

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

LEAVE BLANK

JOB NO

N1-412-89-2

TO **GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

DATE RECEIVED

8/28/89

1 FROM (Agency or establishment)

Environmental Protection Agency

NOTIFICATION TO AGENCY

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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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.

2 MAJOR SUBDIVISION

Office of Toxic Substances

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER

Harold Webster
Suzanne Annand

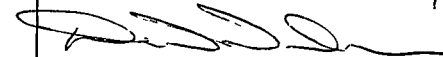
5 TELEPHONE EXT

382-5912
382-5911

DATE

3/14/91

ARCHIVIST OF THE UNITED STATES



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 _____ 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	C SIGNATURE OF AGENCY REPRESENTATIVE <i>Suzanne Annand</i> for Geoff Steele	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 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARS USE ONLY)
20.	<p>The Office of Toxic Substances Records Control Schedule is being revised to add coverage of Asbestos School Hazards Abatement Program records; Application Review Files and Award Files.</p> <p>Attached is a copy of the revised Office of Toxic Substances Records Control Schedule for item 20.</p>	NC1-412-85-12	

Copies sent to agency, NNW, NNT, NCF 3/14/91

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED NO

TITLE OF SCHEDULE

OFFICE OF TOXIC SUBSTANCES RECORDS

COVERAGE OF SCHEDULE

APPLICABLE HEADQUARTERS OFFICE

ITEM NO

NAME AND DESCRIPTION OF RECORD/FILE

RETENTION PERIOD AND DISPOSITION

1. Controlled and Major Correspondence of the Assistant Administrator for Toxic Substances. Includes copies of controlled and major correspondence signed by the Assistant Administrator. 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. Records consist of copies of incoming letters, copies of the responses, and enclosures.

Retention: Permanent.

Disposition: 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 National Archives in five year blocks.

2. General Correspondence of the Assistant Administrator for Toxic Substances. Includes copies of non-controlled (routine) correspondence. Records consist of incoming letters and enclosures.

Retention: Retain 5 years.

Disposition: Break file at end of year. Keep in office 1 year, then transfer to FRC. Destroy when 5 years old.

3. Program Development File. Consists of records related to the development of the Office of Toxic Substances policies and programs. Records consist of correspondence, issue papers and reports relative to major policy, strategy, program control, research priorities, legislative priorities, and other related records.

Retention: Permanent.

Disposition: Break file at end of 2 years. Keep in office 4 years, then transfer to the FRC. Keep in FRC for 20 years, then offer to the National Archives in five year blocks.

4. Program Management File. Consists of records related to the management and administrative support of each unit of the Office of Toxic Substances. Records consist of program planning and implementation, personnel needs, work accomplishments, budgetary materials, and other program management activities.

Retention: Retain 5 years.

Disposition: Break file at end of year. Keep in office 1 year, then transfer to the FRC. Destroy when 5 years old.

5. Speeches by Assistant Administrator or Staff. Speeches prepared for delivery at civic functions and professional conferences and meetings.

Retention:

a. Record Copy. Permanent.

b. Information Copies. Retain 1 year.

Disposition:

a. Record Copy. Break file after presentation; Keep in office 5 years, then transfer to the FRC. Keep in FRC 5 years, then transfer to the National Archives in five year blocks.

b. Information Copies: Destroy when 1 year old or sooner if no longer needed.

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED NO

TITLE OF SCHEDULE

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APPLICABLE HEADQUARTERS OFFICE

ITEM NO

NAME AND DESCRIPTION OF RECORD/FILE

RETENTION PERIOD AND DISPOSITION

6. Contracts and Grants File. Documentation relating to the award of contracts and grants with consulting firms and universities for conducting research concerning testing methods, chemical properties, and environmental levels of toxic substances. Records consist of proposals and scope of work, signed agreement, quarterly or monthly progress reports, vouchers and other financial documents, and other related records.

Retention: Retain 6 years after completion.

Disposition: Break file upon completion of project. Keep in office 2 years, then transfer to the FRC. Destroy when 6 years old.

7. Freedom of Information Response File. 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.

Retention: Retain 2 years.

Disposition: Break file at end of year. Keep in office current plus 1 additional year. Destroy when 2 years old.

8. Final Report Resulting from Contractor or Grantee Studies and Services. Includes printed final copies of reports submitted by contractors and grantees.

Retention:

a. Record or Master Copy. Retain 20 years.

b. Information Copies. Retain 1 year.

Disposition:

a. Record or Master Copy. Keep in office for 1 year, then transfer to the FRC. Destroy when 20 years old.

b. Information Copies. Destroy or transfer to the National Technical Information Service after 1 year or sooner if not needed for reference.

9. Toxic Substances Reference Files. A collection of source materials on various chemical substances having toxic properties. Information used for general reference and as basis for program decisions in development of regulations, testing methods, research priorities, etc. Records consist of journal articles or technical reports showing physical/chemical data, application and use of the chemicals, health impacts, ecological impacts, methods of sampling and analysis, control techniques, and other information.

Retention: Retain 15 years.

Disposition: Review in office every 5 years, keeping records of continuing value and destroying other materials. Transfer to the FRC, hold 10 years, then destroy when 15 years old.

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED NO

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ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE
10.	<p><u>Laboratory Test Methods File.</u> A collection of source materials on various analytical methods used in testing chemical substances for toxicity. Records used in determining the most appropriate and scientifically reliable method of premarket testing of toxic substances. Records consist of journal articles, technical reports, studies of other agencies and research groups, etc.</p> <p><u>In-House Special Studies Files.</u> Contains documents related to conducting in-house special studies on toxic substances. Studies cover topics such as environmental levels of toxic substances such as PCB, disease correlation studies, etc.</p> <p>a. <u>Final Reports.</u> Includes printed or manuscript copy, evaluation, and comments, if any.</p> <p>b. <u>Working Papers.</u> Includes records used in gathering data for study and administrative records such as trip reports and other expense records.</p>
12.	<p><u>Legislation File.</u> Includes records related to environmental and toxic substances legislative proposals used for review and comment. Included are Federal Water Pollution Control Act (Sections 307a, 311, and 403), Safe Drinking Water Act, and other legislation. Records consist of proposed statutory language, strategy papers, proposed list of substances to be controlled, comments, and other related papers.</p>
13.	<p><u>Standards, Regulations, and Guidelines Files.</u> Includes documents relating to the development of rules and regulations providing for the control of toxic substances. Records consist of transcripts and unpublished technical background documents, work group agendas, meeting notes, minutes, technical reports, internal papers, Agency and published comments, and other related records.</p>

RETENTION PERIOD AND DISPOSITION
<p><u>Retention:</u> Retain 15 years.</p> <p><u>Disposition:</u> Review in office every 5 years, keeping records of continuing value and destroying other materials. Transfer to the FRC, hold 10 years, then destroy when 15 years old.</p>
<p><u>Retention:</u> Retain 20 years.</p> <p><u>Disposition:</u> Break file upon completion of study. Keep in office 2 years, then transfer to the FRC. Keep in the FRC for 18 years, then destroy.</p>
<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file upon completion of study. Keep in office 1 year, then transfer to the FRC. Destroy when 5 years old.</p>
<p><u>Retention:</u> Retain 6 years.</p> <p><u>Disposition:</u> Break file every congressional session. Keep in office for 6 years, then destroy.</p>

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED NO

TITLE OF SCHEDULE

COVERAGE OF SCHEDULE

OFFICE OF TOXIC SUBSTANCES RECORDS

APPLICABLE HEADQUARTERS OFFICE

ITEM NO

NAME AND DESCRIPTION OF RECORD/FILE

RETENTION PERIOD AND DISPOSITION

a. TSCA Records Containing Confidential Business Information (CBI).

Retention:

a. Paper Records. Retain 1 year after conversion to microform has been completed.

b. Microform Copy. Permanent.

Disposition:

a. Paper Records. Keep in office 1 year after conversion to microform has been completed and microform is verified for completeness, then destroy.

b. Office Microform Copy. Keep working copy in office until no longer needed, then destroy.

c. Permanent Microform Copy. Offer to NARA when 20 years old a silver halide microform plus one silver diazo, or vesicular duplicate. Transfer certified microfilm in cubic foot blocks to FRC for storage pending offer to NARA.

b. Public Files of TSCA Records.

Retention:

a. Paper Records. Retain 1 year after conversion to microform has been completed.

b. Microform Copy. Permanent.

Disposition:

a. Paper Records. Keep in office 1 year after conversion to microform has been completed and microform is verified for completeness, then destroy.

b. Office Microform Copy. Keep working copy in office until no longer needed, then destroy.

c. Permanent Microform Copy. Offer to NARA when 20 years old a silver halide microform plus one silver, diazo or vesicular duplicate. Transfer certified microfilm in cubic foot blocks to FRC for storage pending offer to NARA.

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED NO

TITLE OF SCHEDULE

OFFICE OF TOXIC SUBSTANCES RECORDS

COVERAGE OF SCHEDULE

APPLICABLE HEADQUARTERS OFFICE

ITEM NO

NAME AND DESCRIPTION OF RECORD/FILE

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c. Other Microform Copies.

Retention: See Disposition below.

Disposition: Destroy when no longer needed.

14. Environmental Impact Statement Review and Comment File. Includes staff comments on environmental impact statements review by toxic substances program staff.

Retention: Retain 5 years.

Disposition: Break file upon completion of review. Keep in office for 5 years, then destroy.

15. TSCA Chemical Inventory File. Contains documentation relating to the inventory of chemicals pursuant to Section 5 of the Toxic Substances Control Act. Records consist of TSCA Chemical Substance Inventory Report (EPA Forms 7710-3B & 7710-3C), correspondence between EPA and the submitter, corrected data and replacement of data submitted, and other related records.

a. TSCA Records Containing Confidential Business Information (CBI).

Retention:

a. Paper Records. Retain 1 year after conversion to microform has been completed.

b. Microform Copy. Permanent.

Disposition:

a. Paper Records. Keep in office 1 year after conversion to microform has been completed and microform is verified for completeness, then destroy.

b. Office Microform Copy. Keep working copy in office until no longer needed, then destroy.

c. Permanent Microform Copy. Offer to NARA when 20 years old a silver halide microform and one silver diazo or vesicular duplicate. Transfer certified microfilm in cubic foot blocks to FRC for storage pending offer to NARA.

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED NO

TITLE OF SCHEDULE

OFFICE OF TOXIC SUBSTANCES RECORDS

COVERAGE OF SCHEDULE

APPLICABLE HEADQUARTERS OFFICE

ITEM NO

NAME AND DESCRIPTION OF RECORD/FILE

RETENTION PERIOD AND DISPOSITION

b. TSCA Records Not Containing Confidential Business Information (CBI).

Retention:

a. Paper Records. Retain 1 year after conversion to microform has been completed.

b. Microform Copy. Permanent.

Disposition:

a. Paper Records. Keep in office for 1 year after conversion to microform has been completed and microform is verified for completeness, then destroy.

b. Office Microform Copy. Keep working copy in office until no longer needed, then destroy.

c. Permanent Microform Copy. Offer to NARA when 20 years old a silver halide microform and one silver diazo or vesicular duplicate. Transfer certified microfilm in cubic foot blocks to FRC for storage pending offer to NARA.

Retention: See Disposition below.

Disposition: Destroy when no longer needed.

c. Other Microform Copies.

16. Premanufacturing Notice Files. Contains documentation used in the review/approval of new chemicals to be manufactured and distributed for commercial purposes in the United States pursuant to Section 5 of the Toxic Substances Control Act. Includes documents which describe chemical identity, uses, and exposure data; test data and descriptions of other data related to the effects on health and the environment of the manufacture, processing, distribution in commerce, use and disposal of the new chemical. Also, includes scientific review and evaluation of the new chemical, approval for the chemical to be manufactured, or the decision to ban the production and use of the chemical, and a copy of the F.R. notice which provides information to the public on the chemical.

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY--RECORDS CONTROL SCHEDULES

SCHED NO

TITLE OF SCHEDULE

OFFICE OF TOXIC SUBSTANCES RECORDS

COVERAGE OF SCHEDULE

APPLICABLE HEADQUARTERS OFFICE

ITEM NO

NAME AND DESCRIPTION OF RECORD/FILE

RETENTION PERIOD AND DISPOSITION

a. TSCA Records Containing Confidential Business Information (CBI).

Retention:

a. Paper Records. Retain 6 months after conversion to microform has been completed.

b. Microform Copy. Permanent.

Disposition:

a. Paper Records. Keep in office 6 months after conversion to microform has been completed and microform is verified for completeness, then destroy.

b. Office Microform Copy. Keep working copy in office until no longer needed, then destroy.

c. Permanent Microform Copy. Offer to NARA when 20 years old a silver halide microform plus one silver diazo or vesicular duplicate. Transfer verified microfilm in cubic foot blocks to FRC for storage pending offer to NARA.

b. Public Files of TSCA Records.

Retention:

a. Paper Records. Retain 6 years after conversion to microform has been completed.

b. Microform Copy. Permanent.

Disposition:

a. Paper Records. Keep in office 6 months after conversion to microform has been completed and microform is verified for completeness, then destroy.

b. Office Microform Copy. Keep working copy in office until no longer needed, then destroy.

c. Permanent Microform Copy. Offer to NARA when 20 years old a silver halide microform plus one silver diazo or vesicular duplicate. Transfer verified microfilm in cubic foot blocks to FRC for storage pending offer to NARA.

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TITLE OF SCHEDULE		COVERAGE OF SCHEDULE
OFFICE OF TOXIC SUBSTANCES RECORDS		APPLICABLE HEADQUARTERS OFFICE
ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
	<p>c. <u>Other Microform Copies</u></p>	<p><u>Retention:</u> See Disposition below.</p> <p><u>Disposition:</u> Destroy when no longer needed</p>
17.	<p><u>Section 8 Files.</u> Contains CBI documents pertaining to a variety of chemicals for which reporting and record retention requirements were established pursuant to Section 8(a) and (d) of the Toxic Substances Control Act. The information for these documents is as follows:</p> <p>a. <u>Section 8(a) Files.</u> Data provided by chemical manufacturers on the Preliminary Assessment Information form and microfiched by EPA. Data includes identification of the chemical, the manufacturing plant site, the plant site activities, the manufacturer's products, and the customers' users and products, market names, and process categories.</p> <p>b. <u>Section 8(d) Files.</u> Health and safety studies submitted by chemical manufacturers, including physical and chemical tests and laboratory animals studies (toxicity, carcinogenicity, skin sensitization, inhalation, and mutagenicity).</p>	<p><u>Retention:</u></p> <p>a. <u>Paper Records.</u> Retain 6 months after conversion to microform has been completed.</p> <p>b. <u>Microform Copy.</u> Permanent.</p> <p><u>Disposition:</u></p> <p>a. <u>Paper Records.</u> Keep in office 6 months after conversion to microform has been completed and microform is verified for completeness, then destroy.</p> <p>b. <u>Office Microform Copy.</u> Keep working copy in office until no longer needed, then destroy.</p> <p>c. <u>Permanent Microform Copy.</u> Offer to NARA when 20 years old a silver halide microform plus one silver diazo or vesicular duplicate. Transfer verified microfilm in cubic foot blocks to FRC for storage pending offer to NARA.</p> <p><u>Retention:</u></p> <p>a. <u>Paper Records.</u> Retain 6 months after conversion to microform has been completed.</p> <p>b. <u>Microform Copy.</u> Permanent.</p>

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED NO

TITLE OF SCHEDULE

OFFICE OF TOXIC SUBSTANCES RECORDS

COVERAGE OF SCHEDULE

APPLICABLE HEADQUARTERS OFFICE

ITEM NO

NAME AND DESCRIPTION OF RECORD/FILE

RETENTION PERIOD AND DISPOSITION

c. Asbestos Files. Data provided by asbestos manufacturers, processors and importers on asbestos production, importation, exportation, processing, worker exposure waste and disposal and pollution control. The data were reported on EPA form 7710-36 Reporting Chemical and Industrial Users of Asbestos and EPA form 7710-37 Reporting Secondary Processing and Importation of Asbestos Mixtures.

Disposition:

- a. Paper Records. Keep in office 6 months after conversion to microform has been completed and microform is verified for completeness, then destroy.
- b. Office Microform Copy. Keep working copy in office until no longer needed, then destroy.
- c. Permanent Microform Copy. Offer to NARA when 20 years old a silver halide microform plus one silver diazo or vesicular duplicate. Transfer verified microfilm in cubic foot blocks to FRC for storage pending offer to NARA.

Retention:

- a. Paper Records. Retain 6 months after conversion to microform has been completed.
- b. Microform Copy. Permanent.

Disposition:

- a. Paper Records. Keep in office 6 months after conversion to microform has been completed and microform is verified for completeness, then destroy.
- b. Office Microform Copy. Keep working copy in office until no longer needed, then destroy.
- c. Permanent Microform Copy. Offer to NARA when 20 years old a silver halide microform plus one silver diazo or vesicular duplicate. Transfer verified microfilm in cubic foot blocks to FRC for storage pending offer to NARA.

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED. NO

TITLE OF SCHEDULE
OFFICE OF TOXIC SUBSTANCES RECORDS

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APPLICABLE HEADQUARTERS OFFICE

ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
18.	<p><u>SARA, Title III, Section 313, Toxic Chemical Release Inventory File.</u></p> <p>a. Trade Secret Claims.</p> <p>b. All other submissions and related documents pursuant to Title III, Section 313 of the Superfund Amendments and Reauthorization Act of 1986 (SARA). Records consist of EPA Form R, Toxic Chemical Release Inventory Reporting Form (9350-1) and related correspondence such as notices of noncompliance and responses to notices of noncompliance and voluntary corrections and changes to data submitted on EPA Form R. Also Section 322(d) petitions, petition to request access to trade secret information.</p>	<p><u>Retention:</u> Permanent</p> <p><u>Disposition:</u> Break file every 5 years and transfer to FRC. Transfer to NARA when most recent record is 15 years old. If any claims are submitted in electronic form, produce a paper copy to serve as the record copy and scratch the electronic record when no longer needed.</p> <p><u>Retention:</u> Retain files for 15 years.</p> <p><u>Disposition:</u> Break file after all information has been entered into Toxic Release Inventory System database. Keep in office (Reporting Center) until 50 cu. ft. of records have accumulated, then transfer to FRC. Destroy when most recent record is 15 years old.</p>
19.	<p><u>Toxic Release Inventory System.</u> Contains all relevant information, except signature, provided on EPA Form R. Also contains data from EPA Form 9350-1, Toxic Chemical Release Inventory Reporting Form.</p>	<p><u>Retention:</u> Permanent</p> <p><u>Disposition:</u> Transfer cumulative tape to the National Archives annually. Also provide:</p> <ul style="list-style-type: none"> ◦ System documentation ◦ Software ◦ Description of system operations hardware ◦ Other appropriate information describing any unusual characteristics of the system

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U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

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OFFICE OF TOXIC SUBSTANCES RECORDS

HEADQUARTERS

ITEM NO

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RETENTION PERIOD AND DISPOSITION

20. Asbestos School Hazards Abatement Program. This program was created pursuant to the Asbestos School Hazard Abatement Act of 1984 ("ASHAA") to assist states and local educational agencies to ascertain the extent of the danger to the health of school students from asbestos materials in schools. Records consist of:

a. Application Review Files which contain solicit application from school, award decisions, applications, project report, pre-award inspection, photographs, state comments.

b. Award Files which contain Attachment A, listing of award-project description, special condition release, partial funds release, close-out inspection report, final funds release and correspondence.

PAPER RECORD SYSTEM

Retention: Retain 6 years, 3 months old.

Disposition: Break file after completion of project. Keep in office for 1 year then transfer to the FRC. Destroy when 6 years ~~old~~ 3 months old.

MICROGRAPHIC RECORD SYSTEM

Retention:

a. Paper Records. Retain until conversion to microform has been completed.

b. Microform Copy. Retain 6 years, 3 months

Disposition:

a. Paper Records. Keep in office until conversion to microform has been completed and microform is verified for completeness, then destroy.

b. Microform^{Record} Copy. Break file after completion of project. Keep in office for 1 year then transfer to the FRC. Destroy when 6 years, ~~old~~ 3 months old

c. Microform Reference Copies
Other Microform Copies. Destroy when no longer needed or after 6 years, 3 months, whichever is sooner. Transfer to FRC not authorized.

EPA phone concurrence 2/8/91. to changes.
of Barbara McKey CFS.

RECORDS MANAGEMENT MANUAL