

**REQUEST FOR AUTHORITY
TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

**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 Planning and Management
3. MINOR SUBDIVISION
Office of Planning and Evaluation

4. NAME OF PERSON WITH WHOM TO CONFER

David O. Stephens

5. TEL. EXT.

755-0830

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

LEAVE BLANK	
DATE RECEIVED JUL 31 1975	JOB NO. NC-412-76-4
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.	
<u>3-9-77</u> Date	<u>James B. Rhoads</u> Archivist of the United States

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.

7/25/75 (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
1 - 17	Descriptions and retention schedules for the Office of Planning and Evaluation are attached.		

22 items

Det Wagoner and NAF 3/11/77 plw

PLANNING AND EVALUATION RECORDS

The records described below pertain to the planning and evaluation of Agencywide policies and programs in the areas of resources management, energy policy; cost/benefit analysis of the economic impact of proposed Agency actions; centralized coordination and clearance for Agency standards, regulations, and guidelines; and reporting to Congress on various Agency program matters.

Item	Name and Description of Record/File	Retention Period and Disposition
1.	<p><u>Program Management Files.</u> Contains data pertaining to the management of the organizational unit's work. Records consist of correspondence and reports relative to policy, regulations and standards, program strategy, program analysis and evaluation, litigation, interagency activities, arrangements with consultants, manpower and budget, etc.</p>	<p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file at end of 2 years. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 3 years, then destroy.</p>
2.	<p><u>Regulations, Standards, and Guidelines.</u> Contains information related to the development and implementation of rules for effecting environmental legislation. Records consist of work group organization requests, work plans, drafts of rules, interagency comments, steering committee reviews, clips from Federal Register, etc.</p>	<p><u>Retention:</u></p> <p>a. <u>Office</u> Retain Copy. <u>Retain 10 years</u></p> <p>b. <u>Work Copy.</u> Retain 1 year.</p> <p><u>Disposition:</u></p> <p>a. <u>Office</u> Retain Copy. Break file upon publication as final rule in Federal Register. Keep in office for <u>2</u> years then transfer to the</p>

Item	Name and Description of Record/File	Retention Period and Disposition
		<p>Federal Records Center. Keep in FRC for 20 8 years, then offer to the National Archives. destroy.</p> <p>b. <u>Work Copy.</u> Break file upon publication as final rule in Federal Register. Keep in office for 1 year, then destroy.</p> <p><u>Retention:</u></p> <p>a. <u>Record Copy.</u> Permanent.</p> <p>b. <u>Information Copies.</u> As determined by user's needs.</p> <p><u>Disposition:</u></p> <p>a. <u>Record Copy.</u> Break file upon publication of report. Keep in office 20 years, then offer to the National Archives.</p> <p>b. <u>Information Copies.</u> Destroy when no longer used. needed.</p>
3.	<p><u>Reports to Congress--Final Copy.</u> Reports made to Congress by EPA in accordance with the mandates of the Clean Air Act, FWPCA, and other environmental legislation.</p>	<p><u>Retention:</u></p> <p>a. <u>Record Copy.</u> Permanent.</p> <p>b. <u>Information Copies.</u> As determined by user's needs.</p> <p><u>Disposition:</u></p> <p>a. <u>Record Copy.</u> Break file upon publication of report. Keep in office 20 years, then offer to the National Archives.</p> <p>b. <u>Information Copies.</u> Destroy when no longer used. needed.</p>
4.	<p><u>Reports to Congress--Work Files.</u> Contains data pertaining to the organization, design, construction, evaluation, and revision of reports prepared for Congress by EPA. Records consist of requests to form work groups, work plans, minutes of work group meetings,</p>	<p><u>Retention:</u> Retain 6 years.</p> <p><u>Disposition:</u> Break file upon publication of report. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 5 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
5.	<p>initial and corrected drafts of parts or all of reports, distribution lists, comments on revised and final drafts.</p> <p><u>EPA Steering Committee Meeting File.</u> Contains documents pertaining to the arrangements, conduct, and results of EPA Steering Committee weekly and bi-weekly meetings. Steering committee meetings contribute to the making of EPA policy. Records consist of agendas, talking papers, development plan submissions, summary and minutes of meetings.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file at end of year. 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>
6.	<p><u>Standards and Regulations Information System (SRIS) Planning and Status Reports.</u> Computer produced reports providing the designation, problems, development status, names of key personnel and lead offices, schedule, and milestones for regulations, standards, guidelines and congressional reports.</p>	<p><u>Retention:</u> Current plus 2 prior editions.</p> <p><u>Disposition:</u> Break file upon receipt of reports. Keep in office until receipt of 3 additional editions, then destroy.</p>
7.	<p><u>Program Policy Planning File.</u> File contains the documents relating to the work and output of the Division. Division's activities are formulating policies and plans in areas which cross-cut program</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file at end of 2 years. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in</p>

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	<p>functions, and developing and analyzing key policy and legislative issues. Records consist of correspondence and reports on energy situation and impact on environmental program, comments on pending and proposed legislation, issue papers on construction grants program, copies of regulations, speeches, testimony for congressional hearings, investigation and project reports.</p>	<p>FRC for 20 years, then offer to the National Archives.</p>
<p>8.</p>	<p><u>Economic Dislocation (Early Warning) Report.</u> A quarterly report made by EPA to provide the Department of Labor with advanced warning of actual and potential job losses resulting from environmental regulations. Report provides name and location of plants, number of jobs lost, anticipated enforcement action, expenditures required to meet requirements of regulations. Provides a consolidate picture of industries unwillingness or inability to satisfy pollution control requirements.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 5 years, then transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the National Archives.</p>
<p>9.</p>	<p><u>Contracts - Project Group File.</u> Contains documents relating to the formulation, award, and changes in contracts for special studies and support services. Records consist of procurement requests, proposals, justification statements, task orders, bid evaluations, award notices,</p>	<p><u>Retention:</u> Retain 7 years.</p> <p><u>Disposition:</u> Break file upon completion of project. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 6 years, then destroy.</p>

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10.	<p>copies of invoices, reports of payment, progress reports.</p> <p><u>Contract Proposals.</u> Solicited and unsolicited proposals by consultants, universities, and commercial and industrial to make studies or surveys or provide goods or services.</p>	<p><u>Retention:</u> Receipt of proposal plus 1 year.</p> <p><u>Disposition:</u> Break file upon receipt of proposal. Keep in office for 1 year, then destroy.</p>
11.	<p><u>Final Reports Resulting from Contractor, Grantee, Inter and Intra Agency Studies, Surveys, and Services.</u> Final project and study reports submitted to EPA by contractors, grantees, inter and intra agency study groups. Covers the Economic Analysis of Effluent Guidelines for various industrial groups, economic effects of energy crisis on EPA programs, economic impact of regulations and standards on selected industrial groups, etc.</p>	<p><u>Retention:</u></p> <p>a. <u>Record Copy.</u> Permanent.</p> <p>b. <u>Information Copies.</u> As determined by user's needs.</p> <p><u>Disposition:</u></p> <p>a. <u>Record Copy.</u> Break file upon completion of project evaluation and comment period. 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>b. <u>Information Copies.</u> Destroy when no longer used.</p>
12.	<p><u>Program and Program Activity Evaluation Work Files.</u> Contains documents pertaining to the review and analysis of and report on EPA Programs and Program Group activities. Records consist of request</p>	<p><u>Retention:</u> Retain 1 year.</p> <p><u>Disposition:</u> Break file upon completion of study. Keep in office 1 year, then destroy.</p>

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13.	<p>to make study, samples of program group documents, interview and investigation notes, program group's handbooks and reports, review summary notes, draft of evaluation report.</p> <p><u>Program and Program Activity Evaluation Reports.</u> Final reports resulting from the study and analysis of EPA programs and program activities by the Program Evaluation Division.</p>	<p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file upon completion of report. Keep in office 10 years, then destroy.</p>
14.	<p><u>Annual Headquarters Operating Guidance Paper and Regional Guidance Plan.</u> An overall plan covering the objectives of the Agency, the priority and strategy for their attainment, the group assigned task responsibility, and the anticipated date of completion. Plan represents the prime product of the Management by Objective (MBO) process, and the collective strategy studies for implementing environmental legislation. Separate write-ups made for Headquarters and Regions.</p>	<p><u>Retention:</u></p> <p>a. <u>Record Copy.</u> Permanent.</p> <p>b. <u>Information Copies.</u> Retain 1 year plus current.</p> <p><u>Disposition:</u></p> <p>a. <u>Record Copy.</u> Break file upon completion of plan. Keep in office for 10 years, then transfer to the Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives.</p> <p>b. <u>Information Copies.</u> Break file at end of fiscal year. Keep in office for 1 year, then destroy.</p>

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15.	<p><u>Budget Planning and Management by Objective Work File.</u> Contains data pertaining to EPA and program activities and operations, appropriations and expenditures, and short and long range plans. File used to develop Annual Agency Guidance Plans. Records consist of basic policy statements, program descriptions, copies of existing and pending legislation, issue and strategy papers, letters and memos for Office of Manpower and Budget, testimony from congressional hearings, reports from environmental study groups, copies of prior guidance plans, etc.</p>	<p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file at end of fiscal year. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 8 years, then destroy.</p>
16.	<p><u>Issue Papers.</u> A media for presenting a legislative, policy, or procedural question relative to the conduct or administration of the Agency or its Programs. Issue Papers present the issues or questions requiring resolution and set the stage for information gathering, discussion and decision making.</p>	<p><u>Retention:</u></p> <p>a. <u>Record Copy.</u> Permanent.</p> <p>b. <u>Information Copies.</u> As determined by user's needs.</p> <p><u>Disposition:</u></p> <p>a. <u>Record Copy.</u> Break file at end of year. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the National Archives.</p>

*Withdrawn
by request of
Dariusz Stephens
2/15/77
JBW*

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17.	<p><u>Personal Reference Collections.</u> Collections of technical and related reference documents and printed material maintained by individual staff members for personal use. Records consist of articles from professional journals, information copies of technical reports, copies of authored and received memos and correspondence, photos, maps, handbooks, etc.</p>	<p>b. <u>Information Copies</u> - Destroy when no longer used.</p> <p><u>Retention:</u> None</p> <p><u>Disposition:</u> Break file upon termination or transfer of staff member. Review file and remove any records of value to the Agency. Offer file to departing staff member. If offer rejected, keep for 1 month, then destroy.</p>