

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 NC1-412-85-22	DATE RECEIVED 4-4-85
1 FROM (Agency or establishment) Environmental Protection Agency		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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
2 MAJOR SUBDIVISION Office of Research And Development			
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER Harold E. Webster Thomas Tasker	5 TELEPHONE EXT 382-5912 382-5911	DATE 8-26-87	ARCHIVIST OF THE UNITED STATES <i>Frank S. Bunker</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 12 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 4/1/85	C SIGNATURE OF AGENCY REPRESENTATIVE Thomas Tasker <i>Thomas Tasker</i>	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	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN 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 - 25	The Office of Research And Development Records Control Schedules 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. Attached is a copy of the revised Research And Development Records Control Schedule.	Appendix C Schedule 19	

copies to agency, NCF, NNS, NNF, DWood

12 items

8-28-87 TRT

U.S. ENVIRONMENTAL PROTECTION AGENCY--RECORDS CONTROL SCHEDULES

SCHED NO

TITLE OF SCHEDULE RESEARCH AND DEVELOPMENT RECORDS	COVERAGE OF SCHEDULE APPLICABLE HEADQUARTERS OFFICE	
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ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
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1. Environmental Process and Effects Research Program Files.
Includes documentation related to the Agency research programs concerning air, water, pesticides, hazardous wastes, toxic substances and energy. Documentation relates to research conducted on developing scientific and technological methods and data to understand, predict and manage the entry, movement and fate of pollutants into the environment and food chain and their effects on terrestrial and aquatic organisms ecosystems. Records consist of correspondence, memoranda and all supporting documentation.

a. Official Files.

B. Other Copies.

2. Environmental Engineering and Technology Program Files.
Includes documentation related to the energy and industry research programs of the Agency. Major files categories include energy systems, energy control and conservation, laboratory coordination activities. Records consist of correspondence, memoranda, and all supporting attachments.

a. Official Files.

b. Other Copies.

Retention: Permanent.

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

Retention: Retain 5 years.

Disposition: Break file at end of year. Keep in office, destroy when 5 years old or sooner if no longer needed.

Retention: Permanent.

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

Retention: Retain 5 years

Disposition: Break file at end of year. Keep in office, destroy when 5 years old or sooner if no longer needed.

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED NO

TITLE OF SCHEDULE

COVERAGE OF SCHEDULE

RESEARCH AND DEVELOPMENT RECORDS

APPLICABLE HEADQUARTERS OFFICE

ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
3.	<p><u>Acid Deposition, Environmental Monitoring, and Quality Assurance Program Files.</u> Includes documentation related to the Agency research programs concerning acid deposition, atmospheric processes, environmental monitoring, analytical measurement techniques, quality assurance, dissemination of scientific and technical information, and related areas. Major files categories include air monitoring research, acid deposition, 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>a. <u>Other Copies.</u></p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then transfer to the FRC. Keep in FRC for 8 years, then offer to the National Archives.</p> <p><u>Retention:</u> Retain 5 years,</p> <p><u>Disposition:</u> Break file at end of the year. Keep in office, destroy when 5 years old or sooner if no longer needed.</p>
4.	<p><u>Health Research Program Files.</u> Includes documentation related to the Agency research programs concerning the health effects of various pollution categories and sources. Documentation covers research programs on air, water, pesticides, radiation, toxic substances, noise, and multimedia health and ecological effects. 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><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 8 years, then transfer to the FRC. Keep in FRC for 8 years, then offer to the National Archives.</p> <p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office, destroy when 5 years old or sooner if no longer needed.</p>

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULE

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5. Health and Environmental Assessment Program Files.
Includes documentation related to the development of health, risk, and exposure assessments; risk assessment guidelines; and air and water quality criteria documents used in assessing the risk of exposure to hazardous pollutants. Assessment and criteria documents support regulatory and enforcement decisions under the several acts governing EPA (e.g., Clean Air Act; Clean Water Act; Safe Drinking Water Act; Superfund Act; Resource Conservation and Recovery Act; Federal Insecticide, Fungicide, and Rodenticide Act; and Toxic Substances Control Act). Documentation relates to the health and environmental effects of exposure to various chemical substances including carcinogenic, mutagenic, teratogenic, reproductive, and other chronic effects. Records consist of program office requests; scientific and technical evaluations; unit risk calculations and other data compilations related to scientific assessments; references, studies, and other literature search materials; document drafts; clearance records; peer review comments by expert scientists and EPA reviewers; public comments; EPA Science Advisory Board and Scientific Advisory Panel reviews, meeting transcripts, and closure letters; EPA staff and issue papers; published scientific reports, articles, and papers; expert witness testimony and hearing transcripts; and other related records and supporting documents.

a. Official Files.

b. Other Files. Records that contain Confidential Business Information (CBI) or other sensitive material will be handled according to the EPA Records Management Manual and the various other EPA manuals governing the protection of these materials.

Retention: Permanent.

Disposition: Keep in office 10 years after file is closed. Transfer to FRC for 20 years. Offer to National Archives when files are 30 years old in 5 year blocks.

Retention: Destroy when no longer needed.

RECORDS MANAGEMENT MANUAL

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- 6. Controlled and Major Correspondence of the Assistant Administrator or Deputy, Office of Research and Development. Includes copies of controlled and major correspondence signed by the Assistant Administrator or Deputy. The correspondence significantly documents the program activities and was processed under special handling control procedures because of the importance of the letters or time requirements of replies.
- 7. Research Program Management Files. Includes documentation related to ORD budget, program planning/review/integration coordination, technical information transfer, resource management, policy development, and administrative operations.
 - a. Official Files.
 - b. Other Copies.
- 8. Legislative and Legal File. 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, regulations, hearings, reports to congress, legal decisions, opinions, and other related records.
 - a. Official Files.

Retention: Permanent.

Disposition: Break file at end of year. Keep in office current plus 1 additional year, then transfer to the FRC. Keep in FRC for 10 years, then offer to the National Archives in 5 year blocks.

Retention: Permanent.

Disposition: Break file at end of 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.

Retention: Retain 5 years.

Disposition: Break file at end of year. Keep in office, destroy when 5 years old or sooner if no longer needed.

Retention: Retain 10 years.

Disposition: Break file at end of year in which activity terminates. Keep in office for 2 years, then transfer to the FRC. Destroy when 10 years old.

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULE

SCHED NO

TITLE OF SCHEDULE		COVERAGE OF SCHEDULE
RESEARCH AND DEVELOPMENT RECORDS		APPLICABLE HEADQUARTERS OFFICE
ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
	b. <u>Other Copies.</u>	<p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Break file at end of year in which activity terminates. Keep in office for 3 years, then destroy.</p>
9.	<p><u>Standards and Regulations Review and Comments Files.</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, guidelines, copies of clearance records, copies of comments by research and development program and staff offices, and other related records.</p>	<p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file upon publication of final rule in Federal Register. Keep in office 1 year, then transfer to the FRC. Destroy when 10 years old.</p>
10.	<p><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.</p> <p>a. <u>Official Files.</u></p> <p>b. <u>Other Copies.</u></p>	<p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file at end of year in which activity terminates. Keep in office 2 years, then transfer to the FRC. Destroy when 10 years old.</p> <p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file at end of year in which activity terminates. Keep in office, destroy when 5 years old or sooner if no longer needed.</p>

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULE

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11. Research Project Case Files--Grants, Contracts, Cooperative and Inter-Agency 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 request, environmental reviews, "procurement request rationale checklist," impact statements, funding increments/modifications, correspondence, and other related records. Cooperative and Interagency agreement files include copy of agreement, project summary sheets, correspondence, vouchers and reports.

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 project.

b. Files Maintained by Headquarters Program Operations Office. 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.

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

Retention: Retain 4 years.

Disposition: 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 6 months, then transfer to the FRC. Destroy when 4 years old.

Retention: Retain 1 year.

Disposition: Break file upon termination or closeout of the projects. Keep in office 1 year, then destroy.

Retention: Retain 1 year.

Disposition: Break file upon rejection of proposals. Keep in office for 1 year, then destroy.

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12.	<p><u>Laboratory Activity Report 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 Planned Program Accomplishments and Project Descriptions. Records consist of the reports, 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 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> <ul style="list-style-type: none"> a. <u>Printed Research Reports.</u> Retain 15 years. b. <u>Computer Printouts.</u> Retain 5 years. c. <u>Tapes/Disks.</u> Retain current plus last 2 tape disks. <p><u>Disposition:</u></p> <ul style="list-style-type: none"> a. <u>Printed Research Reports.</u> Break file at end of year. Keep in office for 5 years, then transfer to the FRC. Destroy when 15 years old. b. <u>Computer Printouts.</u> Break file every update cycle. Keep in office for 5 years, then destroy. c. <u>Tapes/Disks.</u> Break file after completion of reports. Keep in office until 3rd update cycle, then erase.
14.	<p><u>Water Supply Laboratory Certification Program File.</u> Includes documentation used to develop evaluation procedures and quality assurance criteria for all laboratory analyzing public drinking water. Records consist of documentation related to developing a procedures manual for laboratory certification, comments on the certification procedures for states, other government agencies, and private groups, minutes of work group meetings, and other related records.</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>

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15.	Speeches by Office Director or Staff. Speeches prepared for delivery at civic functions and professional conferences and meetings.	<p><u>Retention:</u></p> <p>a. <u>Record Copy.</u> Permanent.</p> <p>b. <u>Information Copies.</u> Retain 1 year.</p> <p><u>Disposition:</u></p> <p>a. <u>Record Copy.</u> Break file annually. Keep in office 5 years, then transfer to the FRC. Keep in FRC for 5 years, then offer to the National Archives in 5 year blocks.</p> <p>b. <u>Information Copies.</u> Destroy when 1 year old or sooner if no longer needed.</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>
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.	<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>
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.	<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 FRC. Destroy when 5 years old.</p>

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U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULE

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19.	<u>Information and Publication Files.</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, 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.
20.	<u>General Correspondence Files.</u> These are chronologically arranged file copies of letters and memoranda signed by the ORD Assistant Administrator or his deputy. The complete documentation on individual transactions is maintained in the official files of the appropriate ORD action officer.	<u>Retention:</u> Retain 5 years. <u>Disposition:</u> Break file annually. Retain in office 5 years, then destroy.
21.	<u>Office of Research and Development Information System.</u> This automated system contains ORD research project descriptions, program documentation and detailed budgetary information on all ORD projects undertaken throughout the Agency. Also included are planned program accomplishments (PPA) descriptions over and above the projects. The information contained on the system is useful for management not only during the budgetary year but provides some trend analysis, etc.	<u>Retention:</u> As below. <u>Disposition:</u> Destroy information when research project is closed administrative purposes have been met.
22.	<u>Correspondence Control File.</u> Copies of correspondence maintained by the Correspondence Unit in the ORD Assistant Administrator's Office used primarily for reference and to control responses on incoming correspondence. This file duplicates in part the official files maintained in the ORD operating offices responsible for the actions taken, but is arranged alphabetically by office rather than by the related subject area.	<u>Retention:</u> Retain 5 years. <u>Disposition:</u> Break file annually. Retain in office for 5 years then destroy.
23.	<u>Freedom of Information Responses File.</u> 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.	<u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file at end of year. Keep in office current plus 1 additional year, then transfer to the FRC. Destroy when 2 years old.

RECORDS MANAGEMENT MANUAL

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24.	<p><u>Planned Program Accomplishments, Project Descriptions and Output Plans.</u> Includes planning documents used to allocate resources to the research laboratories and Headquarters offices, to list objectives and key outputs and to set forth plans for accomplishing the objectives and outputs.</p> <p>a. <u>Official Files.</u></p> <p>b. <u>Other Copies.</u></p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 5 years, then transfer to the FRC. Keep in the FRC for 10 years, then offer to the National Archives.</p> <p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file at end of fiscal year. Keep in office for 5 years, then destroy.</p>
25.	<p><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.</p> <p>a. <u>Official Copies.</u> (Records arranged alphabetically by name of program, organization, or agreement.)</p> <p>b. <u>Other Copies.</u></p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file upon termination of agreement or at end of year in which agreement. Keep in office for 2 years, then transfer to the FRC. Keep in FRC for 20 years, then offer to the National Archives.</p> <p><u>Retention:</u> Retain 5 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 FRC. Destroy when 5 years old.</p>

RECORDS MANAGEMENT MANUAL

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

Title Of Schedule: Research And Development Records

<u>Item No.</u>	<u>Volume On Hand</u>	<u>Growth Per Year</u>	<u>Arrangement Of Files</u>
5.a.	65	10	Alphabetical
6.	3	1	Numerical
7.a.	5	2	Subject
15.	$\frac{1}{2}$	$\frac{1}{4}$	Chronological