

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-412-76-01

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item I-1 was superseded by N1-412-94-004 Item 3

Item I-2 was superseded by N1-412-06-006 RS: 127

Item I-2 was superseded by N1-412-06-006 RS: 127

Item I-3 was superseded by N1-412-94-002 Item 3

Item I-3 was superseded by N1-412-06-006 RS: 006

Item I-4 was superseded by N1-412-06-006 RS: 003

Item I-6 was superseded by N1-412-06-006 RS: 003

Item I-7 was superseded by N1-412-07-068 (081)

Item I-7 was superseded by N1-412-94-002 Item 13

Item I-8 was superseded by N1-412-07-068 (081)

Item I-8 was superseded by N1-412-94-002 Item 13

Item I-10 was superseded by N1-412-94-002 Item 3

Item I-10 was superseded by N1-412-06-006 RS: 006

Item I-11 was superseded by N1-412-07-002 Item 4

Item I-12 was superseded by N1-412-07-002 Item 5

Item I-14 was superseded by N1-412-07-001 137

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Item I-14 was superseded by N1-412-07-005
Item I-14 was superseded by N1-412-94-003 item 2
Item I-15 was superseded by N1-412-95-007 Item 1
Item II-2 was superseded by N1-412-06-006 RS: 003
Item II-3 was superseded by N1-412-07-002 Item 5
Item II-3 was superseded by N1-412-08-016
Item II-3 was superseded by N1-412-94-002 Item 20
Item II-4 was superseded by N1-412-06-006 RS: 003
Item II-5 was superseded by N1-412-94-004 Item 10
Item II-10 was superseded by N1-412-94-004 Item 14
Item II-11 was superseded by N1-412-07-035 item 3
Item II-12 was superseded by N1-412-95-007 Item 2
Item II-12 was superseded by N1-412-07-001 211
Item II-13 was superseded by N1-412-94-004 Item 14
Item II-18 was superseded by N1-412-94-004 Item 10
Item II-20 was superseded by N1-412-94-002 Item 2
Item II-20 was superseded by N1-412-07-001 005
Item II-21 was superseded by N1-412-94-002 Item 37
Item II-21 was superseded by N1-412-06-027
Item II-22 was superseded by N1-412-06-006 schedule 006
Item II-22 was superseded by N1-412-94-002 Item 3
Item III-4 was superseded by N1-412-94-004 Item 7
Item III-8 was superseded by N1-412-94-002 item 23
Item III-8 was superseded by N1-412-07-002 Item 6
Item III-9 was superseded by N1-412-94-004 Item 7
Item III-11 was superseded by N1-412-94-004 Item 7
Item III-12 was superseded by N1-412-94-004 Item 7
Item III-13 was superseded by N1-412-07-001 schedule 132
Item III-14 was superseded by N1-412-94-002 Item 1
Item III-14 was superseded by N1-412-06-006 schedule 003
Item III-15 was superseded by N1-412-07-001 schedule 154
Item III-16 was superseded by N1-412-07-002 Item 5

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Item III-16 was superseded by N1-412-08-016
Item III-17 was superseded by N1-412-06-006 RS: 003
Item III-19 was superseded by N1-412-06-006 RS: 003
Item III-20 was superseded by N1-412-94-002 Item 1
Item III-22 was superseded by N1-412-07-001 005
Item III-25 was superseded by N1-412-94-004 Item 7
Item IV-1 was superseded by N1-412-95-007 Item 1
Item IV-3 was superseded by N1-412-06-019
Item IV-3 was superseded by N1-412-07-002 Item 9
Item IV-6 was superseded by N1-412-07-068 (508)
Item IV-9 was superseded by N1-412-95-007 Item 2
Item IV-9 was superseded by N1-412-07-001 211
Item V-11 was superseded by N1-412-06-006 RS: 006
Item IV-11 was superseded by N1-412-94-002 Item 3
Item V-3 was superseded by N1-412-07-001 211
Item V-4 was superseded by N1-412-06-006 RS: 127
Item V-5 was superseded by N1-412-94-002 item 23
Item V-5 was superseded by N1-412-07-002 Item 6
Item V-5 was superseded by N1-412-94-002 Item 23
Item V-5 was superseded by N1-412-94-002 Item 23
Item V-6 was superseded by N1-412-95-007 Item 2
Item V-6a was superseded by N1-412-07-001 211
Item V-6b was superseded by N1-412-07-004, item 2
Item V-9 was superseded by N1-412-07-001 005
Item V-23 was superseded by N1-412-94-002 item 2

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

**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)
U.S. Environmental Protection Agency

2. MAJOR SUBDIVISION
Regional Offices

3. MINOR SUBDIVISION

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 JAN 19 1976	JOB NO. NC1-412-76-1
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.	
3-8-76 Date	<i>James P. [Signature]</i> 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 37 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

1/14/76 (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
	The attached records control schedules for Regional Records are intended to provide records disposition authority for the program records in all ten EPA regional offices. Included are series descriptions and retention and disposition provisions for the following program areas:		
1-15	Records of the Regional Administrator, Staff Offices, and Ancillary Programs		
1-22	Air and Hazardous Materials Program Records		
1-28	Water Program Records		
1-11	Enforcement Program Records		
1-12	Surveillance and Analysis Program Records		
<i>Changes agreed to and approved by David O. Stephens 2-20-76</i>			

Copy to Agency 3-12-76 CD

APPENDIX B
 RECORDS CONTROL SCHEDULES
 REGIONAL RECORDS

MANUAL
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RECORDS OF THE REGIONAL ADMINISTRATOR, STAFF OFFICES, AND
 ANCILLARY PROGRAMS

The records described below include the files of the Regional Administrator, and records related to staff and ancillary program functions not included elsewhere in this schedule nor in a records control schedule having agency-wide applicability. Included are regional program planning records, research and development grant records, environmental impact statement coordination records, federal facilities monitoring records, manpower development records, and staff functions including congressional and intergovernmental relations, public affairs, and other related records.

Item	Name and Description of Record/File	Retention Period and Disposition
1.	<p><u>Regional Administrator's Policy and Program Development File.</u> Contains information related to the development of regional environmental programs and policies. Records consist of reports on regional environmental projects, surveys, special studies, position papers, legislation, enforcement actions, and other program documents related to water, air and hazardous materials, enforcement, and surveillance and analysis programs. Records used by Regional Administrator in policy evaluation and program planning.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file at end of each year. Keep in office for 3 years, then transfer to the Federal Records Center. Keep in FRC for 10 years, then offer to the Regional Archives.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
2.	<p><u>Regional Administrator's Reading or Chron File.</u> Contains copies of all program documents that the Regional Administrator is required to sign and approve. File arranged by program division, then chronologically. Also includes copies of correspondence originated by the Regional Administrator himself.</p>	<p><u>Retention:</u> Retain 5 years. <u>Disposition:</u> Break file at end of each year. Keep in office current plus 1 additional year, then transfer to the Federal Records Center. Keep in FRC for 5 years, then destroy.</p>
3.	<p><u>Regional Administrator and Deputy Regional Administrator's Program Management File.</u> Contains information used in the internal administration and management of the regional environmental programs. Records consist of internal budget documents, personnel planning records, program reports and statistics, delegations of authority, and other related records.</p>	<p><u>Retention:</u> Retain 10 years. <u>Disposition:</u> Break file at end of each year. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 8 years, then destroy.</p>
4.	<p><u>Research and Development Grant Files.</u> Contains records used in awarding and monitoring grants to universities, private consultants, etc. for research and development projects. Records consists of application proposal, staff review and comments, grant agreement, modification and amendments, and related correspondence.</p>	<p><u>Retention:</u> Retain 4 years. <u>Disposition:</u> Break file upon termination of grant or resolution of any audit exceptions. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 3 years, then destroy.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
5.	<u>Rejections of Research and Development Grant Applications.</u> Contains copies of disapproved grant proposals, rejection notices, correspondence, etc.	<u>Retention:</u> Retain 1 year. <u>Disposition:</u> Break file at end of each year. Keep in office for 1 year, then destroy.
6.	<u>Manpower Development File.</u> Contains records used in making grants to state and local agencies to provide technical training for agency personnel. Records consist of copy of grant application and agreement, course attendee reports, and other related records.	<u>Retention:</u> Retain 4 years. <u>Disposition:</u> Break file upon termination of grant or resolution of any audit exceptions. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 3 years, then destroy.
7.	<u>Public Affairs News Releases File.</u> Contains copies of all news releases from the regional office.	<u>Retention:</u> Permanent. <u>Disposition:</u> Break file at end of each year. Keep in office for 3 years, then transfer to the Federal Records Center. Keep in FRC for 10 years, then offer to the Regional Archives.
8.	<u>Public Affairs Program Reference File.</u> Contains records used in the public information activities of the regional office. Records consist of biographical information on EPA officials, documents on program activities sent from the program divisions, reports on major program and policy developments, and other records used in formulating news releases.	<u>Retention:</u> Retain 3 years. <u>Disposition:</u> Break file at end of each year. Keep in office for 3 years, then destroy.

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9.	<p><u>Congressional Inquiries File.</u> Contains copies of congressional correspondence received and referred to the program offices for reply. Includes copies of responses.</p>	<p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file at end of Congressional session. Keep in office for 2 years, then destroy.</p>
10.	<p><u>Regional Program Planning File.</u> Contains records used in organizational planning and management studies and surveys related to the regional office. Records consist of management surveys, organizational and functional statements, program planning monthly and quarterly status reports, resources management surveys and reports, and other related records.</p>	<p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Break file at end of each year. Keep in office for 3 years, then destroy.</p>
11.	<p><u>Environmental Impact Statement Preparation File.</u> Contains information related to the in-house preparation of environmental impact statements by the regional office staff. Also includes those statements prepared by consultants for EPA. Records consist of manuscript drafts of statements, notices of intent, correspondence with citizens groups, news clips, comments on the draft made by all interested parties, transmittal letters, manuscript for final statement, and comments on final statement. May also include copies of environmental assessments, special studies, and other supplementary material created in the course of statement preparation.</p>	<p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file upon preparation of final statement. Keep in office for 5 years, then transfer to the Federal Records Center. Keep in FRC for 5 years, then destroy.</p>

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12.	<p><u>Environmental Impact Statement Coordination File.</u> Contains documents used in review and coordination of regional office comments on projects that may impact on the environment. Project categories include transportation, urban renewal, water resources, energy development, and Federal land use plans. Includes copies of printed draft statement and printed final and correspondence. May also include news clips or other materials relating to the environmental impact statements.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file upon preparation of final statement. Keep in office for 5 years or until completion of project, whichever is earlier, then transfer to the Federal Records Center. Keep in FRC for 20 years, the offer to the Regional Archives.</p>
13.	<p><u>Section X Public Notices File.</u> Contains information concerning the potential environmental impact of proposed projects by Corps of Engineers. Projects include maintenance dredging proposals as well as other projects under Section X of the Rivers and Harbors Act of 1899. Records consist of a copy of Notice, a description of the project plans, EPA evaluation on the environmental impact of the proposed project, and EPA comments, recommendation, or denial of the project.</p>	<p><u>Retention:</u></p> <p>a. <u>No Comments/Approvals.</u> Retain 1 year.</p> <p>b. <u>Denials.</u> Retain 5 years.</p> <p><u>Disposition:</u></p> <p>a. <u>No Comments/Approvals.</u> Keep in office for 1 year, then destroy.</p> <p>b. <u>Denials.</u> Break file upon completion of review and comments. Keep in office for 5 years, then destroy.</p>

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14.	<p><u>Federal Facilities Monitoring File.</u> Contains information used to monitor the environmental controls in use at installations and facilities operated by the federal government, including military installations. Monitoring includes both air and water program areas. Records consist of correspondence with the facilities, survey reports showing inventory of pollution control equipment in use at the facilities, nature and location of pollution discharge, and other factors.</p>	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file each year. Keep in office for 5 years, then destroy.</p>
15.	<p><u>Federal Facilities NPDES Permit Working File.</u> Contains information used in granting permits to federal facilities permitting them to discharge pollutants into the water. Permits issued under the National Pollution Discharge Elimination System (NPDES). Records consist of permit application, correspondence with Corps of Engineers and applicant, copy of public notice, summary report and permit copy.</p>	<p><u>Retention:</u> Destroy upon expiration of permit.</p> <p><u>Disposition:</u> Break file upon issuance of permit. Keep in office until expiration of permit, then destroy.</p>

AIR AND HAZARDOUS MATERIALS PROGRAMS

The records described below relate to the development and implementation of the regional air, noise, radiation, pesticides, toxic substances, and solid waste management programs, consistent with national strategy and policy guidelines. They document assistance to States in developing implementation plans, transportation plans; assistance to State program development through grants; and other activities.

Item	Name and Description of Record/File	Retention Period and Disposition
1.	<p><u>State Implementation Plans File.</u> Record copies of plans developed by each state for the attainment and maintenance of national ambient air quality standards, as required by Section 110 of the Clean Air Act, as amended. Plans approved by regional offices. Records consist of plan and amendments, public and industry comments, public hearing documents, compliance schedules, status reports, transportation control documents, Section 307 lawsuit documents, contracts, progress reports, and other related records.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file as plans are revised or superseded. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the Regional Archives.</p>
2.	<p><u>Section 105 Grant File.</u> Contains records used in awarding and monitoring air pollution control grants to state and local air pollution control agencies under Section 105 of the Clean Air Act, as amended. Records consist of application, EPA staff comments, Governor's</p>	<p><u>Retention:</u> Retain 4 years.</p> <p><u>Disposition:</u> Break file upon termination of grant or resolution of any audit exceptions. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 3 years, then destroy.</p>

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3.	<p>designee comments, final application, determination of responsibility, award documents and amendments, expenditure reports, audit reports, payment documents, progress reports, annual program performance, appendix to application, and other related records.</p> <p><u>Environmental Impact Statement Review and Comment File.</u> Contains information related to the potential impact of proposed projects on the environment. Used by all air and hazardous materials programs to prepare EPA comments on the projects. Records consist of manuscript work papers used as input to printed draft and final statement, and other related records.</p>	<p style="text-align: center;">5</p> <p><u>Retention:</u> Retain 10 5 years.</p> <p><u>Disposition:</u> Break file upon preparation of final statement. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 3 3 years, then destroy.</p>
4.	<p><u>Section 204 Hazardous Waste Grants File.</u> Contains records used in awarding and monitoring grants to state agencies under Section 204 of PL 89-272. Records consist of pre-application documents, application, progress reports, correspondence, final reports, payment records, intra-office memoranda, audit reports, and other related records.</p>	<p><u>Retention:</u> Retain 4 years.</p> <p><u>Disposition:</u> Break file upon termination of grant or resolution of any audit exceptions. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 3 years, then destroy.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
5.	<p><u>Air Quality Modeling Printouts.</u> Printouts showing ambient air quality data collected at air pollution monitoring stations. Used as planning models to determine necessary changes in State Implementation Plans or air quality regulations.</p>	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file upon completion of modeling study. Keep in office for 5 years, then destroy.</p>
6.	<p><u>Noise Abatement Regulations File.</u> Contains copies of regulations and legislation from municipalities, counties, and state governments. Used for reference. Records consist of copies of state noise abatement laws and regulations, community noise ordinances, and related correspondence and technical documents.</p>	<p><u>Retention:</u> As determined by users' needs.</p> <p><u>Disposition:</u> Destroy when <i>4 years no longer used for reference old or newer if no longer needed.</i></p>
7.	<p><u>Noise Sources Reference File.</u> Contains information on facilities and products that produce noise that may be subject to present or future governmental regulation. Includes topics such as airports, highways, railroads, trucks, etc. Records consist of technical documents and other materials related to noise sources.</p>	<p><u>Retention:</u> As determined by users' needs.</p> <p><u>Disposition:</u> Destroy when no longer used for reference. <i>Review in office every 2 years retaining files with continuing reference value and disposing of other materials.</i></p>

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8.	<p><u>Nuclear Reactor Safety Analysis Reports.</u> Consist of nuclear plant construction and process design reports received from NRC and ERDA and reviewed and approved by EPA. Reports consist of preliminary or initial report, changes to report, and final report.</p>	<p><u>Retention:</u></p> <p>a. <u>Initial Report and Changes.</u> Retain until receipt of final report.</p> <p>b. <u>Final Report.</u> Retain 10 years.</p> <p><u>Disposition:</u></p> <p>a. <u>Initial Report and Changes.</u> Destroy upon receipt of final report.</p> <p>b. <u>Final Report.</u> Keep in office for 10 years, then destroy.</p>
9.	<p><u>Radiation Program Reference File.</u> Contains information on nuclear facilities and regulations. Used for reference. Records consist of printed technical documents, work papers, and other reference materials concerning nuclear power plants and facilities.</p>	<p><u>Retention:</u> As determined by users' needs.</p> <p><u>Disposition:</u> Destroy when no longer used for reference.</p> <p><i>Review in office every 2 years retaining files with continuing reference value and disposing of other materials</i></p>
10.	<p><u>Pesticide Producing Establishments Registration File.</u> Contains records used to register companies that manufacture pesticides, as required by Section 7 of the Federal Insecticide, Fungicide, and Rodenticide Act, as amended. Records consist of applications for registration, reports submitted by pesticide producing establishments, certified mail receipts, and related correspondence.</p>	<p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file upon termination of registration. Keep in office for 3 years, then transfer to the Federal Records Center. Keep in FRC for 7 years, then destroy.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
11.	<u>Pesticide Producing Establishments Printouts.</u> Computer printout reports showing pesticide establishments data transferred from producers annual reports. Reports show data concerning the kind and amount of pesticides being manufactured by the establishments.	<p><u>Retention:</u> Retain 1 year.</p> <p><u>Disposition:</u> Keep in office 1 year after superseded by annual update, then destroy.</p>
12.	<u>Pesticides Compliance File.</u> Contains information used to determine compliance of pesticide products with regulations. Records consist of collection reports submitted from field inspectors, notice of inspection, receipt for sample, report of analysis, copy of sample label, copy of accepted label, history of official sample, and acceptance letters.	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file at end of each year. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 3 years, then destroy.</p>
13.	<u>Pesticides Investigation Case File.</u> Contains information concerning the alleged misuse or accidental uses of pesticides. Incidents of accident and misuse are investigated by pesticides staff and referred to enforcement staff for legal action if necessary. Records consist of pesticide accident report or report of investigation, gross analytical diagnosis, hospital report and supporting papers, correspondence, and other related records.	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file upon closing of case. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 3 years, then destroy.</p>

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14.	<p><u>Section 23 Pesticides Grant File.</u> Contains records used in awarding and monitoring grants to state agencies under Section 23 of the Federal Insecticide, Fungicide, and Rhodenticide Act. Records consist of reference copies of application with proposal, grant agreement, notification of award action, commitment of award action, commitment notice, payment documents, expenditure reports, requests for continued funding, correspondence, and other related records.</p>	<p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file upon termination of grant or resolution of any audit exceptions. Keep in office for 2 years, then destroy.</p>
15.	<p><u>Pesticide Chemicals Reference File.</u> Contains information concerning the chemical properties and composition of pesticide products. Used for reference. Includes technical data on the pesticides, testing methods, and other related materials.</p>	<p><u>Retention:</u> As determined by users' needs.</p> <p><u>Disposition:</u> Destroy when no longer used for reference. <i>Review in office every 2 years retaining files with continuing reference value and disposing of other materials.</i></p>
16.	<p><u>Pesticides State Agency Reference File.</u> Contains information concerning pesticides programs operated by state agencies, universities, agricultural extension services, and other agencies. Records consist of correspondence, copies of legislation, annual reports, technical documents, and other related records.</p>	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file at end of each year. Keep in office for 5 years, then destroy.</p>

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17.	<p><u>Transportation Control Plans Working File.</u> Contains information used in developing plans to achieve national ambient air quality standards through a reduction of vehicle miles of travel. Transportation Control Plans are incorporated in the State Implementation Plans. Records consist of systems planning information, work programs, studies, employer incentive plans, strategy papers, copies of emission standards, and other related records.</p>	<p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file upon completion of plans. Keep in office for 5 years, then transfer to the Federal Records Center. Keep in FRC for 5 years, then destroy.</p>
18.	<p><u>Section 109(j) Consistency Reports File.</u> Includes annual reports used in determining the consistency of long-range transportation plans with State Implementation Plans, as required by Section 109(j) of the Federal Aid Highway Act. Records consist of consistency report, correspondence, staff comments, and revised reports.</p>	<p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file upon completion of review and comments. Keep in office for 5 years, then transfer to the Federal Records Center. Keep in FRC for 5 years, then destroy.</p>
19.	<p><u>Energy Coordination Program Reference File.</u> Contains information relative to the development and implementation of federal energy legislation and programs. Records consist of copies of legislation, fuel availability data, news articles, correspondence, technical documents, and other related records.</p>	<p><u>Retention:</u> Permanent <i>Retain 10 years.</i></p> <p><u>Disposition:</u> Break file every 5 years. Keep in office for 5 years, then transfer to the Federal Records Center. Keep in FRC for 10 <i>5</i> years, then offer <i>destroy.</i> to the Regional Archives.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
20.	<p><u>Special Studies File.</u> Documents relating to the development of special studies for all air and hazardous materials programs. Includes studies and surveys done in-house as well as those done on contract. Records consist of contractor and grantee proposals, procurement requests, task orders, bid evaluation, award notices, payment records, progress reports, and project work papers.</p>	<p><u>Retention:</u> Retain 7 years.</p> <p><u>Disposition:</u> Break file upon completion of study. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 6 years, then destroy.</p>
21.	<p><u>Final Reports Resulting from Special Studies.</u> Includes printed final reports of special studies and surveys for all air and hazardous materials programs.</p>	<p><u>Retention:</u></p> <p>a. <u>Record Copy.</u> Permanent.</p> <p>b. <u>Information Copies.</u> As determined by users' needs. <i>Retain 2 years.</i></p> <p><u>Disposition:</u></p> <p>a. <u>Record Copy.</u> Break file upon completion of study. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the Regional Archives.</p> <p>b. <u>Information Copies.</u> Destroy when no longer used for referenced years old at <i>sooner if no longer needed for reference.</i></p>

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Item	Name and Description of Record/File	Retention Period and Disposition
22.	<p><u>Program Management Files.</u> Contains records pertaining to policy and program development of all air and hazardous materials programs. Records consist of correspondence and reports relative to policy and programs, interagency activity, research, manpower planning, and other related materials.</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 8 years, then destroy.</p>

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WATER PROGRAM RECORDS

The records described below relate to the regional programs for the achievement of national water quality standards. The documentation pertains to the review of municipal waste water plans and specifications; construction program monitoring; grant program operation; coordinating areawide and basin planning; developing control strategies for non-point source dischargers and ocean dumping; operating a water supply program; and other water planning activities.

Item	Name and Description of Record/File	Retention Period and Disposition
1.	<p><u>Section 106 Program Grant File.</u> Contains records used in awarding and monitoring water pollution control grants to state and interstate agencies under Section 106 of the Federal Water Pollution Control Act, as amended. Records consist of applications for grants, special reports on the water pollution control programs, and other records.</p>	<p><u>Retention:</u> Retain 6 years.</p> <p><u>Disposition:</u> Break file at end of fiscal year. Keep in office for 3 years, then transfer to the Federal Records Center. Keep in FRC for 3 years, then destroy.</p>
2.	<p><u>Program Management File.</u> Contains information relating to all phases of program management and planning for the water planning programs. Record contents include policy and procedure documents, legislative reference materials, program planning reports, budget materials, and other related records.</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 8 years, then destroy.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
3.	<p><u>Section 106 Grant Correspondence File.</u> Contains correspondence pertaining to Section 106 of the Federal Water Pollution Control Act, as amended. Correspondence is between state and interstate grantee agencies, and includes reference copies of letters of approval or disapproval, copies of grant agreements and amendments, official copies of application evaluation documents, trip reports and records of phone calls, requests for payment of funds, reports of expenditure, audit reports, application supplements and revisions, and other related records.</p>	<p><u>Retention:</u> Retain 6 years.</p> <p><u>Disposition:</u> Break file every fiscal year. Keep in office for 3 years, then transfer to the Federal Records Center. Keep in FRC for 3 years, then destroy.</p>
4.	<p><u>Priority Basin Program File.</u> Contains records used to monitor and plan pollution control programs in priority designated river basins. Records consist of pollution trend reports, waste load data and improvement plans, accomplishment plans done by EPA regional staff with supporting documentation, and other related records.</p>	<p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file every 2 fiscal years. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 8 years, then destroy.</p>
5.	<p><u>Wild and Scenic Rivers Studies File.</u> Contains documents used in making recommendations concerning classification of wild and scenic rivers. Records consist of studies of the rivers and reports recommending classification.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file upon completion of study and classification. Keep in office for 5 years, then transfer to the Federal Records Center. Keep in FRC for 5 years, then offer to the Regional Archives.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
6.	<p><u>Section 102(b) Studies File</u> Contains documents relating to water quality storage in federal reservoirs, under Section 102(b) of the Federal Water Pollution Control Act, as amended. Records used as basis for recommending water quality storage in federal reservoir projects. Federal agencies include Corps of Engineers, Soil Conservation Service, Federal Power Commission. Records consist of technical reports and supporting data and related correspondence.</p>	<p><u>Retention:</u> Retain 20 years.</p> <p><u>Disposition:</u> Break file upon completion of studies and recommendations. Keep in office for 10 years, then transfer to the Federal Records Center. Keep in FRC for 10 years, then destroy.</p>
7.	<p><u>Section 303(e) Basin Planning File.</u> Contains records related to the development of river basin plans submitted by state planning agencies and reviewed and approved by the regional offices under Section 303(e) of the Federal Water Pollution Control Act, as amended. Records consist of technical reports such as waste load allocations, recommendations for basin-wide abatement program, copies of the final basin plans, and related correspondence.</p>	<p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file when plans are revised or superseded. Keep in office for 3 years, then transfer to the Federal Records Center. Keep in FRC for 7 years, then destroy.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
8.	<u>Water Quality Standards and Regulations File.</u> Contains records used to develop standards and regulations to implement provisions of water program legislation. Standards originate by both States and Federal government. Records consist of correspondence concerning promulgation of new standards and revision of existing ones and supporting documentation. May also include news clips, Federal Register tear sheets, and other related records.	<u>Retention:</u> Retain 7 years. <u>Disposition:</u> Break file upon promulgation of standard or regulation. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 5 years, then destroy.
9.	<u>Water Quality Modeling File.</u> Contains documents pertaining to various water quality mathematical models that are used in basin planning. Records consist of data abstracts and general correspondence concerning the river model.	<u>Retention:</u> As determined by users' needs <i>a) Retain on site 20 years</i> <u>Disposition:</u> Keep in office until no longer of any research or reference value, then destroy. <i>b) Destroy when 2 years old</i>
10.	<u>Nuclear Power Plant Thermal Pollution File.</u> Contains information on proposed power plants. Used by regional office to prepare comments on the potential impact of the facility on water quality.	<u>Retention:</u> Retain 15 years. <u>Disposition:</u> Break file upon completion of review and comments. Keep in office for 5 years, then transfer to the Federal Records Center. Keep in FRC for 10 years, then destroy.
11.	<u>Load Allocation Working Papers.</u> Contains data showing the technical basis for assigning load allocations to dischargers. Used as supporting papers for Section 303(e) Basin Plans.	<u>Retention:</u> Retain 5 years. <u>Disposition:</u> Keep in office for 5 years or until revised or updated, then destroy.

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Item	Name and Description of Record/File	Retention Period and Disposition
12.	<u>Final State Water Quality Management Plans.</u> Printed copies of State Water Quality Management Plans submitted by state planning agencies and reviewed and approved by regional offices. Includes plans formulated under the 303(e) Basin Planning Program and the 208 Areawide Planning Program.	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file when plans are revised or superseded. Keep in office for 3 years, then transfer to the Federal Records Center. Keep in FRC for 10 years, then offer to the Regional Archives.</p>
13.	<u>Congressional Inquiries File.</u> Copies of incoming correspondence and replies.	<p><u>Retention:</u> Retain 6 years.</p> <p><u>Disposition:</u> Break file upon dispatch of replies. Keep in office for 6 years, then destroy.</p>
14.	<u>Interagency Agreements File.</u> Contains documents used in coordinating interagency activities in water planning programs. Records consist of interagency agreements, procedures for coordination, and related correspondence.	<p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Break file upon termination of agreements. Keep in office for 3 years, then destroy.</p>
15.	<u>Water Programs Legislation File.</u> Contains information used as reference to federal water pollution legislation, including the Federal Water Pollution Control Act and other legislation. Also includes policy and procedures and other program materials on the implementation of the laws.	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Keep in office for 5 years, then destroy.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
16.	<p><u>Environmental Impact Statement Review and Comment File.</u> Contains information related to the potential impact of proposed projects on the environment. Records consist of manuscript work papers used as input to printed draft and final statements and comments.</p>	<p><u>Retention:</u> Retain 10⁵ years. <u>Disposition:</u> Break file upon preparation of final statement. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 2³ years, then destroy.</p>
17.	<p><u>Comprehensive River Basin Planning (3-C) Grants File.</u> Contains records used to evaluate and award grants under the 3-C Grant Program. Records consist of applications, approval or disapproval of grant, work program reports, interim progress reports, and final documents.</p>	<p><u>Retention:</u> Retain 4 years. <u>Disposition:</u> Break file upon termination of grant or resolution of any audit exceptions. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 3 years, then destroy.</p>
18.	<p><u>Section 201 Construction Grant Planning File.</u> Contains records used to evaluate the environmental and technical aspects of construction grants under Section 201, PL 92-500, (Facilities Planning) program. Records consist of local and state planning documents, application copy, facilities plan, environmental assessment, cost-effective analysis, Public participation, and related correspondence. Note: Retention and disposition provisions for the official copies of these files are included in the Grant Records schedule elsewhere in this Manual.</p>	<p><u>Retention:</u> Retain 5 years. <u>Disposition:</u> Break file after Step 3 audit closeout. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 3 years, then destroy.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
19.	<p><u>Section 208 Grant File.</u> Contains records used in evaluating and awarding grants for areawide planning under Section 208 of the Federal Water Pollution Control Act. Records consist of application and supporting documents, agreements and approvals with subcontractor, plans of work progress reports, trip reports, payment vouchers, and audit reports.</p>	<p><u>Retention:</u> Retain 4 years.</p> <p><u>Disposition:</u> Break file upon termination or resolution of any audit exceptions. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 3 years, then destroy.</p>
20.	<p><u>Yearly Allocation Ledgers on Construction Grant Funds.</u> Ledgers show credits and debits to all grant project accounts under PL 84-660 and PL 92-500.</p>	<p><u>Retention::</u> Retain 7 years.</p> <p><u>Disposition:</u> Break file as accounts are closed and audit exceptions are resolved. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 6 years, then destroy.</p>
21.	<p><u>State Water Supply Program Evaluation File.</u> Evaluations of state drinking water programs prepared by Regional Offices. Contains evaluation reports listing program accomplishments and deficiencies, supporting documentation, correspondence and other related papers. Also includes evaluations of drinking water laboratories operated by state agencies.</p>	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file upon completion of evaluation. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 3 years, then destroy.</p>
22.	<p><u>Special Studies File.</u> Documents relating to the development of special studies for all water programs. Includes</p>	<p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Break file upon completion of study.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
	<p>studies and surveys done in-house as well as those done on contract. Records consist of contractors and grantee proposals, procurement requests, task orders, bid evaluation, award notices, payment records, progress reports, and work papers.</p>	<p>Keep in office for 3 years, then destroy.</p>
23.	<p><u>Special Studies -- Final Reports.</u> Consists of printed reports (final copies) on water program topics, prepared in-house or on contract.</p>	<p><u>Retention:</u></p> <p>a. <u>Record Copy.</u> Permanent.</p> <p>b. <u>Information Copies.</u> As determined by users' needs.</p> <p><u>Disposition:</u></p> <p>a. <u>Record Copy.</u> Break file upon completion of study. Keep in office for 10 years, then transfer to the Federal Records Center. Keep in FRC for 10 years, then offer to the Regional Archives.</p> <p>b. <u>Information Copies.</u> Destroy when no longer used.</p>
24.	<p><u>Water Supply Enforcement Work File.</u> Contains records related to input provided by water supply staff into regional office enforcement actions taken to insure compliance with rules, regulations, and guidelines. Records consist of memoranda, compliance reports, and supporting papers.</p>	<p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Break file upon completion of enforcement action. Keep in office for 3 years, then destroy.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
25.	<p><u>Interstate Carrier Program File.</u> Contains information concerning water supply sources on interstate carriers, such as buses, trains, airplanes, etc. Records consist of yearly reports showing water quality on the carriers, letters assigning water quality classification to the carriers, inspection reports of water supplies, and related records.</p>	<p><u>Retention:</u> Retain 20 years.</p> <p><u>Disposition:</u> Break file each year. Keep in office for 5 years, then transfer to the Federal Records Center. Keep in FRC for 15 years, then destroy.</p>
26.	<p><u>Inventory of State Water Supply.</u> Reference copies of a data collection report showing the name and location of water supplies, type of treatment and laboratory control, and other information. Original report sent to Headquarters and used as input to Final Water Supply Report.</p>	<p><u>Retention:</u> Retain 1 year.</p> <p><u>Disposition:</u> Break file upon verification by states. Keep in office for 1 year, then destroy.</p>
27.	<p><u>Water Supply Program Reference File.</u> Contains information related to various technical aspects of water supply program and used for reference. Includes such topics as contaminants, cross-connection control disease and epidemiology, pesticides and toxic materials, treatment methods, reference manuals, and other reference materials.</p>	<p><u>Retention:</u> As determined by users' needs.</p> <p><u>Disposition:</u> Destroy when no longer used for reference. <i>Review in office every 2 years retaining files with continuing reference value and disposing of other materials.</i></p>

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Item	Name and Description of Record/File	Retention Period and Disposition
28.	<p><u>Water Supply Training File.</u> Contains records used by regional staff to conduct training programs for state water supply personnel. Records consist of instructional materials, applications, participant rosters, manuals, and other training aids and materials.</p>	<p><u>Retention:</u> As determined by users' needs. <i>Retain 4 years.</i></p> <p><u>Disposition:</u> Destroy when no longer used for reference. <i>Destroy when 4 years old or sooner if no longer used for reference.</i></p>

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ENFORCEMENT PROGRAM RECORDS

The records described below relate to the regional programs for the enforcement of national environmental pollution regulations. The documentation pertains to determining compliance with these regulations, and bringing legal or administrative action against parties and pollution sources that are out of compliance. The documentation also pertains to the administration of the National Pollution Discharge Elimination System (NPDES) municipal and industrial permits program.

Item	Name and Description of Record/File	Retention Period and Disposition
1.	<p><u>NPDES Permits File.</u> Contains records used in issuance of pollution discharge permits under the National Pollution Discharge Elimination System (NPDES) program. Permits issued to municipal, industrial, agricultural, and Federal facility dischargers by EPA regional offices or authorized state agencies. Records consist of application for permit; correspondence with applicant, Corps of Engineers, and certifying agency; copy of public notice and comments; public hearing requests; copy of summary reports and permit rationale; and permit copy. Also includes permit revisions and records used in determining compliance with permit provisions, such as discharge monitoring reports, inspection sampling reports, appeals documents, copies of enforcement actions, and other related records.</p>	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file upon expiration or termination of permit. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 4 years, then destroy.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
2.	<p><u>Compliance Files -- All Pollution Sources.</u> Contains records used to determine compliance with pollution regulations and to recommend legal enforcement action if necessary. Specific documents vary from source to source and program to program, but generally include copies of compliance schedules, monitoring or compliance reports, applications for compliance schedules and requests for schedule waiver or modification. If source appears to be out of compliance, file will include letters requesting additional information from the source, technical evaluation reports by regional office, and recommendations for legal action against the source to enforce compliance. Note: This item includes all compliance records maintained in the Enforcement offices except the NPDES compliance files.</p>	<p><u>Retention:</u></p> <p>a. <u>Sources with Compliance History.</u> Retain current plus 1 year.</p> <p>b. <u>Sources with Non-Compliance History.</u> Retain current plus 5 years.</p> <p><u>Disposition:</u></p> <p>a. <u>Sources with Compliance History.</u> Break file each year. Keep in office for 1 year, then destroy.</p> <p>b. <u>Sources with Non-Compliance History.</u> Break file each year. Keep in office for 5 years, then destroy.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
3.	<p><u>Enforcement Action Case Files -- All Pollution Programs.</u> Includes all cases referred to Enforcement staff from all program offices for legal action against a pollution source or discharger. Document contents vary from program to program but generally include records used to determine compliance (item 3 above) and in addition: memos or transcripts documenting informal meetings with officials of pollution sources, pre-consent order correspondence, briefing memos, final consent orders, and court documents including briefs, pleadings, judgement documents, and appellate documents.</p>	<p><u>Retention:</u></p> <p>a. <u>No Legal Action Required.</u> Retain 5 years.</p> <p>b. <u>Routine Legal Actions.</u> Retain 20 years.</p> <p>c. <u>Landmark Cases</u> (EPA Administrator designates actions as landmark or precedent cases). Permanent.</p> <p><u>Disposition:</u></p> <p>a. <u>No Legal Action Required.</u> Break file after settlement or closing of case. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 4 years, then destroy.</p> <p>b. <u>Routine Legal Actions.</u> Break file after settlement or closing of case. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 18 years, then destroy.</p> <p>c. <u>Landmark Cases.</u> Break file upon settlement or closing of case. Keep in office for 5 years, then transfer to the Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
4.	<p><u>Rapid Tax Amortization File.</u> Contains records used to grant federal tax deductions to facilities that have installed pollution control equipment and devices. Records consist of applications, state certifications, technical review by regional office, legal review by regional office, federal certification, and related correspondence.</p>	<p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file upon federal certification. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 8 years, then destroy.</p>
5.	<p><u>Public Hearings File.</u> Contains records used in conducting public hearings at which interested groups comment on proposed indirect sources regulations, compliance schedules, and transportation control regulations. Records consist of citizen and congressional inquiries, administrative documentation arranging the hearing, public notice of hearing, and copy of hearing transcript.</p>	<p style="text-align: right;"><i>Permanent.</i></p> <p><u>Retention:</u> Retain 5 years</p> <p><u>Disposition:</u> Break file upon completion of hearing. Keep in office until all required action items have been completed, then transfer to the Federal Records Center. Keep in FRC for 10 3 years, then destroy <i>offer to Regional Archives.</i></p>
6.	<p><u>Adjudicatory Hearings File.</u> Contains records used in conducting hearings in which issues of fact concerning regulation enforcement are decided. Records consist of administrative documents arranging hearing, public notices of hearings, pre-hearing transcripts, Administrative Law Judge orders, hearing transcripts, judgment orders, and other related records.</p>	<p style="text-align: right;"><i>Permanent.</i></p> <p><u>Retention:</u> Retain 10 years</p> <p><u>Disposition:</u> Break file upon completion of hearing. Keep in office until all required action items have been completed, then transfer to the Federal Records Center. Keep in FRC for 10 years, then destroy <i>offer to Regional Archives.</i></p>

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Item	Name and Description of Record/File	Retention Period and Disposition
7.	<u>State Regulations File.</u> Contains copies of state environmental regulations used for reference.	<u>Retention:</u> As determined by users' needs <i>Retain 1 year.</i> <u>Disposition:</u> Destroy when <i>1 yr add. or sooner if</i> no longer used for reference.
8.	<u>State Implementation Plans File.</u> Contains copies of state implementation plans and revisions to plans approved by enforcement staff.	<u>Retention:</u> Retain 1 year. <u>Disposition:</u> Break file as plans are revised or superseded. Keep in office for 1 year, then destroy.
9.	<u>Compliance Schedules File.</u> Contains copies of schedules, proposed Federal Register package, and final promulgation. Schedules are approved by enforcement staff and used for reference.	<u>Retention:</u> Retain 5 years. <u>Disposition:</u> Break file upon approval of schedules. Keep in office for 5 years, then destroy.
10.	<u>Legal Reference File.</u> Contains records used by enforcement staff for reference on legal programs, control strategies, hearing procedures, judicial review, environmental legislation, and other reference materials.	<u>Retention:</u> As determined by users' needs <u>Disposition:</u> Destroy when no longer used for reference. <i>Review in office every 3 years retaining files with continuing reference value and disposing of other materials.</i>
11.	<u>Program Management File.</u> Contains records pertaining to all phases of the development and management of the regional enforcement program, including permit administration, compliance determination, and legal enforcement actions. Records consist of correspondence and reports relative to policy and programs, litigation, manpower and budget, etc.	<u>Retention:</u> Retain 10 years. <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 8 years, then destroy.

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SURVEILLANCE AND ANALYSIS PROGRAMS RECORDS

The records described below relate to the collection and laboratory analysis of environmental quality data to support regional and national monitoring requirements. The documentation pertains to compliance determination and enforcement referrals for the NPDES program, the stationary source program, the unleaded gasoline inspection program, and the oil and hazardous materials spill response program. Documentation also pertains to spill prevention plan inspection, state and local agency program evaluation, special studies, and other surveillance activities. Note: The items in this schedule apply to records maintained in surveillance and analysis field offices as well as to the regional office records.

Item	Name and Description of Record/File	Retention Period and Disposition
1.	<p><u>Stationary Source Compliance File.</u> Includes stationary source inspection reports showing measurements of emissions, types of equipment installed, efficiency of control equipment operation, and other information used to determine compliance with air pollution regulations. Reports prepared by field inspectors and transmitted to Enforcement program for possible legal action.</p>	<p><u>Retention:</u></p> <p>a. <u>Sources with Compliance History.</u> Retain current plus 1 year.</p> <p>b. <u>Sources with Non-Compliance History.</u> Retain current plus 5 years.</p> <p>c. <u>Sources with Compliance Schedule.</u> Retain 1 year.</p> <p><u>Disposition:</u></p> <p>a. <u>Sources with Compliance History.</u> Break file at end of each year. Keep in office for 1 year, then destroy.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
2.	<p><u>State and Local Agency Monitoring File.</u> Includes records used to monitor state and local air pollution programs. Records consist of quality assurance reports of state and local ambient monitoring networks, staff reviews and comments on Section 105 grant applications, and audit reports showing performance of the agencies.</p>	<p>b. <u>Sources with Non-Compliance History.</u> Break file at end of each year. Keep in office for 5 years, then destroy.</p> <p>c. <u>Sources with Compliance Schedule.</u> Break file upon expiration of compliance schedule period. Keep in office for 1 year, then destroy.</p> <p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file at end of each year. Keep in office for 5 years, then destroy.</p>
3.	<p><u>Gasoline Sampling Inspection File.</u> Includes reports of analysis of samples of unleaded gasoline. Used to determine compliance with unleaded gasoline regulations. Records consist of field inspection report, lab analysis report, and other supporting papers.</p>	<p><u>Retention:</u></p> <p>a. <u>Sources with Compliance History.</u> Retain current plus 1 year.</p> <p>b. <u>Sources with Non-Compliance History.</u> Retain 5 years.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
		<p><u>Disposition:</u></p> <p>a. <u>Sources with Compliance History.</u> Break file at end of each year. Keep in office for 1 year, then destroy.</p> <p>b. <u>Sources with Non-Compliance History.</u> Break file at end of each year. Keep in office for 5 years, then destroy.</p>
4.	<p><u>Citizen Complaints File.</u> Includes copies of complaints and inquiries from citizens on various pollution problems, and copies of replies.</p>	<p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Break file at end of each year. Keep in office for 3 years, then destroy.</p>
5.	<p><u>Standards and Regulations Review and Comment File.</u> Includes copies of standards and regulations sent from headquarters programs for review and comment by regional office.</p>	<p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file upon completion of review and comment. Keep in office for 2 years, then destroy.</p>
6.	<p><u>Oil and Hazardous Materials Facility Files.</u> Includes records resulting from investigations of oil and other hazardous materials spills and records related to spill prevention program.</p>	

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Item	Name and Description of Record/File	Retention Period and Disposition
	<p>a. <u>Spill Investigation and SPCC Compliance Inspection Reports.</u> Records consist of spill reports and supporting papers showing case history of spills. Used in civil or criminal actions against spiller. Also includes SPCC plan compliance inspection reports, time extension requests, and other related records.</p> <p>b. <u>SPCC Facility Plans.</u> Records detailing spill prevention program of facilities, submitted to regional offices as required by regulations. Includes plans and amendments prescribed by the Regional Administrator.</p>	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file at end of each year or upon termination of case, whichever is applicable. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 3 years, then destroy.</p> <p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file upon completion of amendment implementation or end of year. Keep in office for 5 years, then destroy.</p>
7.	<p><u>NPDES Compliance Monitoring File.</u> Includes inspection reports used to determine compliance with pollution discharge permits issued under the National Pollution Discharge Elimination System (NPDES). Reports forwarded to Enforcement office for legal action if necessary. Field offices maintain report copy plus supporting papers including lab analysis records, field log books, calculation notes, permit information, and other records.</p>	<p><u>Retention:</u></p> <p>a. <u>Sources with Compliance History.</u> Retain current plus 1 year.</p> <p>b. <u>Sources with Non-Compliance History.</u> Retain 5 years.</p> <p><u>Disposition:</u></p> <p>a. <u>Sources with Compliance History.</u> Keep in office current plus 1 additional year, then destroy.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
8.	<p><u>Water Quality Stream File.</u> Includes survey inspection reports on water quality of streams and rivers. Data is used to calculate effluent waste load allocations by water planning staff. Field offices maintain report copy plus supporting papers including lab analysis data, working papers, and other related records.</p>	<p>b. <u>Sources with Non-Compliance History.</u> Break file at end of each year. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 3 years, then destroy.</p> <p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file upon completion of survey report. Keep in office for 5 years, then destroy.</p>
9.	<p><u>Special Studies File.</u> Documents relating to the development of special studies for all surveillance and analysis programs. Includes studies and surveys done in-house as well as those done on contract. Records consist of contractor and grantee proposals, procurement requests, task orders, bid evaluation, award notices, payment records, progress reports, and project work papers.</p>	<p><u>Retention:</u> Retain 7 years.</p> <p><u>Disposition:</u> Break file upon completion of study. Keep in office for 7 years, then destroy.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
10.	<p><u>Final Reports Resulting from Special Studies.</u> Includes printed final reports of special studies and surveys for all surveillance and analysis programs.</p>	<p><u>Retention:</u></p> <p>a. <u>Record Copy.</u> Permanent.</p> <p>b. <u>Information Copies.</u> As determined by users' needs. <i>Retain 2 years.</i></p> <p><u>Disposition:</u></p> <p>a. <u>Record Copy.</u> Break file upon completion of study. 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 <i>2 years old used for reference or sooner if no longer needed.</i></p>
11.	<p><u>Program Management Files.</u> Contains records pertaining to policy and program development of all surveillance and analysis programs. Records consist of correspondence and reports relative to policy and programs, inter-agency activity, research, manpower planning, and other related materials.</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 8 years, then destroy.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
12.	<p><u>Natural Disaster Assistance File.</u> Includes records conducting damage assessment surveys, as required by Presidential disaster declarations. Records consist of correspondence and preliminary damage assessments, damage surveys, interim and final inspection reports, and other related records.</p>	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file upon completion of final inspections for all applicants. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 3 years, then destroy.</p>