

REQUEST FOR RECORDS DISPOSITION AUTHORITY
 (See Instructions on reverse)

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JOB NO **NC1 412 78 3**

DATE RECEIVED **1 FEB 1978**

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

MAR 24 1978

Date *ACTING* **James P. O'Neill**
 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 & Development

3. MINOR SUBDIVISION
Environmental Research Laboratories

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 5 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 11/3/78	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>for Thomas G. Jasko</i> Harold R. Masters	E. TITLE Chief, Administrative Management Branch Management & Organization Division
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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1-16	Description of records series and proposed retention and disposition instructions for items 1-16 are attached.		
<p><i>changes made with approval of David Stephens. 3/13/78 JBW</i></p>			

*sent to agency; NCW, all FRCs - 3/28/78
 NNB*

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED. NO.

TITLE OF SCHEDULE

COVERAGE OF SCHEDULE

1

RESEARCH AND DEVELOPMENT LABORATORY RECORDS

ENVIRONMENTAL RESEARCH LABORATORIES

ITEM NO.

NAME AND DESCRIPTION OF RECORD/FILE

RETENTION PERIOD AND DISPOSITION

1. Program Development Files. Includes records related to programs and policy development activities of the Environmental Research Laboratories. Records consist of correspondence related to the establishment of research and funding priorities and other documentation related to the general planning and management of the program.

a. Laboratory Director's Files.

Retention: ~~Permanent.~~ *20 years.*

Disposition: Break file at end of each fiscal year. Keep in office for 5 years, then transfer to the Federal Records Center (FRC). Keep in FRC for 15 years, then ~~offer to the National Archives when 20 years old.~~ *destroy.*

b. Files Maintained by Other Offices.

Retention: Retain 10 years.

Disposition: Break file at the end of each fiscal year. Keep in office for 5 years, then transfer to the FRC. Keep in FRC for 5 years, then destroy.

2. Objective Statements and Accomplishment Plans Files. Includes planning documents used to allocate the research priorities of the laboratories to specific projects, to list objectives, and to set forth work plans for accomplishing the objectives.

Retention: Retain 5 years.

Disposition: Break file at end of fiscal year. Keep in office for 5 years, then destroy.

3. Administrative and Management Files. Includes correspondence reports and other related records used in the general administrative functions of the Environmental Research Laboratories. Records consist of documents related to facilities management, personnel management, and other administrative activities. See also General Schedules in Appendix B of this Manual.

Retention: Retain 2 years.

Disposition: Break file at the end of each fiscal year. Keep in office 2 additional fiscal years, then destroy.

4. Research Projects Case Files--Grants, Contracts, and Interagency Agreements. 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 requests, 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.

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED. NO.

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TITLE OF SCHEDULE

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a. Files Maintained by Project Officers. 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.

Retention: Retain 5 years.

Disposition: Break file upon termination or closeout of the projects and resolution of any audit findings. Keep in office for 1 year, then 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 FRC. Keep in FRC for 3 years, then destroy.

b. Files Maintained by Laboratory Program Management Staff. 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.

Retention: Retain 4 years.

Disposition: Break file upon termination or closeout of the projects. Keep in office 1 year, then transfer to the FRC. Keep in FRC for 3 years, then destroy.

c. Rejected Proposal Files. Includes research project proposals that have not been awarded or funded.

Retention: Retain 3 years.

Disposition: Break file upon rejection of proposals. Keep in office for 3 years, then destroy.

5. Research Projects Case Files--Inhouse Projects. Includes case files of all research projects conducted by Agency personnel rather than by grant, contract, or interagency agreement. Documentation created in originating, planning, conducting, and reporting findings of studies, surveys, and tests on research projects concerning environmental topics.

a. Project Planning and Research Findings Files. Includes records related to the formulation and approval of the research plan, the selection of the research methodology, samples of forms, questionnaires, or other data collection media, copies of interim reports showing data tabulation results and interpretations, and copies of the final report.

Retention: Permanent.

Disposition: Break file upon completion of project. Keep in office 3 years, then transfer to the FRC. Keep in FRC for 20 years, then offer to the National Archives.

b. Project Workpapers and Administrative Correspondence. Includes all workpapers and administrative documentation created in the course of the project. Records consist of completed questionnaires or other documents used for data collection, drafts or copies of interim progress reports, and other workpapers created in the course of the study.

Retention: Retain 6 years.

Disposition: Break file upon completion of project. Keep in office for 3 years, then transfer to the FRC. Keep in FRC for 3 years, then destroy.

6. Laboratory Notebooks. Notebooks kept by scientists in the course of a research project containing technical data resulting from tests and experiments associated with the projects. These are notebooks that are not maintained as a part of the project case file.

Retention: Retain 5 years.

Disposition: Break file upon completion of project. Keep in office 5 years, then destroy.

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SCHED. NO.

TITLE OF SCHEDULE		COVERAGE OF SCHEDULE	SCHED. NO.
RESEARCH AND DEVELOPMENT LABORATORY RECORDS		ENVIRONMENTAL RESEARCH LABORATORIES	1
ITEM NO.	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION	
7.	<p><u>Source Data Files Relating to Inhouse Research Projects.</u> Includes data files, exclusive of records in the Inhouse Project Case Files or information in the Laboratory Notebooks, usually consisting of punch cards, magnetic tapes, or large volumes of survey questionnaires or recurring reports in paper format used in the collection and processing of raw data generated by experimental observations to arrive at conclusions or scientific determinations during the course of a research project.</p> <p>a. <u>Data Files of Continuing Research Value.</u> Files containing basic scientific data shown in sufficient detail that, if not documented in published reports in the Project Case File or Laboratory Notebooks, would be needed for continued research purposes.</p> <p>b. <u>Other Data Files</u> Files containing data determined by competent scientific or technical personnel either to be duplicated or sufficiently summarized in technical reports or elsewhere in the Project Case File or Laboratory Notebooks, or to be of such a routine, repetitive, or fragmentary nature that they would not be needed for continued research purposes.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file upon completion of research project. Keep in office for 3 years, then transfer to the FRC. Keep in FRC for 20 years, then offer to the National Archives.</p> <p><u>Retention:</u> As below.</p> <p><u>Disposition:</u> Destroy upon completion of research project or sooner if no longer needed for research purposes.</p>	
8.	<p><u>Technical Reference Files.</u> Includes printed and published scientific reference materials such as technical journals, printed technical reports, and other printed or published studies done by other government agencies, consulting firms, academic institutions and used as reference source material in the conduct of research projects. These materials are exclusive of the official technical reports generated by inhouse research projects or produced by contractors or grantees through the extramural process.</p>	<p><u>Retention:</u> As below.</p> <p><u>Disposition:</u> Keep in office until completion of research project, then transfer to the laboratory library, if appropriate. Otherwise, destroy when obsolete or superseded.</p>	
9.	<p><u>Research Project Logbooks or Index Records.</u> Includes lists, indexes, logbooks, or other records reflecting the status of individual research projects administered by the Environmental Research Laboratories.</p> <p>a. <u>Project Status Lists.</u></p> <p>b. <u>Project Logbooks.</u></p>	<p><u>Retention:</u> As below.</p> <p><u>Disposition:</u> Maintain current. Destroy when obsolete or superseded by new list.</p> <p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Keep in office for 2 years, then destroy.</p>	

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| <p>10. <u>Scientific Committee Files.</u> Includes documentation related to the operation of scientific or research oriented advisory and interagency committees and task forces. Records consist of meeting agendas, minutes of meetings, reports prepared by or for the committee, correspondence, and related records.</p> | <p><u>Retention:</u> As below.</p> <p><u>Disposition:</u> Destroy when superseded or obsolete, or upon termination of membership, whichever is earlier.</p> |
| <p>11. <u>Laboratory Activity Reports Files.</u> Includes monthly or quarterly activity reports from the laboratories and associated field stations to their responsible Headquarters program offices. Records consist of the reports and related correspondence or other supporting documentation.</p> | <p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 5 years, then destroy.</p> |
| <p>12. <u>Conferences, Seminars, Associations, and Societies Files.</u> Includes records related to laboratory staff member participation in professional associations, societies, and related groups,</p> | <p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then destroy.</p> |
| <p>13. <u>Environmental Research Topics Reference Files.</u> Includes general subject files on topics of research interest to scientific personnel in the laboratories. These materials are exclusive of the research project files. Topics include various pollution control strategies, monitoring techniques, pollution sources, or matters of concern to researchers. Records consist of copies of technical publications, reports, correspondence, or other related records.</p> | <p><u>Retention:</u> As below.</p> <p><u>Disposition:</u> Review files in office annually. Keep records of continuing reference value and destroy obsolete materials.</p> |
| <p>14. <u>Summary Research Projects Status Reports.</u> Reports submitted by project officers to laboratory management showing the status of their research projects.</p> | <p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Break file at end of fiscal year. Keep in office for 3 years, then destroy.</p> |
| <p>15. <u>Training Films, Video Tapes, and Related Production Documentation.</u> Includes motion picture films, slides, video tapes used as teaching aids, and related production documentation such as shot lists, scripts, catalogs, and other related materials.</p> | <p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file upon termination of course or teaching unit. Keep in office for 5 years or until no longer needed for administrative purposes, whichever occurs first, then destroy.</p> |
| <p>16. <u>Training Center Files.</u> Includes documentation concerning the planning, development, and conduct of training courses sponsored by training organizations affiliated with the laboratories.</p> <p>a. <u>Course Development Files.</u> Includes course script, outline, lesson plans, and course agenda. Also includes statistics on the number of attendees, etc.</p> | <p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file upon termination of a course. Keep in office for 2 years, then destroy.</p> |

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b. Student Records. Includes applications for enrollment, letters of acceptance, tuition waiver requests, and related records.

Retention: Retain 2 years.

Disposition: Break file at end of year. Keep in office for 2 years, then destroy.

c. Trainee Registration Record Cards. Card file arranged by course number, date, and student which services as a record of those who receive training.

Retention: Retain 10 years.

Disposition: Break file at end of fiscal year. Keep in office 4 years, then transfer to FRC. Keep in FRC for 6 years, then destroy.

d. Records Concerning the Sale of Course Packages and Duplicate Audiovisual Materials. Includes records relating to the sale of audiovisual duplicates, course packages, and other related training materials.

Retention: Retain 3 years.

Disposition: Break file at end of fiscal year. Keep in office 3 years, then destroy.

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