

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

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

JOB NO
NCL-412-85-23

DATE RECEIVED
4-4-85

1 FROM (Agency or establishment)
Environmental Protection Agency

NOTIFICATION TO AGENCY

2 MAJOR SUBDIVISION
Office of Research And Development (Laboratories)

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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER
Harold Webster
Thomas Tasker

5 TELEPHONE EXT
382-5912
382-5911

DATE
8-26-87

ARCHIVIST OF THE UNITED STATES
Frank R. Bunker

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	C SIGNATURE OF AGENCY REPRESENTATIVE	D TITLE
4/1/85	Thomas Tasker <i>Thomas Tasker</i>	Agency Records Management Officer

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARS USE ONLY)
1 - 15	<p>The Office of Research And Development Laboratory Records Control Schedules is being revised to make them 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 Research And Development Laboratory Records Control Schedule.</p> <p>All changes to this proposed schedule have been approved by:</p> <div style="display: flex; justify-content: space-around; align-items: flex-end;"> <div style="text-align: center;"> <p><i>Richard A. Miller</i> _____ NARA Appraiser</p> <p>8/10/87 Date</p> </div> <div style="text-align: center;"> <p><i>Harold E. Webster</i> _____ Agency Representative</p> <p>8/10/87 Date</p> </div> </div>	Appendix E Schedule 1	

copies to agency, NCF, NCF, DWood
8-28-87
TRE

12 items

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED. NO

TITLE OF SCHEDULE		COVERAGE OF SCHEDULE
RESEARCH AND DEVELOPMENT LABORATORY RECORDS		ENVIRONMENTAL RESEARCH LABORATORIES
ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
1.	<p><u>Program Development Files.</u> 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.</p> <p>a. <u>Laboratory Directors Files.</u></p> <p>b. <u>Files Maintained by other Offices.</u></p>	<p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file at the end of each fiscal year. Keep in office for 5 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 each fiscal year. Keep in office for 1 year, then transfer to the FRC. Destroy when 5 years old.</p>
2.	<p><u>Decision Units and Planned Program.</u> 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.</p>	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file at the end of fiscal year. Keep in office for 5 years, then destroy.</p>
3.	<p><u>Administrative and Management Files.</u> 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, training and other administrative activities.</p>	<p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file at end of fiscal year. Keep in office 2 additional fiscal years, then destroy.</p>
4.	<p><u>Research Projects Case Files--Grants, Contracts, and Interagency 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 requests, environmental reviews "procurement request rationale</p>	

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED NO

TITLE OF SCHEDULE		COVERAGE OF SCHEDULE
RESEARCH AND DEVELOPMENT LABORATORY RECORDS		ENVIRONMENTAL RESEARCH LABORATORIES
ITEM NO.	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
	<p>checklist," impact statements, funding incremental modifications, correspondence and other related records. Cooperative and interagency agreement files include copy of agreement, project summary sheets, correspondence, vouchers and reports.</p> <p>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.</p> <p>b. <u>Files Maintained by Laboratory Program Management 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.</p> <p>c. <u>Rejected Proposal Files.</u> Includes research project proposals that have not been awarded or funded.</p>	<p><u>Retention:</u> As below, a and b.</p> <p><u>Disposition:</u> Break file upon termination or closeout of the projects and resolution of any audit findings, then transfer all documentation to the ORD assistance coordinator in the laboratory Program Management staff for inclusion of unduplicated material in that offices file.</p> <p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file upon termination or closeout of the projects. Merge unduplicated material from P.O. files (a. above). Keep in office 1 year, then transfer to FRC. Destroy when 5 years old.</p> <p><u>Retention:</u> Retain 1 years.</p> <p><u>Disposition:</u> Break file upon rejection of proposals. Keep in office for 1 years, then destroy.</p>
5.	<p><u>Research Projects Case Files--Inhouse Projects.</u> 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.</p> <p>a. <u>Project Planning and Research Finding Files.</u> 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 reports.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file upon completion of 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>

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ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
	<p>b. <u>Project Workpapers and Administrative Correspondence.</u> 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.</p>	<p><u>Retention:</u> Retain 6 years.</p> <p><u>Disposition:</u> Break file upon completion of project. Keep in office for 2 years, then transfer to the FRC. Destroy when 6 years old.</p>
6.	<p><u>Laboratory Notebooks.</u> 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.</p>	<p><u>Retention:</u> Retain 5 years after completion of project.</p>
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 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><u>Retention:</u> Retain 20 years.</p> <p><u>Disposition:</u> Break file upon completion of research project. Keep in office for 3 years, then transfer to the FRC. Destroy when 20 years old.</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> 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, destroy when obsolete or superseded.</p>

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ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
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><u>Retention:</u> As below.</p> <p>Disposition: Maintain current. Destroy when obsolete or superseded by new list.</p>
	<p>b. <u>Project Logbooks.</u></p>	<p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Keep in office for 2 years, then destroy.</p>
10.	<p><u>Scientific Committee Files.</u> Includes documentation related to the operation of scientific or research oriented advisory and interagency committee 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>
11.	<p><u>Laboratory Activity Report Files.</u> Includes periodic 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 2 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then destroy.</p>
12.	<p><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>
13.	<p><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 materials.</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>

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULE

SCHEDULE NO.

TITLE OF SCHEDULE		COVERAGE OF SCHEDULE
RESEARCH AND DEVELOPMENT LABORATORY RECORDS		ENVIRONMENTAL RESEARCH LABORATORIES
ITEM NO.	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION AND DISPOSITION
14.	<u>Summary Research Projects Status Reports.</u> Reports submitted by project officers to laboratory management showing the status of their projects.	<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>
15.	<p><u>Criteria and Health Assessment Documents and Risk Assessment Guidelines.</u> 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 various acts governing EPA. Records consist of program office requests; scientific and technical evaluations; unit risk calculations and other data compilations related to scientific assessments; references, studies, other literature search materials; documents drafts; and other related records and supporting documents. Docket files are maintained for the air and water quality criteria documents.</p> <p>a. <u>Official Files.</u></p> <p>1. Air quality</p> <p>2. Water quality</p> <p>b. <u>Air Quality Criteria Documents.</u></p> <p>c. <u>Water Quality Criteria Documents.</u></p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> 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.</p> <p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Keep in office 5 years or until the Air Quality Criteria Document is developed, then transfer to FRC. Keep in FRC 25 years, then offer to the National Archives in 5 year blocks.</p> <p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Keep in office 5 years or until the Water Quality Criteria Document is developed, then transfer to FRC. Keep in FRC 25 years then offer to the National Archives in 5 year blocks.</p>

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ITEM NO

NAME AND DESCRIPTION OF RECORD/FILE

d. 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: As below.

Disposition: Destroy when no longer needed.

RECORDS MANAGEMENT MANUAL

(Information for PERMANENT retention records)

Title of Schedule: Research and Development Laboratory
Records

<u>Item No.</u>	<u>Volume</u> <u>On Hand</u>	<u>Growth</u> <u>Per Year</u>	<u>Arrangement</u> <u>of Files</u>
15a-1	15	5	Subject
15a-2	50	10	Subject
15b	20	7	Subject
15c	25	8	Subject

Attach to SF 115 (Revised Item Numbers compared to Previous Item Numbers,
Schedule Number, and NARS Job Number)

Title Of Schedule: Research And Development Laboratory 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.	E-1	NCI- 71 2-78-3
2.	2.		
3.	3.		
4.	4.		
5.	5.		
6.	6.		
7.	7.		
8.	8.		
9.	9.		
10.	10.		
11.	11.		
12.	12.		
13.	13.		
14.	14.		
15. (New)			