can not be destroyed until the cases are closed. See EPA 679 for bid protest appeals, EPA 656 for Board of Contract appeals cases, and EPA 657 for GAO contract bid protest cases

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

Previous schedule items combined into this schedule were for the following programs: Procurement/Contracts, Water, Solid Waste, Emergency and Remedial Response, Toxic Substances, Mobile Source, Research and Development, Research and Development Laboratories, Pesticides, Facilities and Support Services, Radiation, Information and Resources Management, Planning and Evaluation and Program Reporting, and Public Affairs. Specific item numbers are cited below.

Specific legal citations include, but are not limited to:

- 48 CFR Chapters 1 and 15

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 was deleted 08/16/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 020, EPA 055, EPA 258, EPA 656, EPA 657, EPA 679

Previous NARA Disposal Authority:

NC174-118/V/3, NC-412-76-4/10, NC1-412-76-9/25, NC1-412-77-5/11, NC1-412-85-5/4 and 6, NC1-412-85-6/8, NC1-412-85-7/8, NC1-412-85-10/15, NC1-412-85-12/6, NC1-412-85-14/7, NC1-412-85-22/11, NC1-412-85-23/4a, NC1-412-85-26/I/4, N1-412-86-1/8, N1-412-86-3/7, N1-412-87-4/14 and 15, N1-412-87-5/13, N1-412-94-2/31

Entry: 04/02/1992

EPA Approval: 01/09/2006

NARA Approval: 05/13/2006

EPA Records Schedule 202

Status: Final, 02/01/2007

Title: Contract Management Records

Program: All Programs, with exceptions

Applicability: Agency-wide

Function: 405 - Supply Chain Management

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.

- N1-412-06-6/5

Description:

Contract records include all correspondence and related records pertaining to the award, administration, receipt, inspection and payment of any and all contracts to which EPA is a party and which are maintained and used by the Agency or Contracting Officer for contract documentation and for performance and financial monitoring and oversight activities. Also includes reviews and audits conducted by the Financial Analysis and Rate Negotiation Service Center (FARSC)

Excludes Superfund site-specific contract management records scheduled as EPA 020; final deliverables scheduled as EPA 258, and unsuccessful bids and proposals scheduled as EPA 275

Disposition Instructions:

Item a: Responsible Contracting Officer (CO)

- **Disposable**
- Close inactive records upon final payment for the overall contract.
- Destroy 6 years and 3 months after file closure.

Item b: Project Officer (PO)

- **Disposable**
- Close inactive records upon filing of final invoice or completion or termination of the delivery order or work assignment.
- Destroy 6 years and 3 months after final payment for the overall contract

SUPERSEDED
By VERSION 01
5/31/07
(see e-mail of 5/16/07)

Item c: Delivery Order Project Officer (DOPO) or Work Assignment Manager (WAM)

- **Disposable**
- Close inactive records upon filing of final invoice or completion or termination of the delivery order or work assignment.
- Destroy 6 years and 3 months after final payment for the overall contract.

Guidance:

This schedule covers management of contracts by headquarters or field offices, including Tribal contracts, except for site-specific Superfund contracts scheduled as EPA 020 Superfund site-specific work assignments, delivery orders, and technical direction documents must be handled in accordance with instructions in EPA 020 or EPA 021. Determination of whether a Superfund contract is covered by EPA 020 or EPA 202 is made by the Delivery Order Project Officer (DOPO) or Work Assignment Manager (WAM)

Final deliverables are permanent documents and are scheduled as EPA 258 The Integrated Contracts Management System (ICMS) is covered in EPA 055. Unsuccessful Bids and Proposals and Canceled Solicitations are scheduled as EPA 275. Records related to Superfund site-specific funding or payment are covered in EPA 024 - Cost Recovery Records.

Routine requisitions, purchase orders, leases, and bonds and surety agreements not related to contracts are covered in Routine Procurement Files - EPA 036.

Contracting officers, project officers, and work assignment managers should work together to determine who is responsible for maintaining specific documents to minimize duplication while still providing an adequate audit trail. The following are general guidelines

a Responsible Contracting Officer (CO) - Record copy of RFPs, successful bids and proposals, contract and modifications; copies of financial and payment documents; contract specifications, drawings or manuals incorporated into the contract by reference, performance evaluations, technical and financial progress reports, statements of work (SOWs) and level of effort (LOE) documents; project officer and contract monitor designations, notices to proceed, stop work or correct deficiencies; and related documents

b Project Officer (PO) - Supporting documentation of performance evaluations, technical and financial progress reports Responsible for invoices and invoice approvals when contract uses work assignment managers instead of DOPOs.

c. Delivery Order Project Officers and Work Assignment Managers (DOPOs and WAMs) - Record copy of documents used for day-to-day technical direction of the delivery order or work assignment Documents include work plans and schedules, amendments and/or modifications, draft deliverables submitted by the contractor, comments provided to the contractor or other records of technical direction, contract monitoring logs and communication records, cost estimates, meeting records and notes, evaluation forms, supporting documentation for statements of work (SOWs) and level of effort (LOE) documents, amendments and modifications DOPOs maintain invoices and invoice approvals for delivery orders

Records maintained by Task Managers should be added to the DOPO/WAM records at the closeout of the

delivery order or work assignment.

Copies of parts of these files (e.g., statements of work, work plans, etc.) may be kept with the relevant portions of related program records and may be retired according to the disposition requirements governing the related files. Other offices, including the COs, POs, DOPOs, WAMs and Task Managers, may maintain reference copies for which they are not directly responsible and which can be destroyed when no longer needed.

Contracts that are being audited, protested, or are in any other kind of legal action can not be destroyed until the case is closed. See EPA 679 for Bid Protest Appeals, EPA 656 for Board of Contract Appeals Cases, and EPA 657 for CAO Contract Bid Protest Cases.

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

Previous schedule items combined into this schedule were for the following programs: Procurement/Contracts, Water, Solid Waste, Emergency and Remedial Response, Toxic Substances, Mobile Source, Research and Development, Research and Development Laboratories, Pesticides, Facilities and Support Services, Radiation, Information and Resources Management, Planning and Evaluation and Program Reporting, and Public Affairs. Specific item numbers are cited below.

Specific legal citations include, but are not limited to:

- 48 CFR Chapters 1 and 15

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 was deleted 08/16/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 020, EPA 055, EPA 258, EPA 656, EPA 657, EPA 679

Previous NARA Disposal Authority:

NC174-118/V/3, NC-412-76-4/10, NC1-412-76-9/25, NC1-412-77-5/11, NC1-412-85-5/4 and 6, NC1-412-85-6/8, NC1-412-85-7/8, NC1-412-85-10/15, NC1-412-85-12/6, NC1-412-85-14/7, NC1-412-85-22/11, NC1-412-85-23/4a, NC1-412-85-26/I/4, N1-412-86-1/8, N1-412-86-3/7, N1-412-87-4/14 and 15, N1-412-87-5/13, N1-412-94-2/31

Entry: 04/02/1992

~~EPA Approval: 01/09/2006~~

~~NARA Approval: 05/13/2006~~

This schedule is under development and MAY NOT be used to retire or destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 202

Status: Development, 01/04/2006

Title: Contract Management Records

Program: All Programs, with exceptions

Applicability: Agency-wide

NARA Disposal Authority:

- Pending

Description:

Contract records include all correspondence and related records pertaining to the award, administration, receipt, inspection and payment of any and all contracts to which EPA is a party and which are maintained and used by the Agency or Contracting Officer for contract documentation and for performance and financial monitoring and oversight activities. Also includes reviews and audits conducted by the Financial Analysis and Rate Negotiation Service Center (FARSC).

Excludes: Superfund site-specific contract management records scheduled as EPA 020; tribal contracts scheduled as EPA 243; final deliverables scheduled as EPA 258; and unsuccessful bids and proposals scheduled as EPA 275.

Disposition Instructions:

Item a: Record copy - Responsible Contracting Officer (CO)

- Disposable
- Close file upon final payment for the overall contract. Destroy 6 years and 3 months after file closure.

Item b: Record copy - Project Officer (PO)

- Disposable
- Close file upon filing of final invoice or completion or termination of the delivery order or work assignment. Destroy 6 years and 3 months after final payment for the overall contract.

Item c: Record copy - Delivery Order Project Officer (DOPO) / Work Assignment Manager (WAM)

- Disposable
- Close file upon filing of final invoice or completion or termination of the delivery order or work assignment. Destroy 6 years and 3 months after final payment for the overall contract.

SUPERSEDED

BY VERSION OF

02/01/07

(see email of

3/20/2007)

Item d: Electronic copies created with word processing and electronic mail applications

- Disposable
- Destroy when record copy is generated.

Guidance:

This schedule covers management of contracts by headquarters or field offices, except for site-specific Superfund contracts scheduled as EPA 020 and tribal contracts scheduled as EPA 243. Superfund site-specific work assignments, delivery orders, and technical direction documents must be handled in accordance with instructions in EPA 020 or EPA 024. Determination of whether a Superfund contract is covered by EPA 020 or EPA 202 is made by the Delivery Order Project Officer (DOPO) or Work Assignment Manager (WAM).

Final deliverables are permanent documents and are scheduled as EPA 258. The Integrated Contracts Management System (ICMS) is covered in EPA 055. Unsuccessful Bids and Proposals and Canceled Solicitations are scheduled as EPA 275. Requisitions, purchase orders, leases, and bond and surety agreements are covered in Routine Procurement Files - EPA 036. Records related to Superfund site-specific funding or payment are covered in EPA 024 - Cost Recovery Records.

Contracting officers, project officers, and work assignment managers should work together to determine who is responsible for maintaining specific documents to minimize duplication while still providing an adequate audit trail. The following are general guidelines:

- a. Responsible Contracting Officer (CO) - Record copy of RFPs, successful bids and proposals, contract and modifications; copies of financial and payment documents; contract specifications, drawings or manuals incorporated into the contract by reference; performance evaluations, technical and financial progress reports, statements of work (SOWs) and level of effort (LOE) documents; project officer and contract monitor designations; notices to proceed, stop work or correct deficiencies; and related documents.
- b. Project Officer (PO) - Supporting documentation of performance evaluations, technical and financial progress reports. Responsible for invoices and invoice approvals when contract uses work assignment managers instead of DOPOs.
- c. Delivery Order Project Officers and Work Assignment Managers (DOPOs and WAMs) - Record copy of documents used for day-to-day technical direction of the delivery order or work assignment. Documents include work plans and schedules, amendments and/or modifications, draft deliverables submitted by the contractor, comments provided to the contractor or other records of technical direction, contract monitoring logs and communication records, cost estimates, meeting records and notes, evaluation forms, supporting documentation for statements of work (SOWs) and level of effort (LOE) documents, amendments and modifications. DOPOs maintain invoices and invoice approvals for delivery orders.

Records maintained by Task Managers should be added to the DOPO/WAM records at the close out of the delivery order or work assignment.

Copies of parts of these files (e.g., statements of work, work plans, etc.) may be kept with the relevant portions of related program records and may be retired according to the disposition requirements governing the related files. Other offices, including the COs, POs, DOPOs, WAMs and Task Managers,

may maintain reference copies for which they are not directly responsible and which can be destroyed when no longer needed.

Contracts that are being audited, protested, or are in any other kind of legal action can not be destroyed until the case is closed. See EPA 679 for Bid Protest Appeals, EPA 656 for Board of Contract Appeals Cases, and EPA 657 for GAO Contract Bid Protest Cases.

As required by 36 CFR 1228.58, records with special restrictions such as confidential business information (CBI) or those exempted from disclosure by statute such as the Privacy Act must be shredded or otherwise definitively destroyed with witnessed disposal for records destroyed by contractors.

Previous schedule items combined into this schedule were for the following programs: Procurement/Contracts, Water, Solid Waste, Emergency and Remedial Response, Toxic Substances, Mobile Source, Research and Development, Research and Development Laboratories, Pesticides, Facilities and Support Services, Radiation, Information and Resources Management, Planning and Evaluation and Program Reporting, and Public Affairs. Specific item numbers are cited below.

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.

Custodians:

Multiple units

Related Schedules:

EPA 020, EPA 055, EPA 258, EPA 656, EPA 657, EPA 679

Previous NARA Disposal Authority:

NC174-118/V/3, NC-412-76-4/10, NC1-412-76-9/25, NC1-412-77-5/11, NC1-412-85-5/4 and 6, NC1-412-85-6/8, NC1-412-85-7/8, NC1-412-85-10/15, NC1-412-85-12/6, NC1-412-85-14/7, NC1-412-85-22/11, NC1-412-85-23/4a, NC1-412-85-26/I/4, N1-412-86-1/8, N1-412-86-3/7, N1-412-87-4/14 and 15, N1-412-87-5/13, N1-412-94-2/31

Entry: 04/02/1992

EPA Approval: Pending

NARA Approval: Pending

This schedule is under development and MAY NOT be used to retire or destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 249

Status: Development, 01/04/2006

Title: Artwork and Camera Ready Copy

Program: All Programs

Applicability: Agency-wide

NARA Disposal Authority:

- Pending

Description:

Files consist of originals, mechanicals, or negatives of drawings and photographs used to produce publications and promotional items such as manuals, handbooks, brochures, pamphlets, posters, comic books, buttons, bumper stickers, or other materials. Also includes camera ready copy (i.e., unbound, quality versions that will produce good duplicates). Publications and promotional items are developed for use by Agency staff or for distribution to regions, states, other government agencies, the regulated community, and the public.

Excludes: Publications and promotional items which are scheduled as EPA 250.

Disposition Instructions:

Item a: Record copy

- Disposable
- Close file after last printing. Destroy 10 years after file closure.

Item b: Electronic copies created with electronic mail and word processing applications

- Disposable
- Destroy when record copy is generated.

Guidance:

Original photographs/slides used in the preparation of layouts are to be retired under NARA General Records Schedule 21.

Printing instructions should be maintained with the artwork to which it relates and retained for the same amount of time.

Previous schedule items combined into this schedule were for the following programs: Water, Solid

SUPERSEDED
VERSION

Waste, Emergency and Remedial Response, and Public Affairs. Specific item numbers are cited below.

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.

Custodians:

Multiple units

Related Schedules:

GRS 21

EPA 250

Previous NARA Disposal Authority

GRS 21/6, NC1-412-75-9/21, NC1-412-85-1/V/2 and 3, NC1-412-85-7/11, NC1-412-82-12/19, NC1-412-85-10/21, N1-412-87-5/11, N1-412-94-35

Entry: 09/10/1992

EPA Approval: Pending

NARA Approval: Pending