

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: N1-412-86-003**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 09/07/2022

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Items 10, 13, 15, 16 and 27 remain active

### **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1 was superseded by N1-412-94-002 item 22

Item 2 was superseded by N1-412-94-002 item 18 and N1-412-06-006 schedule 127

Item 3 was superseded by N1-412-94-002 item 16, N1-412-94-006 item 2, and N1-412-07-002 item 2

Item 4 was superseded by N1-412-94-002 item 3 and N1-412-06-006 schedule 006

Item 5 was superseded by N1-412-94-002 item 21

Item 6 is non-record convenience copies

Item 7 was superseded by N1-412-94-002 items 1 and 31, and N1-412-06-006 schedules 003 and 202

Item 8 was superseded by N1-412-06-006 schedule 006

Item 9 was superseded by N1-412-94-002 item 40

Item 11 was superseded by N1-412-94-002 item 40

Item 12 was superseded by N1-412-94-002 item 40

Item 14 was superseded by N1-412-95-007 item 6

Item 17 was superseded by N1-412-07-013

Items 18 through 19 were not appraised

Items 20 and 21 were not appraised but still shown as superseded by N1-412-07-012

Items 22 through 26, 28, and 29 were not appraised

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		LEAVE BLANK	
TO <b>GENERAL SERVICES ADMINISTRATION</b> <b>NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408</b>		JOB NO <b>NI-412-86-3</b>	DATE RECEIVED <b>7-28-86</b>
1 FROM (Agency or establishment) <b>Environmental Protection Agency</b>		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION <b>Office Of Information Resources Management</b>		In accordance with the provisions of 44 USC 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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 <b>Harold Webster</b> <b>Thomas Tasker</b>	5 TELEPHONE EXT <b>382-5912</b> <b>382-5911</b>	DATE <b>2-3-87</b>	ARCHIVIST OF THE UNITED STATES <i>Frank A. Burt</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 <b>7/23/86</b>	C SIGNATURE OF AGENCY REPRESENTATIVE <i>Thomas Tasker</i> <b>Thomas Tasker</b>	D TITLE <b>Agency Records Management Officer</b>
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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARS USE ONLY)
1 - 27	The Information And Resources Management Records Control Schedule was created due to a restructuring of the Information and Resources Management functions within <sup>the</sup> Agency. This Schedule revises the Library System Records Schedule, and is a part of a major review and update of the EPA Records Control Schedules.  Attached is a copy of the Information & Resources Mgt. Records Control Schedule.	Appendix B Schedule 26	

(20 items)

**U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES**

SCHED NO

TITLE OF SCHEDULE  
INFORMATION AND RESOURCES MANAGEMENT

COVERAGE OF SCHEDULE  
AGENCYWIDE

ITEM NO

NAME AND DESCRIPTION OF RECORD/FILE

RETENTION PERIOD AND DISPOSITION

- |    |   |  |
|----|---|--|
| 1. | <p><u>Controlled and Major Correspondence of the Director, Office of Information and Resources Management.</u> Includes copies of controlled and major correspondence signed by the Director. The correspondence 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.</p> | <p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office current plus 1 additional year, then transfer to the FRC. Keep in FRC for 10 years, then offer to the National Archives, in 10 year blocks.</p>   |
| 2. | <p><u>General Correspondence of the Director, Office of Information and Resources Management.</u> Includes copies of non-controlled (routine) correspondence. Records consist of incoming letters and enclosures.</p>   | <p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office 1 year, then transfer to the FRC. Destroy when 3 years old.</p>  |
| 3. | <p><u>Program Development File.</u> Consists of records related to the development of information and resource management policies and programs. Records consist of correspondence, issue papers and reports relative to policy, strategy, program control, timeshare budget, research priorities, legislative priorities and other related records.</p>  | <p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file at end of 2 years. Keep in office 3 years, then transfer to FRC. Keep in FRC for 20 years, then offer to the National Archives, in 10 year blocks.</p>   |
| 4. | <p><u>Program Management File.</u> Consists of records related to the management and administrative support of each unit of the Office of Information and Resources Management and other Agency Programs. Records consist of program planning and implementation, personnel needs, work accomplishments, budgetary materials which includes timeshare budget and other program management activities.</p> | <p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office 3 years, then transfer to the FRC. Destroy when 5 years old.</p>   |
| 5. | <p><u>Speeches by Office Director or Staff.</u> Speeches prepared for delivery at civic functions and professional conferences and meetings.</p>  | <p><u>Retention:</u></p> <p>a. <u>Record Copy.</u> Permanent.</p> <p>b. <u>Information Copies.</u> Retain 1 year.</p> <p><u>Disposition:</u></p> <p>a. <u>Record Copy.</u> Break file after presentation. Keep in office 5 years, then transfer to the FRC. Keep in FRC 5 years, then offer to the National Archives, in 10 year blocks.</p> <p>b. <u>Information Copies.</u> Destroy when 1 year old or sooner if no longer needed.</p> |

RECORDS MANAGEMENT MANUAL

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- |    |   |   |
|----|---|---|
| 6. | <p><u>Freedom of Information Response File.</u> Includes copies of incoming requests for information under the Freedom of Information Act, copies of replies, and copies of any interagency memoranda concerning the request. Note: this file does not contain the Program's official record of information being requested.</p>  | <p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office 2 years, then destroy.</p>  |
| 7. | <p><u>Contracts and Grants File.</u> Documentation relating to the formulation, award, and changes in contracts or interagency agreements with another Federal Government Agency for information studies or services. Records consist of orders for services, procurement requests, justification statements, task orders, bid evaluations, award notices, contractor staff resumes, contract or agreement, progress reports, change notices, staff comments on contractor activities, invoices, and other related records.</p>   | <p><u>Retention:</u> Retain 6 years.</p> <p><u>Disposition:</u> Break file upon the completion of contract or interagency agreement. Keep in office 1 year, then transfer to the FRC. Destroy when 6 years old.</p> |
| 8. | <p><u>Information/Records Management Files.</u> Correspondence, reports, authorizations, and other records that relate to the management of the Agency's information/records including such matters as files management, the use of microforms, ADP systems and word processing; electronic mail; information/records management surveys; vital records programs, etc.</p>  | <p><u>Retention:</u> Retain 6 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office 1 year, then transfer to the FRC. Destroy when 6 years old.</p>   |
| 9. | <p><u>Requirements Analyses Studies.</u> Consist of studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, micrographics, ADP information applications, etc. Studies and systems analyses for the initial establishment and major changes of these systems. Records include a consideration of the alternatives to the proposed system and a cost/benefit analysis, including analysis of the improved efficiency and effectiveness to be expected from the proposed system.</p> | <p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file one year after completion of study. Keep in office 1 year, then transfer to the FRC. Destroy when 5 years old.</p>                       |

RECORDS MANAGEMENT MANUAL

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INFORMATION AND RESOURCES MANAGEMENT		AGENCYWIDE
ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
10.	<u>Information Systems Inventory.</u> The Information Systems Inventory was developed to facilitate sharing of information across media and program boundaries. For each system in the Inventory, the following information is included: system identification, description of data-base content, administrative data about access, budget codes and legal authorities.	<p><u>Retention:</u> Retain 5 years after the inventory has been discontinued.</p> <p><u>Disposition:</u> Break file when Inventory is discontinued. Keep in office 1 year, then transfer to the FRC. Destroy when 5 years old.</p>
11.	<u>Systems Development.</u> Contains records related to the specification, design and implementation of automated information systems supporting program offices. Records consist of correspondence, issue papers and meeting summaries produced in the course of systems development.	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file when system is discontinued. Keep in office for 1 year, then transfer to the FRC. Destroy when 5 years old.</p>
12.	<u>Systems Documentation.</u> Contains requirements specifications, design documents, programming specifications, tests plans, source code, user guides and training documents produced in the course of developing, enhancing, maintaining and user supporting EPA program systems. Such documentation is essential to the continuing operation of major program systems.	<p><u>Retention:</u> See disposition below.</p> <p><u>Disposition:</u></p> <p>a. <u>Major Systems.</u> Documentation relating to archival ADP systems will be retained permanently. Break file when system is discontinued. Keep in office for 2 years, then transfer to the FRC. Keep in FRC for 15 years, then offer to the National Archives in 5 year blocks.</p> <p>b. <u>Disposable Systems.</u> Documentation for ADP Systems that are disposable will be retained for 15 years. Break file when system is discontinued. Keep in office for 2 years, then transfer to the FRC. Destroy when 15 years old.</p>
13.	<u>Requests for ADP Hardware and Software.</u> Contains copies of procurement requests, interagency agreements, grant requests and communications that document approval/disapproval actions. Records are essential to OIRM's oversight of program information activities.	<p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 3 years, then destroy.</p>
14.	<u>Management and Operation of Information Centers.</u> Correspondence, reports, policy, planning documents, authorizations and other records that relate to the management and operation of the Agency's Information Centers. Records consist of long range plans, policy statements and the documents that support the operations of the information centers.	<p><u>Retention:</u> Retain 15 years.</p> <p><u>Disposition:</u> Break file every three years. Keep in office 1 year, then transfer to the FRC. Destroy when 15 years old.</p>

RECORDS MANAGEMENT MANUAL

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15. Records Disposition Files. These files contain documents of descriptive inventories, disposal authorizations, schedules for the retirement of records, approved microfilming procedures and correspondence relating to revisions.

Retention: See Disposition

Disposition: Break file and destroy when related records are destroyed or transferred to the National Archives.

Retention: Retain 2 years.

16. Privacy Act - General Administrative Files. Contains records related to the implementation of the Privacy Act, including notices, memoranda, routine correspondence and related records.

Disposition: Break file every two years, then destroy.

17. Privacy Act Reports Files. Recurring reports and one-time information requirement relating to implementation of the Act, including annual reports to the Congress of the United States, the Office of Management and Budget, etc.

Retention: Permanent.

Disposition: Break file when report is completed. Keep in office 2 years, then transfer to the FRC. Keep in FRC 15 years, then offer to the National Archives in 5 year blocks.

a. Annual Report.

Retention: Retain 2 years.

Disposition: Break file when report is completed. Keep in office 2 years, then destroy.

b. Other Reports.

18. Library Systems Development File. Includes records related to the development of systems and procedures for the acquisition, use and dissemination of information in the EPA Library System. Records consist of correspondence and reports concerning topics such as bibliographic retrieval systems, document control system, literature search and literature services, on-line retrieval systems, data base management and evaluation, studies prepared by consulting firms and other related records.

Retention: Retain 5 years.

Disposition: Break file when projects or systems are implemented or become inactive. Keep in office for 1 additional year, then transfer to the FRC. Destroy when 5 years old.

RECORDS MANAGEMENT MANUAL

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19.	<u>Library Committee, Conferences, and Associations.</u> Includes records related to EPA Library participation in library or information management related committees, conferences, seminars, workshops and associations, such as the American Library Association, the American Society for Information, the Federal Library Committee, Special Library Association and specific library-related conventions, workshops, etc. Records consist of correspondence, reports, brochures, and other literature.	<u>Retention:</u> See Disposition  <u>Disposition:</u> Review files at end of each year. Retain records having continuing reference or administrative value and destroy other materials.
20.	<u>EPA Programs File.</u> Includes records related to Library relationships with the EPA offices served by the library system. Records used to establish user needs and to offer or provide support to the program office users. Records consist of correspondence, literature related to environmental programs and their needs for bibliographic or technical literature support or other library services and other related records. Major files categories include toxic substances program, air program, water program, noise abatement program, solid waste program and other environmental programs.	<u>Retention:</u> See Disposition  <u>Disposition:</u> Review files at end of each year. Retain records having continuing reference or administrative value and destroy other materials.
21.	<u>EPA Library System File.</u> Includes records relating to the planning and management of the libraries comprising the EPA Library System. Records consist of correspondence, reports, and other documents concerning the library budget, staffing user population, user education, library statistics, equipment, facilities management, acquisition policies, holdings, services offered, and other related matters. Also includes correspondence and reports from the libraries in the EPA Library System.	<u>Retention:</u> See Disposition:  <u>Dispositions:</u> Review files at end of each year. Retain records having continuing reference or administrative value and destroy other materials.
22.	<u>Other Federal, University, and Special Libraries File.</u> Includes correspondence, reports, technical literature, interagency agreements and other records received from other Federal, university, and special libraries. Included are the Library of Congress, National Agricultural Library, National Library of Medicine, National Technical Information Service and from various university libraries.	<u>Retention:</u> See Disposition  <u>Disposition:</u> Review files at end of each year. Retain records having continuing reference or administrative value and destroy other material.

RECORDS MANAGEMENT MANUAL

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23.	<u>International Referral System Program File.</u> Includes records related to the referral of inquiries from foreign countries, international organizations, other Federal agencies, etc., to the proper office, agency, or institution for response. Records consist of the incoming inquiries, outgoing replies and documents used to identify proper referral source.	<u>Retention:</u> Retain 1 year. <u>Disposition:</u> Keep in office current year plus 1 additional year.
24.	<u>Public Information Reference Material (Regulations, Standards and Guidelines).</u> A collection of documents relating to regulations, standards and guidelines promulgated by EPA. Documents centrally maintained for public review. Documents consist of copies of proposed and final regulations, standards and guidelines which includes hearing transcripts, economic analysis--cost effective studies, comments on proposed regulations; State Implementation Plans; Effluent Guidelines, NPDES Quarterly Non-Compliance Reports, etc. <u>Note: The documents described above are non-record material. The official record documentation is maintained by the appropriate program.</u>	<u>Retention:</u> Retain 1 year after promulgation of final regulation, standard or guideline. <u>Disposition:</u> Break file upon publication of final rule in Federal Register. Keep in Public Information Reference Unit for 1 year, then destroy.
25.	<u>Public Inquiries File.</u> Includes copies of public inquiries requesting various non-technical EPA reference materials and/or answers to various types of environmental problems, with copy of response from the responsible program area in EPA Headquarters and regions attached, and consumer complaints. Also, includes copies of inquiry control log books/sheets and reports that contain daily and weekly account of inquiries received via mail, telephone and personal appearances.	<u>Retention:</u> Retain 3 months after all actions are completed. <u>Disposition:</u> Break file after 3 months, then destroy.
26.	<u>Information Clearinghouse Records.</u> Includes records relating to a system to provide an ongoing inventory of all EPA's monitoring and statistical information on a variety of models, data collections, technical reports and grants and procurements to be used by project officers to determine if the requirements called for in the RFP's are sufficiently unique or whether they are duplications of effort. Records consist of procurement request, statement of work, survey forms to update data bases, data collection forms and other appropriate records necessary for the operation of the Information Clearinghouse.	<u>Retention:</u> Retain 6 months. <u>Disposition:</u> Break file after information has been converted to machine-readable form and information verified to be correct. Keep in office for 6 months, then destroy.

RECORDS MANAGEMENT MANUAL



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27.	<u>Translation File.</u> Includes microfiche of foreign documents that EPA has translated for Agencywide staffs. Documents include foreign technical journal articles, patents, government reports, miscellaneous, papers, etc.	<u>Retention:</u> See Disposition <u>Disposition:</u> Destroy when no longer used.
28.	<u>Telephone Report (Long Distance Calls).</u> Summaries of long distance telephone reports used to indicate authorized use of telephone service as well as to audit expense voucher.	<u>Retention:</u> Retain 1 year after audit. <u>Disposition:</u> Break file at end of fiscal year. Keep in office for 1 year after records have been audited.
29.	<u>Telephone Service Requests.</u> Requests from operating units for installation, alterations, relocation, or removal of telephone facilities.	<u>Retention:</u> Retain 1 year. <u>Disposition:</u> Break file after work is performed or requests cancelled. Keep in office 1 year, then destroy.

RECORDS MANAGEMENT MANUAL

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

Title Of Schedule: Information And Resources Management

<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. "			
9. "			
10. "			
11. "			
12. "			
13. "			
14. "			
15.			
16. (New)	6.	B-1	NCI-74-118
17. "			
18.			
19.	1.	B-26	NCI-412-83-5
20.	2.		
21.	3.		
22.	4.		
23.	5.		
24.	6.		
25.	7.		
26.	8.		
27. (New)	9.		

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

Title Of Schedule: Information And Resources Management

<u>Item No.</u>	<u>Volume On Hand (Cubic Feet)</u>	<u>Growth Per Year (Cubic Ft.)</u>	<u>Arrangement Of Files</u>
1.	1	1/2	Subject
3.	2	1	Subject
5.	1/4	1/8	Chronological
12.	6	2	Subject
17.	1/4	1/8	Chronological