

RG 412

# REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS

(See Instructions on Reverse)

LEAVE BLANK	
DATE RECEIVED 12/14/73	JOB NO. NC 174-118
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "with-drawn" in column 10.	
Date 1-23-74 <i>James E. O'Neill</i> Archivist of the United States	

TO: GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408

1. FROM (AGENCY OR ESTABLISHMENT)  
U.S. Environmental Protection Agency

2. MAJOR SUBDIVISION  
Office of Planning and Management

3. MINOR SUBDIVISION  
Office of Administration

4. NAME OF PERSON WITH WHOM TO CONFER  
Mr. Harold R. Masters

5. TEL. EXT.  
755-0840

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 13 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

12/11/73  
(Date)

*Harold R. Masters*  
(Signature of Agency Representative)

Chief, Administrative Management Br.  
(Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>Descriptions and retentions for the following Divisions of the Office of Administration are attached:</p> <ul style="list-style-type: none"> <li>1) Management and Organization Division</li> <li>2) Contracts Management Division</li> <li>3) Grants Administration Division</li> </ul>		

30 items

# I ORGANIZATION AND MANAGEMENT - ADMINISTRATIVE MANAGEMENT

The records described below relate to the formal organization and management and general administrative management functions. These records document the various overall efforts toward the direction and supervision of the activities and functions which control the operations of the Agency.

Name and Description of Record/File	Retention Period and Disposition
<p>1. Management Study Records. These files consist of staff studies; analyses of administrative policies and procedures; manpower surveys; organization and methods surveys and studies; activity, progress, management improvement, and other reports; and special project studies and surveys and the resulting reports.</p>	<p><u>Retention:</u> Permanent. <b>DISPOSAL NOT APPROVED</b></p> <p><u>Disposition:</u> Break file one year after completion of study/report. Keep in office for 4 years, then transfer to the Federal Records Center. Keep in FRC for 15 years, then offer to National Archives.</p>
<p>2. Organizational Plan. Correspondence relating to the establishment and reorganization of the Agency; includes mission, functions, and changes in organizational directives; functional statements; delegations of authority, including Headquarters, Regional and field offices.</p>	<p><u>Retention:</u> Permanent. <b>DISPOSAL NOT APPROVED</b></p> <p><u>Disposition:</u> Break file when superseded or canceled. Keep in office for 4 years, then transfer to the Federal Records Center. Keep in FRC for 15 years, then offer to National Archives.</p>
<p>3. Project control files showing assignments, progress, and completion of projects.</p>	<p><u>Retention:</u> Destroy 1 year after year in which project is closed.</p> <p><u>Disposition:</u> See Retention above.</p>
<p>4. EPA Directives.</p> <p>a. Official record copy of each EPA internal directive which is retained as basic documentation of Agency policy, programs, and procedures. Case file of the directive will contain approved directive, copies of appropriate coordination, drafts, and other appropriate material relating to the directive.</p>	<p><u>Retention:</u> Permanent. <b>DISPOSAL NOT APPROVED</b></p> <p><u>Disposition:</u> Break file when superseded or canceled. Keep in Agency for 4 years, then transfer to the Federal Records Center. Keep in FRC for 15 years, then offer to National Archives.</p>

Name and Description of Record/File	Retention Period and Disposition
<p>b. Other copies.</p>	<p><u>Retention:</u> Destroy when no longer needed.</p>
<p>5. EPA Forms. Each EPA form case file will contain data showing the inception and scope of the form, the program or administrative purposes served by the form, and the related procedures instituted, revised, superseded, or canceled.</p>	<p><u>Disposition:</u> See Retention above.</p>
<p>5. EPA Forms. Each EPA form case file will contain data showing the inception and scope of the form, the program or administrative purposes served by the form, and the related procedures instituted, revised, superseded, or canceled.</p>	<p><u>Retention:</u> Permanent. <b>DISPOSAL NOT APPROVED</b></p> <p><u>Disposition:</u> Break file when superseded or canceled. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 15 years, then offer to National Archives.</p>
<p>6. Records disposition files. These files contain documents of descriptive inventories, disposal authorizations, schedules for the retirement of records, approved microfilming procedures and instructions and request for microfilming, and correspondence relating to revisions.</p>	<p><u>Retention:</u> Permanent. <b>DISPOSAL NOT APPROVED</b></p>
<p>6. Records disposition files. These files contain documents of descriptive inventories, disposal authorizations, schedules for the retirement of records, approved microfilming procedures and instructions and request for microfilming, and correspondence relating to revisions.</p>	<p><u>Disposition:</u> Break file when superseded, canceled, or no longer needed. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 15 years, then offer to National Archives.</p>
<p>7. Statistical reports of records holdings.</p>	<p><u>Retention:</u> Destroy after 3 years.</p>
<p>7. Statistical reports of records holdings.</p>	<p><u>Disposition:</u> See Retention above.</p>

## ~~II~~ COMMITTEE RECORDS

These files include administrative approval, a charter, a listing of members and all changes thereto, waivers in committee rules, copies of agenda and notice of meetings, minutes of meetings, studies, reports, and other related data required. All official records except inventory records on interagency and intraagency committees, charters, and rosters are maintained by the Executive Secretary of the Committee.

Name and Description of Record/File	Retention Period and Disposition
<p>1. Committee records. Records are maintained for the following types of committees: Advisory, Interagency, Intraagency, and International. Each casefile will contain as appropriate the following documents.</p> <ul style="list-style-type: none"><li>a. Inventory records on interagency and intraagency committees.</li><li>b. Charters.</li><li>c. Rosters.</li><li>d. Other documents made available to or prepared for or by each advisory committee.</li><li>e. Notice of meeting.</li><li>f. Agenda.</li><li>g. Background papers prepared by consultants.</li><li>h. Financial records.</li><li>i. Working papers, drafts, and studies.</li><li>j. Membership appointments.</li><li>k. Determinations re closed meetings.</li><li>l. Federal Register Notices of Meetings.</li></ul>	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file when superseded or canceled. Keep in office 1 additional year, then transfer to the Federal Records Center. Keep in FRC for 4 years, then destroy.</p>

Name and Description of Record/File	Retention Period and Disposition
<p>2. Reports. This will include summary reports and minutes of meetings and committee reports received, issued or approved by advisory committees.</p>	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file when committee is superseded or canceled. Keep in office 1 additional year, then transfer to the Federal Records Center. Keep in FRC for 4 years, then destroy.</p>
<p>3. Transcripts. Records of official transcripts of committee meetings.</p>	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file when committee is superseded or canceled. Keep in office 1 additional year, then transfer to the Federal Records Center. Keep in FRC for 4 years, then destroy.</p>
<p>4. Informal meetings. These files contain documents relating to the scheduling, participation, and other matters necessary to the completion of the meeting.</p>	<p><u>Retention:</u> Break file upon completion of meeting. Keep in office 1 year, then destroy.</p> <p><u>Disposition:</u> See Retention above.</p>

### ~~III~~ EMERGENCY PREPAREDNESS

Emergency preparedness records include the plans for the continued operation of EPA in a national emergency or disaster, administrative records pertaining to operation of the program, working papers accumulated from tests, and reports of operation tests.

Name and Description of Record/File	Retention Period and Disposition
<p><i>Am</i> 1-7-74</p> <p>1. Emergency Preparedness Program. These files contain plans for the continued operation of EPA in wartime or national disaster, includes correspondence, reports and instructions, charts and plans used in defense mobilization planning, evacuation shelters, emergency relocation and the vital records protection program.</p>	<p><u>Retention:</u> Retain <del>14</del><sup>6</sup> years.</p> <p><u>Disposition:</u> Break file when plans have been superseded or canceled. Keep in office 1 additional year after complying with criteria of Office of Preparedness in GSA for any material having a security classification. When the criteria has been complied with, then transfer to the Federal Records Center. Keep in FRC for <del>13</del><sup>5</sup> years, then destroy.</p>
<p>2. Plans and directives. Case file contains copies of records accumulated for preparation and issuance of plans and directives consisting of a record copy of each plan or directive issued with related background papers.</p>	<p><u>Retention:</u> Permanent. <b>DISPOSAL NOT APPROVED</b></p> <p><u>Disposition:</u> Break file when plans have been superseded or canceled. Keep in office 1 additional year after complying with criteria of Office of Preparedness in GSA for any material having a security classification. When the criteria has been complied with, then transfer to the Federal Records Center. Keep in FRC for 15 years, then offer to National Archives.</p>

Name and Description of Record/File	Retention Period and Disposition
<p>3. Correspondence files of administration and operation of the emergency preparedness planning program.</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. Material must be destroyed in accordance with security regulations.</p>
<p>4. Reports of operations tests consisting of documents which reflect consolidated or comprehensive reports reflecting Agency-wide results of tests conducted under emergency plans.</p>	<p><u>Retention:</u> Break file when superseded or canceled. Keep in office 1 additional year, then transfer to the Federal Records Center. Keep in FRC for 15 years, then offer to National Archives.</p> <p><u>Disposition:</u> See Retention above.</p>
<p>5. Operations test files contain working papers accumulated from tests conducted under emergency plans, such as instructions to members participating in tests, staffing assignments, messages, tests of communications and facilities, and retained copies of reports.</p>	<p><u>Retention:</u> Destroy when no longer needed.</p> <p><u>Disposition:</u> Break file when superseded or canceled. Keep in office for 3 years, then destroy after complying with criteria of Office of Preparedness in GSA for any material having a security classification.</p>

**DISPOSAL NOT APPROVED**

# IV GRANT RECORD

These records relate to grants and fellowships awarded to universities, colleges, State and interstate agencies and other public and private institutions; to expand the base of training and education in the causes control and prevention of environmental pollution; to support and promote the coordination of Research, Development, and Demonstration projects; and to help meet the cost of expanding and improving State environmental control programs.

NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
<p>1. Records relating to development, management, and evaluation of grants.</p> <p style="margin-left: 40px;">a. Policy and regulations which establish and implement operational procedures for the administration of grants.</p> <p style="margin-left: 40px;">b. General administrative correspondence pertaining to normal day-to-day activities of the Grants Administration of grants.</p> <p style="margin-left: 40px;">c. Inquiries</p> <p style="margin-left: 80px;">(1) Congressional</p> <p style="margin-left: 80px;">(2) Controlled</p>	<p style="text-align: right;"><b>DISPOSAL NOT APPROVED</b></p> <p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Keep in office for 2 years after material has been superseded or canceled and then transfer to Federal Records Center. Maintain in FRC for 10 years, then offer to the National Archives.</p> <p><u>Retention:</u> 2 years plus current year.</p> <p><u>Disposition:</u> Break file at end of 1 year. Keep in office for 2 years and then destroy.</p> <p><u>Retention:</u> 2 years plus current year.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 2 years and then destroy.</p> <p><u>Retention:</u> 2 years plus current year.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office 2 years and then destroy.</p>



NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
<p>(3) Uncontrolled</p>	<p><u>Retention:</u> 1 year plus current year.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office 1 additional and then destroy.</p>
<p>2. Administrative reports and data relating to Grants.</p> <p><i>HW</i> 6-7-74</p>	<p><u>Retention:</u> 4 years plus current year.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 1 year, and then transfer to Federal Records Center. Maintain in FRC for 3 years and then destroy.</p>
<p>3. Research and Development, Demonstration, and Training Grants and Fellowships. Official files contain proposals, reviews, offers and acceptances, awards notices, correspondence reports, etc. These records also include statements of suitability, approval forms, and payment records.</p> <p><i>HW</i> 1-7-74</p>	<p><u>Retention:</u> 4 years after termination.</p> <p><u>Disposition:</u> Break file upon termination. Keep in office one year and then transfer to Federal Records Center. Maintain in FRC for 3 years and then destroy.</p>
<p>4. State and Local Assistance Grants. These records are maintained in the regional offices. Written requests for deviation from established policy or procedure are submitted by the regional offices and retained in Headquarters. <del>All other input is transmitted by computer and stored on tape.</del></p>	

NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
<p>a. *Deviation requests.</p> <p><i>Hm</i> 1-7-74</p>	<p><u>Retention:</u> 4 years plus current year.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 1 year and then transfer to Federal Records Center. Maintain in FRC for 3 years and then destroy.</p>
<p><i>Withdrawn</i></p> <p>b. Computer data.</p> <p><i>Hm</i> 1-7-74</p>	<p><u>Retention:</u> Permanent. <span style="float: right;"><u>WITHDRAWN</u></span></p> <p><u>Disposition:</u> Keep in office for 3 years and then transfer to Federal Records Center. Maintain in FRC for 10 years and then offer to the National Archives.</p>
<p>5. Rejections of grant and fellowship applications. Official files of disapproved applications contain proposals, rejection notices, and correspondence, etc.</p> <p><i>Hm</i> 1-7-74</p>	<p><u>Retention:</u> 4 years plus current year.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office 1 year and then transfer to Federal Records Center. Maintain in FRC 3 years and then destroy.</p>

\*Inquiries occurring five years or more after date of deviation request will be referred to Regional Office.

V Procurement/Contract Records

Agency procurement records include the papers and files involved in obtaining goods and nonpersonal services, reporting procurement needs, and related supply matters which are part of daily procurement operations rather than staff or policy functions. The basic procurement files reflect a considerable range of procedure from simple small purchases to complicated prime contractor and subcontractor operations.

Name and Description of Record/File	Retention Period and Disposition
<p>1. Correspondence files of procurement operating units pertaining to their internal operation and administration.</p>	<p><u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then destroy.</p>
<p>2. Administrative reports and data relating to procurement operations.</p> <p>a. Reports and data used for work-load purposes.</p> <p>b. All other reports and data.</p>	<p><u>Retention:</u> Retain 6 years. <u>Disposition:</u> Break file at end of year. Keep in office for 6 years, then destroy.</p> <p><u>Retention:</u> Retain 4 years. <u>Disposition:</u> Break file at end of year. Keep in office for 1 year, then transfer to Federal Records Center. Keep in FRC for 3 years, then destroy.</p>
<p>3. Procurement files (as described in item 5) involving transactions of \$25,000 or more and documenting the initiation and development of transactions that deviate from established precedents with respect to general agency procurement or major procurement programs.</p>	<p><u>Retention:</u> <del>Retain 15 years.</del> <b>PERMANENT.</b> <u>Disposition:</u> Break file at end of year. Keep in office for 3 years, then transfer to Federal Records Center. Keep in FRC for 12 years, then offer to National Archives.</p>

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**DISPOSAL NOT APPROVED**

Name and Description of Record/File	Retention Period and Disposition
<p>4. Papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise).</p> <p><i>Withdrawn</i> <i>Hm</i> <i>1-7-74</i></p> <p>a. Papers for property acquired prior to January 1, 1921.</p> <p>b. Papers for property acquired since January 1, 1921, other than abstract or certificate of title.</p>	<p><u>Retention:</u> Permanent <b>WITHDRAWN</b></p> <p><u>Disposition:</u> See Retention above.</p> <p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file after unconditional sale or release by the Government of conditions, restrictions, mortgage or other liens. Keep in office for 2 years, transfer to Federal Records Center. Keep in FRC 9 years, then destroy.</p>
<p>5. Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection, and payment (other than those covered in items 3 and 4).</p> <p><i>Hm</i> <i>1-7-74</i></p> <p>a. Procurement or purchase organization copy, and related papers.</p> <p>(1) Transactions of \$2,500 or less.</p>	<p><u>Retention:</u> Retain <del>4</del> years after final payment.</p> <p><u>Disposition:</u> Break file at the end of fiscal year. Keep in office for 1 year, then transfer to Federal Records Center. Keep in FRC for <del>3</del> years after final payment, then destroy.</p>

Name and Description of Record/File	Retention Period and Disposition
<p>(2) Transactions over \$2,500.</p>	<p><u>Retention:</u> Retain 6 years after final payment.</p> <p><u>Disposition:</u> Break file at the end of fiscal year. Keep in office for 1 year, then transfer to Federal Records Center. Keep in FRC for 5 years after final payment, then destroy.</p>
<p>b. Obligation copy.</p>	<p><u>Retention:</u> Destroy after funds have been obligated.</p> <p><u>Disposition:</u> See Retention above.</p>
<p>c. Other copies.</p>	<p><u>Retention:</u> Retain 1 year after completion of transaction.</p> <p><u>Disposition:</u> Break file at the end of fiscal year. Keep in office 1 year after completion of transaction, then destroy.</p>
<p>6. Files of Volume and Workload reports on procurement and supply operations and procedures, other than those incorporated in case files of a general nature.</p>	
<p>a. Copies received from other units for internal purposes or for transmission to staff agencies.</p>	<p><u>Retention:</u> Retain 1 year.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office 1 year, then destroy.</p>
<p>b. Copies in other reporting units and related work papers.</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>

Name and Description of Record/File	Retention Period and Disposition
7. Bid Files.	
a. Successful bids.	<p><u>Retention:</u> Dispose of in accordance with item 5 above.</p> <p><u>Disposition:</u> See Retention above.</p>
b. Unsuccessful bids.	<p><u>Retention:</u> Dispose of in accordance with item 5 above.</p> <p><u>Disposition:</u> See Retention above.</p>
c. Lists or cards of acceptable bidders.	<p><u>Retention:</u> Dispose when new list or card is made.</p>
8. Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services, exclusive of records subject to GAO audit.	<p><u>Retention:</u> Retain 1 year.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office 1 additional year, then destroy.</p>
9. Requisitions for supplies and equipment from current inventory.	
a. Stockroom copies.	<p><u>Retention:</u> Retain 1 year after completion or cancellation of requisition.</p> <p><u>Disposition:</u> Break file upon completion or cancellation of requisition. Keep in office 1 year, then destroy.</p>
b. All other copies.	<p><u>Retention:</u> Destroy after 6 months.</p> <p><u>Disposition:</u> See Retention above.</p>