

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC-412-76-003

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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.

All other items 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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item 1a was superseded by N1-412-94-002 items 3 and 16, N1-412-94-006 item 2, N1-412-06-006 schedule 006, and N1-412-07-002 item 2

Item 1b was superseded by N1-412-94-002 item 22

Item 4 was superseded by N1-412-94-002 item 37 and N1-412-06-027

Item 5a was superseded by N1-412-94-002 item 37 and N1-412-06-027

Item 5b was superseded by N1-412-94-002 item 2 and N1-412-07-001 005

Item 6 was superseded by N1-412-94-002 item 23 and N1-412-07-002 item 6

**REQUEST FOR AUTHORITY
TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

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DATE RECEIVED

JUL 21 1975

JOB NO.

NC-412-76-3

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.

4-19-77 *James B. Rhoads*
Date Archivist of the United States

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

1. FROM (AGENCY OR ESTABLISHMENT)
Environmental Protection Agency

2. MAJOR SUBDIVISION
Office of Air and Waste Management

3. MINOR SUBDIVISION
Office of Air Quality Planning and Standards

4. NAME OF PERSON WITH WHOM TO CONFER
David O. Stephens

5. TEL. EXT.
755-0830

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.

7-17-75
(Date)

Harold R. Masters
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
1 - 10	Descriptions and retention schedules for records of the Office of Air Quality Planning and Standards		

16 items

*Sent to agency, all FRC's and NAB, 70
NCW - 412-76-3*

MANUAL
RECORDS MANAGEMENT

AIR QUALITY PLANNING AND STANDARDS RECORDS

The records described below pertain to the functions of developing maximum permissible levels for air pollutants; formulating air quality standards and regulations; reviewing state implementation plans and programs; rendering assistance to the EPA Regional Offices in matters of air quality regulation to meet national standards; technical training; and other program functions.

Item	Name and Description of Record/File	Retention Period and Disposition
1.	<p><u>Program Management Files.</u> Correspondence, reports, forms, and other records pertaining to the planning, administration, and management of EPA program activities. These files also include program planning documentation which establishes or outlines short-, mid-, and long-range program objectives for Air Quality Planning and Standards units such as annual plans, five year plans, mid-year review, project milestones and schedules, Environmental Research Objectives Statements, Research Objective Achievement Plans, and similar planning documents.</p>	<p><u>Disposition:</u> 1a1 - Permanent. <u>Disposition:</u> Break file at close of fiscal year. Keep in office for 2 years, then transfer to FRC. Keep in FRC for 8 years, then off to NARS.</p>
OK	<p><u>2a. Program Planning Files</u> generated and maintained by Administration Directors; Deputy Directors, and Staff Directors. These files document program planning, administration, and management functions. 1. Deputy Administrative Admin. Files 2. Other files</p>	<p><u>Retention:</u> Retain 10 years. (1a2) <u>Disposition:</u> Break file at close of fiscal year. Keep in office for 2 years, then transfer to Federal Records Center. Keep in FRC for 8 years, then destroy.</p>

APPENDIX B

RECORDS CONTROL SCHEDULES

MANUAL
RECORDS MANAGEMENT

Item	Name and Description of Record/File	Retention Period and Disposition
4.	<p><u>Air Quality Contractor/Grant Project Files.</u> These files relate to projects conducted by contractors/grantees for the investigation, study, review, testing, analysis, evaluation, description, recommendation, and publication of new or improved approaches, techniques, devices, equipment, methods, procedures, systems, strategies, and controls or which lead to the presentation of new information, ideas, insights, concepts, or theories concerning various air pollution topics. Maintained by project offices or officers.</p> <p>a. <u>Project Case File.</u> Case papers reflect a complete history of each project from initiation through research, planning, design, and testing to completion. Included is a copy of each contract, grant, or interagency agreement associated with the project including related modifications, amendments, changes, or addendums; project planning papers; project authorization documents; project specifications and drawings; project test and evaluation documents; project meetings papers; technical progress or test reports. including a final report; and related comments and correspondence.</p> <p style="margin-left: 40px;">1. Final report - 10 2. Other reports - 5</p>	<p>Keep in FRC for 20 years, then offer to the National Archives.</p> <p><i>Retention 40 years</i> <i>Permanent</i> <i>Disposition: maintain in office 5 years then offer to transfer to FRC. Keep in FRC for 8 years, then offer to NARS.</i></p> <p><i>Retention: Permanent</i></p> <p><i>Disposition: Cutoff long term projects at close of fiscal year, and short term projects at close of fiscal year in which projects are completed. Keep in office 2 years, then transfer to Federal Records Center. Keep in FRC for 6 years, then offer to the National Archives.</i></p>

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RECORDS MANAGEMENT

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	<p>b. <u>Project Workpapers.</u> Includes completed questionnaires and letter responses; listings and tabulations; copies of documents contained in project case files; preliminary or intermediate source data used for analysis and reference; correspondence concerning such administrative matters as travel, transportation, and transmittal of documents; and other workpapers used in the course of the study which are not appropriate for permanent retention because they have neither evidential nor informational long-term value.</p>	<p><u>Retention:</u> Retain 3 years. <u>Disposition:</u> Cutoff long term projects at close of fiscal year and cutoff short term projects at close of fiscal year in which project is completed. Keep in office 3 years, then destroy.</p>
5.	<p><u>Air Quality In-House Project Files.</u> Documents created in originating, planning, conducting, and reporting findings of studies, surveys, and tests regarding research projects on air pollution topics.</p> <p>a. <u>Study or Survey Case File.</u> Includes documentation of formulation and approval of the study plan, methods used, and any evaluation statements; may include documents proposing or describing the study plan and its purpose; test methodology, calculations, plant visits, trip reports, samples of approved forms/questionnaires used in data collection; copies of interim and final reports; documentation of clearance and approval, release of report, and related comments and correspondence.</p>	<p><u>Retention:</u> Permanent. <u>Disposition:</u> Cutoff long term project at close of fiscal year, and short term projects at close of fiscal year in which project is completed. Keep in office 2 years, then transfer to Federal Records Center. Keep in FRC for 6 years, then offer to the National Archives.</p>

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	<p>b. <u>Workpapers and Completed Questionnaires.</u> Includes completed questionnaires and letter responses, listing and tabulations, documents accumulated in analyzing data, drafts, and modifications to final report and other workpapers used in the course of the study.</p>	<p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Cutoff long term projects at close of fiscal year, and short term projects at close of fiscal year when project is completed. Destroy 3 years after publication or release of related study or survey.</p>
6.	<p><u>Regulations, Standards, and Guidelines.</u></p> <p>a. <u>Essential Documents.</u> Consist of technical and economic background documents; hearing transcripts; and publications of standards and regulations.</p> <p>b. Other documents contained in the file. Included are work group organizational requests; agendas and minutes of meetings; technical assistance contracts and reports; internal papers and memorandums; agency and published comments; and similar records.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file upon publication of final rule in the Federal Register. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the National Archives.</p> <p><u>Retention:</u> 10 years.</p> <p><u>Disposition:</u> Break file upon publication as final rule in the Federal Register. Keep in office for 3 years, then transfer to the FRC. Keep in FRC for 7 years, then destroy.</p>
7.	<p><u>Technical Assistance Case Files.</u> Documents relating to requests for technical assistance. Papers maintained document the receipt, processing, and subsequent actions on technical assistance request forms and correspondence, activity reports, and other records reflecting the problems and accomplish-</p>	<p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Break file at close of fiscal year in which action is completed. Keep in office 3 years, then destroy.</p>

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RECORDS CONTROL SCHEDULES

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8.	<p><u>Training Course Materials.</u> These files consist of documents accumulated in planning, preparing, writing, arranging, conducting and following up on Air Pollution Training Institute technical training.</p> <p>a. <u>Training Course Plans.</u> Includes the course script, course outline, course description, course content, lesson plans, and course agenda.</p> <p>b. <u>Training Course Notebooks.</u> Includes nominations for training, tuition waiver requests, applications for enrollment, letters of acceptance, list of class enrollees, student evaluation of course, final tests, and letters to speakers and discussion leaders.</p>	<p><u>Retention:</u> Retain 8 years. <i>why 8</i></p> <p><u>Disposition:</u> Break file at close of fiscal year in which course is last offered. Keep in office 2 years, then transfer to Federal Records Center. Keep in FRC for 6 years, then destroy.</p> <p><u>Retention:</u> Retain 8 years. <i>why 3</i></p> <p><u>Disposition:</u> Break file at close of fiscal year. Keep in office 2 years, then transfer to Federal Records Center. Keep in FRC for 6 years, then destroy.</p>
9.	<p><u>Trainee Registration Record File.</u> Card file arranged by course number, date, and student which serves as a record of those who received APTI training. Record is maintained on Trainee Registration card (NAPCA 94) at the Air Pollution Training Institute.</p>	<p><u>Retention:</u> Retain 10 years. <i>why 10</i></p> <p><u>Disposition:</u> Break file at close of fiscal year. Keep in office 4 years, then transfer to Federal Records Center. Keep in FRC for 6 years, then destroy.</p>

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10.	<u>Congressional Correspondence Files.</u> Correspondence, memoranda, reports, and other papers accumulated in the course of preparing replies to Congressional inquiries.	<u>Retention:</u> Retain 6 years. <u>Disposition:</u> Break file at close of fiscal year. Keep in office 2 years, then transfer to Federal Records Center. Keep in FRC for 4 years, then destroy.