

REQUEST FOR RECORD DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK	
JOB NO	NG1-412-83-2
DATE RECEIVED	1-7-83
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
4-12-83 <i>Date</i>	<i>Robert H. Mans</i> <i>Archivist of the United States</i>

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 General Counsel

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER
Thomas Tasker

5 TEL EXT
382-5911

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 2 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 1/4/83	D SIGNATURE OF AGENCY REPRESENTATIVE <i>Thomas Tasker</i> Thomas Tasker for Hal Masters	E TITLE Agency Records Management Officer
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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
	The Office of General Counsel Records Control Schedule is being amended to:		
9.	1. Revise item 9, Patent Copyright and Data Rights and Interpretations to provide a more accurate descriptions of these records.	Appendix Schedule	C 4
10.	2. Revise item 10, Disclosure of Inventions made under Grants, Contracts and by EPA Employees to provide a more accurate description of these records.	"	
12.	3. Add a new item 12, Freedom of Information Appeals File. This series of records contains records relating to appeals for information from the Agency pursuant to the Freedom of Information Act.	"	
	Attached is a copy of the EPA Records Control Schedule for the three series of records. <i>Change made with approval of records officer</i> <i>4/7/83</i> <i>Mass data change sheet not required</i>		<i>3 items</i>

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED NO

TITLE OF SCHEDULE

GENERAL COUNSEL RECORDS

COVERAGE OF SCHEDULE

APPLICABLE HEADQUARTERS OFFICE

ITEM NO

NAME AND DESCRIPTION OF RECORD/FILE

RETENTION PERIOD AND DISPOSITION

9. Patent Copyright and Data Rights and Interpretations. Consists of documents pertaining to patent, copyright and data rights under contracts, grants and cooperative agreements awarded by EPA. Also, involves right of EPA to use patented inventions and copyrighted material. Documents include copies of contracts, grants, and other awards, requests for proposals, disclosures of inventions, affidavits, waivers, and internal and external correspondence between contractors, etc., and EPA regarding negotiations on invention, data and copyright matters, including waiver of rights decisions. Also, includes documents regarding licensing of EPA inventions.

Retention: Retain 15 years after completion or termination of contract, grant or cooperative agreement or last action taken regarding the matter involved if no contract, grant or like is involved.

Disposition: Break file upon the completion or termination of contract, grant or cooperative agreement. Keep in office 3 additional years, then send to FRC. Destroy when 15 years old.

10. Disclosure of Inventions Made Under Grants, Contracts and by EPA Employees. Consists of documents disclosing inventions made by contractors, grantees and recipients of other types of EPA awards, and EPA employees. File consists of patent applications, correspondence with U.S. Patent and Trademark Office (PTO) and with inventors and other documents related to prosecution of patent applications in the PTO. Also, lists and copies of issued EPA owned U.S. patents.

Retention: Retain 17 years after completion or termination of action on the disclosed invention. For example, issuance of patent or closeout of case without filing patent application.

Disposition: Break file on issuance of patent or closure of case without filing patent application or abandonment of filed patent application. Keep in office 3 additional years, then send to FRC. Destroy when 17 years old.

12. Freedom of Information Appeals File. Includes copies of incoming appeal (or in the case of a request for information claimed confidential, the request and denial) of the denial of information requested pursuant to the Freedom of Information Act, official legal determination and other related records.

Retention: Retain 5 years.

Disposition: Break file at the end of each calendar year. Keep in office 1 additional year, then send to FRC. Destroy when 5 years old.

Same as GRS 14, 17a.

Destroy 4 yrs after final ~~adjudication~~ determination by agency or 3 yrs after final adjudication by courts, whichever is later.

RECORDS MANAGEMENT MANUAL

NC 174-255

APPENDIX C

NC 174-255

C-4-4

TN-28
11/13/78

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES		SCHED. NO
TITLE OF SCHEDULE		4
GENERAL COUNSEL RECORDS		
ITEM NO.	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
	(2) Contains documents pertaining to EPA attempts to restrict pollution through the use of the Refuse Act. Records in file consist of such items as checklist in support of water pollution actions, summary fact sheets, summary of action of review committee, and notices of referral of cases to Justice Department.	<u>Retention:</u> Retain 10 years after completion of case. <u>Disposition:</u> Break file upon completion of case. Keep in office 1 additional year, then send to FRC. Keep in FRC for 9 years, then destroy.
	e. <u>Other.</u> File contains documents and data relating to regulations not included in the acts described above, and interpretations and implementation of the regulations. Such data are presented in the form of memos, reports, newspaper and magazine articles, and correspondence. Subjects consist of meetings and agenda for meetings and notices of changes in the regulations.	<u>Retention:</u> Retain 25 years. <u>Disposition:</u> Break file at the end of 5 years. Keep in office 1 additional year, then send to FRC. Keep in FRC for 24 years, then destroy.
8.	<u>Contract and Grant File.</u>	
	a. <u>State.</u> Contains documents pertaining to grants and contracts such as proposals, monitoring work, statistical sampling techniques, mining and milling, legislative program, international joint commission, fishery services, sea water quality criteria, and industrial waste studies (by name of industry). Included are copies of State antipollution acts, guideline for obtaining grants, comments from Congressmen, review of proposed grants, copies of contracts, agreements, requests for proposals, procurement requests, and purchase orders.	<u>Retention:</u> Retain 10 years after completion or termination of contract or grant. <u>Disposition:</u> Break file upon the completion of the contract or grant. Keep in office 1 additional year, then send to FRC. Keep in FRC for 9 years, then destroy.
	b. <u>Commercial and Institutional Contract and Grant File.</u> Consists of contracts and grants proposed by or negotiated with commercial or industrial groups or institutions such as colleges or hospitals. Records consist of proposals, contracts, reviews, comments, requests for proposals, procurement requests, purchase orders, and congressional inquiries	<u>Retention:</u> Retain 10 years after completion of contract or grant. <u>Disposition:</u> Break file upon the completion of the contract or grant. Keep in office 1 additional year, then send to FRC. Keep in FRC for 9 years, then destroy.
9.	<u>Patent Developments and Interpretations.</u> Consists of documents pertaining to patent rights on contracts and grants awarded by EPA. Documents consist of copies of the contracts, grants, invitations to bids, disclosures of inventions, affidavits, patent statements, waivers, and internal and external correspondence between contractors and EPA developing the grounds for understanding licensing agreements.	<u>Retention:</u> Retain 15 years after completion or termination of contract or grant. <u>Disposition:</u> Break file upon the completion or termination of contract or grant. Keep in office 3 additional years, then send to FRC. Keep in FRC for 12 years, then destroy.
10	<u>Disclosure of Inventions Made Under Grants, Contracts, and by EPA Employees.</u> Consists of documents disclosing inventions made by contractors, grantees, and EPA employees. File consists of patent applications, correspondence with patent office and inventors, power of attorney, invention disclosures, notices of reference citations, and lists of foreign patents.	<u>Retention:</u> Retain 17 years after completion or termination of project or program. <u>Disposition:</u> Break file upon completion or termination of project or program. Keep in office 3 additional years, then send to FRC. Keep in FRC for 14 years, then destroy.

RECORDS MANAGEMENT MANUAL