

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK	
TO GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO NI-412-86-2	DATE RECEIVED 7-28-86
1 FROM (Agency or establishment) Environmental Protection Agency		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION (Agencywide)		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER Harold Webster Thomas Tasker	5 TELEPHONE EXT 382-5912 382-5911	DATE 12-31-86	ARCHIVIST OF THE UNITED STATES <i>Frank J. Burns</i>
6 CERTIFICATE OF AGENCY REPRESENTATIVE			

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 8 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence is attached, or is unnecessary

B DATE 7/24/86	C SIGNATURE OF AGENCY REPRESENTATIVE <i>Thomas Tasker</i>	D TITLE Agency Records Management Officer
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7 ITEM NO	8 DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN <i>(NARS USE ONLY)</i>
1 - 17	The Office Management Records Control Schedule is being revised to incorporate some items common to all EPA offices. These items include schedules of daily activities, files dealing with the Privacy Act and Freedom of Information Act and Office Administrative Files. Attached is a copy of the revised Office Management Records Control Schedule.	Appendix B Schedule 22	

(21 items)

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES		SCHED NO
TITLE OF SCHEDULE		COVERAGE OF SCHEDULE
OFFICE MANAGEMENT RECORDS		AGENCYWIDE
ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
1.	<p><u>Office Administrative Files.</u> Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, statting, procedures and communications; the expenditure of funds, including budget papers, and the use of office space and utilities. They may include copies of internal activity and workload reports (including work progress, statistical and narrative reports which are prepared in the office and forwarded to higher levels) and other materials that do not serve as official documentation of the programs of the office. Note: This schedule item is not applicable to the record copies of organizational charts, functional statements and related records that document the essential organization, statting and procedures of EPA.</p>	<p><u>Retention:</u> See Disposition</p> <p><u>Disposition:</u> Destroy when 2 years old or when no longer needed, whichever is sooner.</p>
2.	<p><u>Schedules of Daily Activities.</u> Consist of calendars, appointment books, schedules, logs, diaries and other records documenting meetings, appointments, telephone calls, trips, visits and other activities of Federal employees while serving in an official capacity. Materials determined to be "personal records" are not covered by this item.</p> <p>a. Records containing substantive information relating to the official activities of high level officials, the substance of which has <u>not</u> been incorporated into memoranda, reports, correspondence or other records included in the official files. (High level officials include the Administrator, Deputy Administrator, Assistant Administrators, Associate Administrators, Regional Administrators, Laboratory Directors, Office Directors, Staff Directors and Staff Assistant to the aforementioned officials such as special assistants, confidential assistants and administrative assistants.)</p>	<p><u>Retention:</u> See Disposition</p> <p><u>Disposition:</u> Break file when official/and leaves office offer records to the National Archives. If the offer is not accepted, destroy the records 6 years after the offer is rejected.*</p>

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED NO

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OFFICE MANAGEMENT RECORDS		AGENCYWIDE
ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
	<p>b. Records of other than high level Federal employees as defined in "a" above containing substantive information relating to official activities, the substance of which has <u>not</u> been incorporated into official files.</p> <p>c. Routine materials containing <u>no</u> substantive information regarding the daily activities of other than high level officials as defined in "a" above and records of all Federal employees containing substantive information, the substance of which has been incorporated into official files.</p>	<p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then destroy.</p> <p><u>Retention:</u> See Disposition.</p> <p><u>Disposition:</u> Destroy when no longer needed.</p>
3.	<p><u>Privacy Act Requests Files.</u> Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Includes original request, copy of reply and all related supporting documents, which may include a copy of the records requested but <u>does not</u> contain the official file of records requested.</p> <p>a. Granting access to all the requested records.</p> <p>b. Responding to requests for nonexistent records, to requesters who provide inadequate descriptions and to those who fail to pay agency reproduction fees.</p> <p>(1) Requests not appealed.</p> <p>(2) Requests appealed.</p>	<p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then destroy.</p> <p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then destroy.</p> <p><u>Retention:</u> See Disposition</p> <p><u>Disposition:</u> Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later.</p>

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED. NO

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	<p>c. Denying access to all or part of the records requested.</p> <p>(1) Requests <u>not</u> appealed.</p> <p>(2) Requests appealed.</p>	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 5 years, then destroy.</p> <p><u>Retention:</u> See Disposition</p> <p><u>Disposition:</u> Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later.</p>
4.	<p><u>Privacy Act Amendment Case Files.</u> Includes records relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2), to the individual's request for a review of the Agency's refusal of the individual's request to amend a record as provided for under 552a(d)(3) and to any civil action brought by the individual against EPA as provided under 5 U.S.C. 552a(g).</p> <p>a. Requests to amend agreed to by EPA. Includes individual's requests to amend and/or review refusal to amend, copies of replies and related materials.</p> <p>b. Requests to amend refused by EPA. Includes individual's request to amend and to review refusal to amend, copies of replies, statement of disagreement, justification for refusal to amend a record and related materials.</p>	<p><u>Retention:</u> See Disposition</p> <p><u>Disposition:</u> Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after agreement to amend, whichever is later.</p> <p><u>Retention:</u> See Disposition</p> <p><u>Disposition:</u> Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination or 3 years after final adjudication by courts, whichever is later.</p>

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AGENCYWIDE

ITEM NO

NAME AND DESCRIPTION OF RECORD/FILE

RETENTION PERIOD AND DISPOSITION

5. Privacy Act Accounting of Disclosure Files. Files maintained under the provisions of 5 U.S.C. 552a(2) for an accurate accounting of the date, nature and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requestor's name and address, purpose and date of disclosure and proof of subject individual's consent when applicable.

6. Privacy Act Control Files. Includes records maintained for control purposes in responding to requests, including logs, registers and similar records listing date, nature of request and name and address of requestor.
 - a. Log, Register or Listings.

 - b. Other Files.

7. Freedom of Information Act (FOIA) Request File. Includes copies of incoming requests for information under the Freedom of Information Act, copies of the replies and copies of any intra-agency memoranda concerning the request. Files contain correspondence and supporting document but does not include copy of the document requested.

Retention: See Disposition

Disposition: Dispose of in accordance with the approved disposition instructions for the related subject individual's records or 5 years after the disclosure for which the accountability was made, whichever is later.

Retention: Retain 5 years.

Disposition: Break files at end of year. Keep in office for 5 years, then destroy.

Retention: See Disposition

Disposition: Destroy 5 years after final action by EPA or final adjudication by courts, whichever is later.

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ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
	<p>a. Granting access to all the requested records.</p> <p>b. Responding to requests for nonexistent records; to requestors who provide inadequate descriptions and to those who fail to pay agency reproduction fees.</p> <p style="padding-left: 40px;">(1) Request <u>not</u> appealed.</p> <p style="padding-left: 40px;">(2) Request appealed.</p> <p>c. <u>Other Copies.</u></p>	<p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then destroy.</p> <p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then destroy.</p> <p><u>Retention:</u> See Disposition</p> <p><u>Disposition:</u> Destroy ⁶4 years after final determination by agency or 3 years after final adjudication by courts, whichever is later. (See Appendix C, Schedule 4, Item 4).</p> <p><u>Retention:</u> Retain 1 year.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 1 year, then destroy.</p>
8.	<p><u>FOIA Control Files.</u> Includes logbooks and other records used for control purposes which show the receipt date, date of reply, office of referral, payment receipt, nature and purpose of request, name and address of requestor and other processing information concerning FOIA requests.</p> <p>a. <u>Logbooks, registers or listing.</u></p> <p>b. <u>Other Files.</u></p>	<p><u>Retention:</u> Retain ⁶5 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for ⁶5 years, then destroy.</p> <p><u>Retention:</u> See Disposition</p> <p><u>Disposition:</u> Destroy 5 years after final action or after final adjudication by courts, whichever is later.</p>

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9.	<u>Reading or Chron Files.</u> Includes unofficial copies of all correspondence and memoranda prepared by an office, filed chronologically and kept for convenient office reference. (Reference copies only.)	<u>Retention:</u> Retain current plus 1 year. <u>Disposition:</u> Keep in office current plus 1 additional year, then destroy.
10.	<u>Travel Expense Files.</u> Includes reference copies of travel records used to account for employees while on travel status, and to request reimbursement or balance due on travel funds authorized. Records consist of travel authorization record, travel advance applications, transportation requests, travel voucher copies, reimbursement claim copies, copies of hotel, meal, and other expense receipts and related correspondence. (Reference copies only.)	<u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file each year. Keep in office for 2 years, then destroy.
11.	<u>Personnel Reference Files.</u> Includes reference copies of personnel records maintained at the supervisory level. Records consist of copies of personal qualifications statements, position descriptions, personnel action forms, performance evaluations, and other related records (Reference copies only.)	<u>Retention:</u> Retain until separation or termination of employment. <u>Disposition:</u> Keep in office until separation or termination of employment, then destroy.
12.	<u>Employee Training Files.</u> Includes reference copies of employee training records, maintained at the supervisory level. Records consist of training request, authorization, and record forms, nomination forms, interagency training agreement forms, and other related correspondence and records. (Reference copies only.)	<u>Retention:</u> Retain current plus 1 year. <u>Disposition:</u> Keep in office current plus 1 additional year, then destroy.
13.	<u>Requests/Requisitions for Supplies or Services.</u> Includes reference copies of requests for office services or supplies, printing, etc. Records consists of procurement requests/requisition forms, requests for duplicating or printing, building/labor services, machine requests, and other related records. (Reference copies only.)	<u>Retention:</u> Retain current plus 1 year. <u>Disposition:</u> Keep in office current plus 1 additional year, then destroy.
14.	<u>Office Equipment Service Contracts File.</u> Includes reference copies of service agreements for office equipment maintenance, or other contractual agreements for office services. (Reference copies only.)	<u>Retention:</u> Retain until obsolete or superseded. <u>Disposition:</u> Keep in office until obsolete or superseded by new agreement, then destroy.

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15.	<u>EPA Directives.</u> Includes copies of all issuances of the Agency directives systems, used by operating personnel as a reference to Agency policies and procedures. Includes all orders, manuals, notices, and other official issuances. (Reference copies only.)	<u>Retention:</u> Retain until obsolete or superseded. <u>Disposition:</u> Keep current in office until obsolete or superseded, then destroy.
16.	<u>Timekeeper's Records.</u> Includes records maintained by timekeepers at the supervisory level to account for employees' time for pay and other purposes. Records consist of copies of Time and Attendance Reports and copies of all supporting report forms, including logs used to make original entries of hours worked and leave expended. (Reference copies only.)	<u>Retention:</u> Retain current plus 1 additional year. <u>Disposition:</u> Keep in office current plus 1 additional year, then destroy.
17.	<u>Application for Employment -- Persons Not Hired.</u> Includes personal qualifications statement, interview records, and other records used in recruitment and selection of persons considered for employment. (Reference copies only.)	<u>Retention:</u> Retain 2 years. <u>Disposition:</u> Keep in office for 2 years, then destroy providing all equal employment opportunity requirements have been met.

RECORDS MANAGEMENT MANUAL

Atch to SF 115 (Revis: Item Numbers compared to previous Item Numbers,
Schedule Number, and NARS Job Number)

Title Of Schedule: Office Management Records

<u>REVISED</u> <u>Item Numbers</u>	<u>Item No.</u>	<u>PREVIOUS</u> <u>Schedule No.</u>	<u>NARS Job No.</u>
1. (New)			
2. "			
3. "			
4. "			
5. "			
6. "			
7.	8.	C-1	NCI-412-78-6
8.	9.	"	"
9.	1.	B-22	NC1-412-75-4
10.	2.		
11.	3.		
12.	4.		
13.	5.		
14.	6.		
15.	7.		
16.	8.		
17.	9.		

Atch to SF 115 (Info for "PERMANENT" retention records)

Title Of Schedule: Office Management Records

<u>Item No.</u>	<u>Volume On Hand</u>	<u>Growth Per Year</u>	<u>Arrangement Of Files</u>
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"No PERMANENT Retention records to report"