

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK	
TO: GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO NC 1-412-85-15	DATE RECEIVED 3-6-85
1. FROM (Agency or establishment) Environmental Protection Agency		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Office of Air Quality Planning and Standards		In accordance with the provisions of 44 USC 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Harold Webster Thomas Tasker	5. TELEPHONE EXT. 382-5912 382-5911	DATE 1-27-86	ARCHIVIST OF THE UNITED STATES <i>Stanford A. Brink</i>
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 6 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A GAO concurrence is attached, or is unnecessary.

B DATE 3/4/85	C SIGNATURE OF AGENCY REPRESENTATIVE <i>Thomas Tasker</i> Thomas Tasker	D TITLE Agency Records Management Officer
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7 ITEM NO	8 DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN <i>(NARS USE ONLY)</i>
1 - 10	<p>The Office of Air Quality Planning and Standards Records Control Schedule is being revised to make it consistent with the Program's current operations. The revision of this Schedule is part of a major review and update of the EPA Records Control Schedules.</p> <p>Attached is a copy of the revised Air Quality Planning and Standards Records Control Schedule.</p> <p>All changes to this proposed schedule have been approved by:</p> <p><i>Carmelita S. Ryan</i> <u>10/8/85</u> <i>Harold Webster</i> <u>10/9/85</u> NARA appraiser Date Agency representative Date</p> <p style="text-align: center;"><i>and NC</i></p>	Appendix C Schedule 14	

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED NO

TITLE OF SCHEDULE

COVERAGE OF SCHEDULE

AIR QUALITY PLANNING AND STANDARDS RECORDS

APPLICABLE HEADQUARTERS OFFICE

ITEM NO

NAME AND DESCRIPTION OF RECORD/FILE

RETENTION PERIOD AND DISPOSITION

1. Program Management Files. Correspondence, reports, forms and other records pertaining to the planning, administration, and management of EPA program activities. These files also include program planning documentation which establishes or outlines short-, mid-, and long-range program objectives for Air Quality Planning and Standards units such as annual plans, five year plans, mid-year review, project milestones and schedules, Environmental Research Objectives Statements, Research Objective achievement Plans, and similar planning documents.

a. Program Planning Files. Generated and maintained by Administration Directors; Deputy Directors, and Staff Directors. These files document program planning, administration, and management functions.

1. Office Director's Files.

Retention: Permanent.

Disposition: Break file at close of fiscal year. Keep in office for 2 years, then transfer to the FRC. Keep in FRC for 8 years, then offer to the National Archives in 5 year blocks.

2. Other Files.

Retention: Retain 10 years.

Disposition: Break file at close of fiscal year. Keep in office for 2 years, then transfer to the FRC. Keep in FRC for 8 years, then destroy.

b. Program Correspondence Files. Generated and maintained by office, branch, and section chiefs.

1. Office Director's Files.

Retention: Permanent.

Disposition: Break file at close of fiscal year. Keep in office for 2 years, then transfer to the FRC. Keep in FRC for 8 years, then offer to the National Archives in 5 year blocks.

2. Other Files.

Retention: Retain 2 years.

Disposition: Break file at close of fiscal year. Keep in office for 2 years, then transfer to the FRC. Keep in FRC for 2 years, then destroy.

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

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AIR QUALITY PLANNING AND STANDARDS RECORDS

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2. State Implementation Plans. Submission, progress, and status of clean air plans enacted into law by states and territories and submitted to EPA for review, comment and approval. Note: These files are the official record of OAQPS review of SIPs rather than official file containing all approved SIPs.
3. Air Quality Contractor/Grant Project Files. These files relate to projects conducted by contractors/grantees for the investigation, study, review, testing, analysis, evaluation, description, recommendation, and publication of new or improved approaches, techniques, devices, equipment, methods, procedures, systems, strategies, and controls or which lead to the presentation of new information, ideas, insights, concepts, or theories concerning various air pollution topics. Maintained by project offices or officers.
- a. Project Case File. Case papers reflect a complete history of each project from initiation through research, planning, design, and testing to completion. Included is a copy of each contract, grant, or interagency agreement associated with the project including related modifications, amendments, changes, or addendums; project specifications and drawings; project test and evaluation documents; project meetings papers; technical progress or test reports including a final report; and related comments and correspondence.

- Retention:
- a. Record Copy. Keep current in office.
- b. Revised or Superseded Copies. Retain 15 years.
- Disposition:
- a. Record Copy. Break file when plans are revised or superseded.
- b. Revised or Superseded Copies. Break file at end of 2 years, then transfer to the FRC. Destroy when 15 years old.

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED NO

TITLE OF SCHEDULE		COVERAGE OF SCHEDULE
AIR QUALITY PLANNING AND STANDARD RECORDS		APPLICABLE HEADQUARTERS OFFICE
ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
	1. <u>Final Reports.</u>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Cut off long-term projects at close of fiscal year, and short-term projects at close of fiscal year in which projects are completed. Keep in office 2 years, then transfer to the FRC. Keep in FRC for 6 years, then offer to the National Archives in 5 year blocks.</p>
	2. <u>Other Project Records.</u>	<p><u>Retention:</u> Retain 8 years.</p> <p><u>Disposition:</u> Cut off long-term projects at close of fiscal year, and short-term projects at close of fiscal year in which projects are completed. Keep in office 2 years, then transfer to the FRC. Keep in FRC for 6 years, then destroy.</p>
	<p>b. <u>Project Workpapers.</u> Includes completed questionnaires and letter responses; listings and tabulations, copies of documents contained in project case files; preliminary or intermediate source data used for analysis and reference; correspondence concerning such administrative matters as travel, transportation, and transmittal of documents; and other workpapers used in the course of the study which are not appropriate for permanent retention because they have neither evidential nor informational long-term value.</p>	<p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Cut off long-term projects at close of fiscal year and cut off short-term projects at close of fiscal year in which project is completed. Keep in office 3 years, then destroy.</p>
4.	<p><u>Air Quality In-House Project Files.</u> Documents created in originating, planning, conducting, and reporting findings of studies, surveys, and tests regarding research projects on air pollution topics.</p> <p>a. <u>Study or Survey Case File.</u> Includes documentation of formulation and approval of the study plan, methods used, and evaluation statements; may include documents proposing or describing the study plan and its purpose; test methodology, calculations; plant visits, trip reports, samples of approved forms/questionnaires used in data collection; copies of interim and final reports; documentation of clearance and approval, release of report, and related comments and correspondence.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Cut off long-term project at close of fiscal year, and short-term projects at close of fiscal year in which project is completed. Keep in office 2 years, then transfer to FRC. Keep in FRC for 6 years, then offer to the National Archives in 5 year blocks.</p>

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SCHED NO

TITLE OF SCHEDULE		COVERAGE OF SCHEDULE
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ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
	<p>b. <u>Workpapers and Completed Questionnaires.</u> Includes completed questionnaires and letter responses, listing and tabulations, documents accumulated in analyzing data, drafts, and modifications to final report and other workpapers used in the course of the study.</p>	<p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Cut off long-term projects at close of fiscal year, and short-term projects at close of fiscal year in which the project is completed. Destroy 3 years after publication or release of related study or survey.</p>
5.	<p><u>Regulations, Standards, and Guidelines.</u></p> <p>a. <u>Essential Documents.</u> Consist of technical and economic background documents; hearing transcripts; and publications of standards and regulations.</p> <p>b. <u>Other Documents.</u> Included are work group organizational requests; agendas and minutes of meetings; technical assistance contracts and reports; internal papers and memorandums; agency and published comments; and similar records.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file upon publication of final rule in the Federal Register. Keep in office and review documents every 4 years. Documents not used in the standard will be transferred to the FRC. Keep in FRC for 20 years, then offer to the National Archives in 5 year blocks.</p> <p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file upon publication as final rule in the Federal Register. Keep in office for 3 years, then transfer to the FRC. Keep in FRC for 7 years, then destroy.</p>
6.	<p><u>Training Course Materials.</u> These files consist of documents accumulated in planning, preparing, writing, arranging, conducting and following up on Air Pollution Training Institute technical training.</p> <p>a. <u>Training Course Plans.</u> Includes the course script, course outline, course description, course content, lesson plans, and course agenda.</p> <p>b. <u>Training Course Notebooks.</u> Includes nominations for training, tuition waiver requests, applications for enrollment, letters of acceptance, list of class enrollees, student evaluation of course, final tests, and letters to speakers and discussion leaders.</p>	<p><u>Retention:</u> Retain 8 years.</p> <p><u>Disposition:</u> Break file at close of fiscal year in which course is last offered. Keep in office 2 years, then transfer to FRC. Keep in FRC for 6 years, then destroy.</p> <p><u>Retention:</u> Retain 8 years.</p> <p><u>Disposition:</u> Break file at close of fiscal year. Keep in office 2 years, then transfer to FRC. Keep in FRC for 6 years, then destroy.</p>

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHEM NO

TITLE OF SCHEDULE		COVERAGE OF SCHEDULE
AIR QUALITY PLANNING AND STANDARDS RECORDS		APPLICABLE HEADQUARTERS OFFICE:
ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
7.	Trainee Registration Record File. Card file arranged by course number, date, and student which serves as a record of those who received APTI training. Record is maintained on Trainee Registration card (NAPCA 94) at the Air Pollution Training Institute.	Retention: Retain 10 years. Disposition: Break file at close of fiscal year. Keep in office 4 years, then transfer to IRC. Keep in IRC for 6 years, then destroy.
8.	Congressional Correspondence Files. Correspondence, memoranda, reports, and other papers accumulated in the course of preparing replies to Congressional inquiries.	Retention: Retain 6 years. Disposition: Break file at close of fiscal year. Keep in office 2 years, then transfer to IRC. Keep in IRC for 4 years, then destroy.
9.	Speeches by Office Director or Staff. Speeches prepared for delivery at civic functions and professional conferences and meetings.	Retention: a. Record Copy. Permanent. b. Information Copies. Retain 1 year. Disposition: a. Record Copy. Break file after presentation: Keep in office 5 years, then transfer to the IRC. Keep in IRC 5 years, then offer to the National Archives in 5 year blocks. b. Information Copies. Destroy when 1 year old or sooner if no longer needed.
10.	Freedom of Information Response File. Includes copies of incoming requests for information under the Freedom of Information Act, copies of replies, and copies of any interagency memoranda concerning the request. Note: this file does not contain the Program's official record of information being requested.	Retention: Retain ² X years. Disposition: Break file at end of year. Keep in office current plus 1 additional year, then transfer to the IRC. Destroy when ² X years old.

Atch to SF 115 (Revised Item Numbers compared to previous Item Numbers,
Schedule Number, and NARS Job Number)

Title Of Schedule: Air Quality Planning and Standards Records

<u>REVISED</u> <u>Item Numbers</u>	<u>Item No.</u>	<u>PREVIOUS</u> <u>Schedule No.</u>	<u>NARS Job No.</u>
1.	1.	C-14	NCI-412-76-16
2.	3.		
3.	4.		
4.	5.		
5.	6.		
6.	8.		
7.	9.		
8.	10.		
9. (New)			
10. (New)			

Atch to SF 115 (Info for "PERMANENT" retention records)

Title Of Schedule: Air Quality Planning and Standards Records

<u>Item No.</u>	<u>Volume On Hand</u>	<u>Growth Per Year</u>	<u>Arrangement Of Files</u>
9 _a	½ Cu.Ft.	½ Cu.Ft.	Chronological