

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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| LEAVE BLANK | |
| JOB NO | |
| NC1 412 77 5 | |
| DATE RECEIVED | |
| 24 AUG 1977 | |
| 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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10 | |
| 4-14-78 <i>James E. O'Neil</i> Date acting Archivist of the United States | |

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

1. FROM (AGENCY OR ESTABLISHMENT)
Environmental Protection Agency

2. MAJOR SUBDIVISION
Office of Research and Development

3. MINOR SUBDIVISION

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

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

| | | |
|--------------------|--|---|
| C. DATE 8/19/77 | D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Harold R. Martin</i> | E. TITLE Chief, Administrative Management Branch |
|--------------------|--|---|

| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO. | 10. ACTION TAKEN |
|--------------------------------------|---|----------------------|------------------|
| 1- 12 19 <i>102</i> | Record series descriptions and proposed retention and disposition instructions for the Office of Research and Development are attached. | | |

changes made with approval of David Stephens 3/13/78 and 3/16/78 JBW

32 items

sent to agency, NCW, NNRB, & NNF - 4/17/78

ENVIRONMENTAL PROTECTION AGENCY

MANUAL

APPENDIX C

RECORDS CONTROL SCHEDULES
HEADQUARTERS RECORDS

RECORDS MANAGEMENT

RESEARCH AND DEVELOPMENT RECORDS.

The records described below relate to the operation of a research and development program for the Agency. The major areas of this program include satisfying the research needs of the Agency's operating programs in the areas of pollution sources, health and ecological effects, pollution prevention and control, environmental sciences, monitoring systems, and dissemination of scientific and technical knowledge.

| Item | Name and Description of Record/File | Retention Period and Disposition |
|------|--|---|
| 1. | <p><u>Air, Land and Water Use Program Files.</u> Includes documentation related to the Agency research programs concerning air, water, pesticides, solid wastes, and toxic substances. Documentation relates to research conducted on pollution control strategies and technology, analytical methods development, and other research areas. Records consist of correspondence and memoranda and all supporting documentation.</p> | <p>Retention: Retain 10 years. <i>Permanent.</i></p> <p>Disposition: Break file at end of year. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 8 years, then <i>destroy after to NARS.</i></p> |
| | <p>a. <u>Official Files.</u></p> | |

MANUAL
RECORDS MANAGEMENT

APPENDIX C

CHAPTER TITLE

**RECORDS CONTROL SCHEDULES
HEADQUARTERS RECORDS**

| Item | Name and Description of Record/File | Retention Period and Disposition |
|------|-------------------------------------|----------------------------------|
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b. Other Copies.

Retention: Retain 5 years.

Disposition: Break file at end of year. Keep in office ~~2 years~~, then ~~transfer to the Federal Records Center. Keep in FRC for 3 years,~~

then destroy. DESTROY when 5 years old or sooner if no longer needed.

2. Energy, Minerals and Industry Program Files. Includes documentation related to the energy and industry research programs of the Agency. Major file categories include energy systems, energy control and conservation, fuel research projects, industrial pollutant control, and research and laboratory coordination activities. Records consist of correspondence, memoranda, and all supporting attachments.

a. Official Files.

Retention: Retain 10 years. *Permanent.*

Disposition: Break file at end of year. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 8 years, then ~~destroy~~ *offer to NARS*

b. Other Copies.

Retention: Retain 5 years.

Disposition: Break file at end of year. Keep in office ~~for 2 years,~~ then transfer to the ~~Federal Records Center.~~

DESTROY when 5 years old or sooner if no longer needed.

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| APPENDIX C CHAPTER TITLE RECORDS CONTROL SCHEDULES HEADQUARTERS RECORDS | MANUAL RECORDS MANAGEMENT |
|--|------------------------------|

| Item | Name and Description of Record/File | Retention Period and Disposition |
|------|--|---|
| | <p>3. <u>Monitoring and Technical Support Program Files.</u> Includes documentation related to the Agency research programs concerning environmental monitoring, analytical measurement techniques, quality assurance, dissemination of scientific and technical information, and related areas. Major file categories include air monitoring research, energy related research, radiation safety programs, monitoring instrumentation, and laboratory research coordination activities. Records consist of correspondence, memoranda, and all supporting documentation.</p> <p>a. <u>Official Files.</u></p> <p>b. <u>Other Copies.</u></p> | <p>Keep in FRC for 3 years, then destroy.</p> <p><i>Permanent</i></p> <p>Retention: Retain 10 years.</p> <p>Disposition: Break file at end of year. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 8 years, then destroy <i>offer to NARS.</i></p> <p>Retention: Retain 5 years.</p> <p>Disposition: Break file at end of year. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 3 years, then destroy. <i>DESTROY within 5 years old or newer if longer needed</i></p> |

TN

DATE

PAGE NUMBER

PAR

| |
|--------------------|
| MANUAL |
| RECORDS MANAGEMENT |

CH/APPENDIX C

RECORDS CONTROL SCHEDULES
HEADQUARTERS RECORDS

| Item | Name and Description of Record/File | Retention Period and Disposition |
|------|---|--|
| 4. | <p><u>Health and Ecological Effects Program Files.</u> Includes documentation related to the Agency research programs concerning the health and ecological effects of various pollution categories and sources. Documentation covers research programs on air, water, pesticides, radiation, toxic substances, noise, and multi-media health and ecological effects. Records consist of correspondence and memoranda, and all supporting documentation.</p> <p>a. <u>Official Files.</u></p> <p>b. <u>Other Copies.</u></p> | <p><i>Permanent</i> <u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 8 years, then destroy <i>transfer to NARS.</i></p> <p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 3 years, then <i>DESTROY when 5 years old or sooner if no longer needed.</i></p> |
| | <p><i>with stream ery ago</i></p> <p>5. <u>Advisory and Interagency Committees and Task Forces Files.</u> Includes documentation related to the operation of scientific or research oriented advisory and interagency committees and</p> | |

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| CHAPTER NUMBER APPENDIX C CHAPTER TITLE RECORDS CONTROL SCHEDULES HEADQUARTERS RECORDS | MANUAL RECORDS MANAGEMENT |
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| Item | Name and Description of Record/File | Retention Period and Disposition |
|------|--|--|
| | <p>task forces, such as the Energy Coordinator Staff, the Stratospheric Modification Research Staff, and similar bodies. Records consist of meeting agendas, minutes of meetings, reports prepared by or for the committee, correspondence, and other related records.</p> <p>a. <u>Records Kept by the Committee Chairman and/or Executive Secretary.</u> (Arranged chronologically).</p> <p>b. <u>Records Kept by Committee Members.</u></p> | <p>Retention: Permanent. WITHDRAWN</p> <p>Disposition: Break file at end of year. Keep in office until termination of committee or for 5 years, whichever is earlier, then transfer to the Federal Records Center. Keep in FRC for 10 years, then offer to the National Archives.</p> <p>Retention: As below. WITHDRAWN</p> <p>Disposition: Destroy when superseded or obsolete or upon termination of membership, whichever is earlier.</p> |
| 6. | <p><u>Objective Statements and Accomplishment Plans Files.</u> Includes planning documents used to allocate resources to the research laboratories, to list objectives, and to set forth plans for accomplishing the objectives.</p> <p>a. <u>Official Files.</u> (Records arranged by fiscal year, then by name of Laboratory).</p> | <p>Retention: Permanent.</p> <p>Disposition: Break</p> |

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| MANUAL | CHAPTER APPENDIX C |
| RECORDS MANAGEMENT | CHAPTER TITLE RECORDS CONTROL SCHEDULES HEADQUARTERS RECORDS |

| Item | Name and Description of Record/File | Retention Period and Disposition |
|------|--|---|
| | | file at end of fiscal year. Keep in office for 5 years, then transfer to the Federal Records Center. Keep in FRC for 10 years, then offer to the National Archives. |
| | b. <u>Other Copies.</u> | <u>Retention:</u> Retain 5 years. <u>Disposition:</u> Break file at end of fiscal year. Keep in office for 5 years, then destroy. |
| 7. | <u>International Activities and Agreements File.</u> Includes record copies of documentation related to the international activities of the Agency's research and development programs. Records consist of bilateral and cooperative research agreements and supporting documentation, conference and symposia materials, and records related to multilateral organizations such as the United Nations Environmental Program, the World Health Organization, and others. | |
| | a. <u>Official Files.</u> (Records arranged alphabetically by name of program, organization, or agreement). | <u>Retention:</u> Permanent. <u>Disposition:</u> Break file upon termination of agreement or at end of year, as appropriate. |

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| CHAPTER NUMBER APPENDIX C CHAPTER TITLE RECORDS CONTROL SCHEDULES HEADQUARTERS RECORDS | <table border="1"> <tr> <td data-bbox="962 82 1339 151" style="text-align: center;">MANUAL</td> </tr> <tr> <td data-bbox="962 151 1339 342" style="text-align: center;">RECORDS MANAGEMENT</td> </tr> </table> | MANUAL | RECORDS MANAGEMENT |
| MANUAL | | | |
| RECORDS MANAGEMENT | | | |

| Item | Name and Description of Record/File | Retention Period and Disposition |
|------|--|---|
| | <p>b. <u>Other Copies.</u></p> | <p>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> <p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file upon termination of agreement or at end of year, as appropriate. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 8 years, then destroy.</p> |
| 8. | <p><u>Legislative and Legal File.</u> Includes documentation related to the legislative and legal activities of the research and development programs. Records consist of correspondence and memoranda concerning laws and proposed bills, rules, standards, and regulations, hearings, reports to Congress, legal decisions, opinions and other related records.</p> <p>a. <u>Office Files.</u></p> | <p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 8 years, then destroy.</p> |

TN

PAGE NUMBER

 C
 PAR

DATE

EPA FORM 1315-1C (5-71)

MANUAL

RECORDS MANAGEMENT

CHAPTER NUMBER
APPENDIX C
CHAPTER TITLE

RECORDS CONTROL SCHEDULES
HEADQUARTERS RECORDS

| Item | Name and Description of Record/File | Retention Period and Disposition |
|------|---|---|
| b. | <u>Other Copies.</u> | <u>Retention:</u> Retain 3 years. <u>Disposition:</u> Break file at end of year. Keep in office for 3 years, then destroy. |
| 9. | <u>Standards and Regulations Review and Comments File.</u> Includes reviews and comments on proposed rules generated by working groups in the various program offices of the Agency. Records consist of copies of the proposed standards, regulations, and guidelines, copies of clearance records, copies of comments by research and development program and staff offices, and other related records. | <u>Retention:</u> Retain 10 years. <u>Disposition:</u> Break file upon publication of final rule in Federal Register. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 9 years, then destroy. |
| 10. | <u>Program Management Files.</u> Includes documentation related to the management and administrative support activities of the several research and development programs. Documentation covers budget and finance; communications and records; grants, contracts, and interagency agreements; facilities management; management of technical publications and information; procurement; personnel management; and other management and administrative activities. Records consist of correspondence, memoranda, supporting documentation, reports, and other related records. | <u>Retention:</u> Retain 10 years. <u>Disposition:</u> Break file at end of year. |
| a. | <u>Official Files.</u> | <u>Retention:</u> Retain 10 years. <u>Disposition:</u> Break file at end of year. |

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| CHAPTER NUMBER APPENDIX C CHAPTER TITLE RECORDS CONTROL SCHEDULES HEADQUARTERS RECORDS | MANUAL RECORDS MANAGEMENT |
|--|--|

| Item | Name and Description of Record/File | Retention Period and Disposition |
|------|--|--|
| | <p>b. <u>Other Copies.</u></p> | <p>Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 8 years, then destroy.</p> <p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office. for 2 years, then transfer to the Federal Records Center. Keep in FRC for 3 years, then destroy. DESTROY when 5 years old or sooner if no longer needed.</p> |
| 11. | <p><u>Research Projects Case Files -- Grants, Contracts, and Inter-Agency Agreements.</u> Includes case files of all research projects conducted for EPA by outside contractors, grantees, or other Federal agencies. Grant files include proposals, applications, relevance reviews, decision memos, offer or award and modifications, funding orders, commitment notices, grant agreement, cost advisory reports, progress reports, and related correspondence. Contract files include procurement request, environmental reviews, "twelve point documents," impact statements, funding increments/modifications, correspondence, and other related records. Inter-agency agreement files include copy of agreement, project data sheets, correspondence, and reports.</p> | |

TN

PAGE NUMBER

PAR

DATE

EPA FORM 1315-1C (5-71)

CHAPTER NUMBER
APPENDIX C

CHAPTER TITLE

**RECORDS CONTROL SCHEDULES
HEADQUARTERS RECORDS****MANUAL****RECORDS MANAGEMENT**

| Item | Name and Description of Record/File | Retention Period and Disposition |
|------|--|---|
| a. | <u>Files Maintained by Project Officers.</u> In addition to contents listed above, files also include site visit and trip reports, telephone memos, and other records related to the day-to-day management of the research projects. | <u>Retention:</u> Retain 4 years. <u>Disposition:</u> Break file upon termination or closeout of the projects and resolution of any audit findings. Transfer all required documentation to the official file maintained by the grant or contracting office. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 3 years, then destroy. |
| b. | <u>Files Maintained by Headquarters Program Operations Staff.</u> Includes reference copies of research project case files, used by laboratory program management staff to monitor the status of all extramural projects and to provide administrative support for the project officers. | <u>Retention:</u> Retain 1 year. <u>Disposition:</u> Break file upon termination or closeout of the projects. Keep in office 1 year, then destroy. |
| c. | <u>Rejected Proposal Files.</u> Includes research project proposals that have not been awarded or funded. | <u>Retention:</u> Retain 1 year. <u>Disposition:</u> Break file upon rejection of proposals. Keep in office for 1 year, then destroy. |

TN

PAGE NUMBER

GPO
PAR

DATE

EPA FORM 1315-1C (5-71)

MANUAL

RECORDS MANAGEMENT

CHAPTER APPENDIX C

CHAPTER TITLE

RECORDS CONTROL SCHEDULES
HEADQUARTERS RECORDS

| Item | Name and Description of Record/File | Retention Period and Disposition |
|------|---|--|
| 12. | <p><u>Laboratory Activity Reports File.</u> Includes monthly or quarterly activity reports from the several environmental research laboratories and associated field stations to their responsible Headquarters program offices. These reports show program activity not reflected in the Accomplishment Plans. Records consist of the reports, and related correspondence or other supporting documentation.</p> | <p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 3 years, then destroy.</p> |
| 13. | <p><u>Strategic Environmental Assessment System (SEAS) File, 1972-1976.</u> A computer modeling or simulation system which manipulates economic and environmental data to generate forecasts on the impact of environmental quality levels on economic, sociological, energy and ecological conditions.</p> | <p><u>Retention:</u></p> <p>a. <u>Printed Research Reports.</u> Permanent. <i>15 years.</i></p> <p>b. <u>Computer Printouts.</u> Retain 5 years.</p> <p>c. <u>Tapes/Disks.</u> Retain current plus last 2 Tapes/Disks.</p> <p><u>Disposition:</u></p> <p>a. <u>Printed Research Reports.</u> Break file at end of year. Keep in office for 5 years, then transfer to the Federal Records Center. Keep in FRC for 10 years, then Offer to the National Archives. DESTROY.</p> <p>b. <u>Computer Printouts.</u> Break file every update cycle. Keep in office for 5 years, then destroy.</p> |

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| CHAPTER NUMBER APPENDIX C CHAPTER TITLE RECORDS CONTROL SCHEDULES HEADQUARTERS RECORDS | MANUAL RECORDS MANAGEMENT |
|--|--|

| Item | Name and Description of Record/File | Retention Period and Disposition |
|------|---|--|
| 14. | <u>Water Supply Laboratory Certification Program File.</u> Includes documentation used to develop evaluation procedures and quality assurance criteria for all laboratories analyzing public drinking water. Records consist of documentation related to developing a procedures manual for laboratory certification, comments on the certification procedures from states, other government agencies, and private groups, minutes of work group meetings, and other related records. | <p>c. <u>Tapes/Disks.</u> Break file after completion of reports. Keep in office until 3rd update cycle, then erase.</p> <p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Break file upon completion of project. Keep in office for 3 years, then destroy.</p> |
| 15. | <u>Speeches Files.</u> Includes copies of speeches delivered by research and development program officials. Also includes materials arranging the talk, drafts, correspondence and other related materials. | <p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 3 years, then destroy.</p> |
| 16. | <u>Environmental Research Topics Reference Files.</u> Includes subject files on topics being researched or proposed for research. Topics include various pollutants, sources, control strategies or monitoring techniques, such as photochemical oxidants, fluorocarbons, analytical standardization, and other subjects or topics. Records consist of copies of technical publications, reports, correspondence, and other related records. | <p><u>Retention:</u> As below.</p> <p><u>Disposition:</u> Review files in office annually. Keep records of continuing reference value, and destroy other materials.</p> |

MANUAL

RECORDS MANAGEMENT

CHAPTER C

CHAPTER TITLE
RECORDS CONTROL SCHEDULES
HEADQUARTERS RECORDS

| Item | Name and Description of Record/File | Retention Period and Disposition |
|------|---|---|
| 17. | <u>Conferences, Seminars, Associations, and Societies Files.</u> Includes records related to research and development staff member participation in professional associations, societies, and related groups. Records consist of conference literature, trip reports, meeting agendas, copies of papers presented, and other related records. | <u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then destroy. |
| 18. | <u>Environmental Impact Statements Review and Comment File.</u> Includes reference copies of reviews and comments on draft and final environmental impact statements prepared either in-house or by other agencies. | <u>Retention:</u> Retain 5 years. <u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 3 years, then destroy. |
| 19. | <u>Information and Publications File.</u> Includes copies of requests for technical publications and research reports produced or coordinated by the several research and development programs and laboratories. Records consist of letters requesting the materials and response letters or other records showing action taken on the request. | <u>Retention:</u> Retain 1 year. <u>Disposition:</u> Break file at end of year. Keep in office for 1 year, then destroy. |