

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>		LEAVE BLANK	
TO: <b>GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408</b>		JOB NO. <b>NC1-412-85-25</b>	DATE RECEIVED <b>6-26-85</b>
1. FROM (Agency or establishment) <b>Environmental Protection Agency</b>		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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 <b>Grants Administration Division</b>			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER <b>Thomas Tasker Harold Webster</b>	5. TELEPHONE EXT. <b>382-5911 382-5912</b>	DATE <b>9-8-86</b>	ARCHIVIST OF THE UNITED STATES <i>Frank A. Bunk</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 7 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 <b>6/25/85</b>	C. SIGNATURE OF AGENCY REPRESENTATIVE <b>Thomas Tasker</b> <i>Thomas G. Tasker</i>	D. TITLE <b>Agency Records Management Officer</b>
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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 GRS OR SUPERSEDED JOB CITATION	10.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 - 7	<p>The Assistance And Interagency Agreement Schedule (Formally Grant Records) 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 Assistance And Interagency Agreement Records Control Schedule.</p>	Appendix B Schedule 4	

*(21 items)*

**U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES**

SCHED. NO

TITLE OF SCHEDULE

COVERAGE OF SCHEDULE

**ASSISTANCE AND INTERAGENCY AGREEMENT RECORDS**

**AGENCYWIDE**

ITEM NO.

NAME AND DESCRIPTION OF RECORD/FILE

RETENTION PERIOD AND DISPOSITION

1. Program Management File. Records relating to development, management, and evaluation of assistance agreements.
  - a. Policy and regulations which establish and implement operational procedures for the administration of assistance agreements.
  - b. General administrative correspondence pertaining to normal day-to-day activities of the Grants Administration Division.
  - c. Inquiries Files.
    - (1) Congressional.
    - (2) Controlled.
    - (3) Uncontrolled.
2. Administrative Reports and Data Relating to Assistance Agreements.

Retention: Permanent.

Disposition: Break file when material has been superseded or cancelled. Keep in office 2 years, then transfer to the FRC. Keep in FRC 10 years, then offer to the National Archives.

Retention: Retain 2 years.

Disposition: Break file at end of 1 year. Keep in office 2 years and then destroy.

Retention: Retain 2 years.

Disposition: Break files at end of 1 year. Keep in office 2 years and then destroy.

Retention: Retain 2 years.

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

Retention: Retain 1 year.

Disposition: Break file at end of year. Keep in office 1 additional year, then destroy.

Retention: Retain 4 years.

Disposition: Break file at end of year. Keep in office 1 year, then transfer to the FRC. Destroy when 4 years old.

RECORDS MANAGEMENT MANUAL

\* Change approved by Thomas Tasker in telephone conversation on 6/11/86

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES		SCHED. NO
TITLE OF SCHEDULE		COVERAGE OF SCHEDULE
ASSISTANCE AND INTERAGENCY AGREEMENT RECORDS		AGENCYWIDE
ITEM NO.	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
3.	<u>Regulations, Standards, and Guidelines.</u> Contains information relating to the development of rules and regulations used for the management and processing of assistance agreements. Records consist of drafts of proposed regulations and guidelines, internal comments, journal articles and other supporting literature, proposed rules, response to proposals, EPA press releases, newspaper clippings, etc.	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file upon final publication in the Federal Register. Keep in office 1 year, then transfer to the FRC. Keep in FRC 15 years, then offer to the National Archives in 10 years blocks.   5 yrs 6/11/86 *</p>
4.	<u>Deviation Requests.</u> Includes requests for deviation from established assistance policies and procedures submitted by award officials.	<p><u>Retention:</u></p> <p>a. <u>Paper Records.</u> Retain until conversion to microform has been completed.</p> <p>b. <u>Microform Copy (Official Record Copy).</u> Retain 4 years.</p> <p><u>Disposition:</u></p> <p>a. <u>Paper Records.</u> Keep in office until conversion to microform has been completed and microform is verified for completeness, then destroy.</p> <p>b. <u>Microform Copy (Official Record Copy).</u> Break file at end of year. Keep in office 1 year, then transfer to the FRC. Destroy when 4 years old.</p> <p>c. <u>Microform Copy (Working Copy).</u> Destroy when no longer needed.</p>
5.	<u>Assistance Agreement Files.</u> Includes records that document all significant actions and decisions having to do with the application and resulting agreement. Consist of application phase, preaward review, funding decision, award documentation, active projects, non-compliance/ disputes, closeout of completed agreements/projects and audit.	<p><u>Retention:</u></p> <p>a. <u>Paper Records.</u> Retain until conversion to microform has been completed.</p> <p>b. <u>Microform Copy (Official Record Copy).</u> Retain 4 years.</p>
	a. <u>EPA Assisted Activities (Research, Demonstration, Training, Fellowship, Investigation, Surveys, or Studies, etc.</u> Agreements administered by Headquarters Grants Operations Branch or by Regional Office by specific program delegation.	

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ASSISTANCE AND INTERAGENCY AGREEMENT RECORDS

AGENCYWIDE

ITEM NO.

NAME AND DESCRIPTION OF RECORD/FILE

RETENTION PERIOD AND DISPOSITION

b. Continuing Environmental Program Support Agreements.  
Agreements administered by Regional Offices.

Disposition:

- a. Paper Records. Keep in office until conversion to microform has been completed and microform is verified for completeness, then destroy.
- b. Microform Copy (Official Record Copy). Break file immediately after closeout of the agreement, then transfer to the FRC. Destroy when 4 years old.
- c. Other Microform Copies. Destroy when no longer needed.

PAPER RECORD SYSTEM

Retention: Retain 4 years.

Disposition: Break file immediately after closeout of the agreement, then transfer to the FRC. Destroy when 4 years old.

MICROGRAPHIC RECORD SYSTEM

Retention:

- a. Paper Records. Retain until conversion to microform has been completed.
- b. Microform Copy (Official Record Copy). Retain 4 years.

Disposition:

- a. Paper Records. Keep in office until conversion to microform has been completed and microform is verified for completeness, then destroy.
- b. Microform Copy (Official Record Copy). Break file immediately after closeout of the agreement, then transfer to the FRC. Destroy when 4 years old.
- c. Other Microform Copies. Destroy when no longer needed.

RECORDS MANAGEMENT MANUAL

**U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES**

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TITLE OF SCHEDULE

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ASSISTANCE AND INTERAGENCY AGREEMENT RECORDS

AGENCYWIDE

ITEM NO.

NAME AND DESCRIPTION OF RECORD/FILE

RETENTION PERIOD AND DISPOSITION

**c. Waste Water Construction Grant Agreements. Agreements administered by Regional Offices/States.**

**PAPER RECORD SYSTEM**

**Retention: Retain 20 years.**

**Disposition: Break file following physical and administrative completion immediately after closeout of the agreement, then transfer to the FRC. Destroy when 20 years old.**

**MICROGRAPHIC RECORD SYSTEM**

**Retention:**

**a. Paper Records. Retain until conversion of microform has been completed.**

**b. Microform Copy (Official Record Copy). Retain 20 years.**

**Disposition:**

**a. Paper Records. Keep in office until conversion to microform has been completed and microform is verified for completeness, then destroy.**

**b. Microform Copy (Official Record Copy). Break file following physical and administrative completion immediately after closeout of the agreement, then transfer to the FRC. Destroy when 20 years old.**

**c. Other Microform Copies. Destroy when no longer needed.**

RECORDS MANAGEMENT MANUAL

**U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES**

SCHED. NO.

TITLE OF SCHEDULE		COVERAGE OF SCHEDULE
ASSISTANCE AND INTERAGENCY AGREEMENT RECORDS		AGENCYWIDE
ITEM NO.	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
	d. <u>Superfund Remedial Planning and Implementation Agreements</u> . Agreements administered by Regional Offices.	<p><u>PAPER RECORD SYSTEM</u></p> <p><u>Retention:</u> Retain 20 years after completion of all cost-recovery litigation.</p> <p><u>Disposition:</u> Break file immediately after close-out of the agreement, then transfer to the FRC. Destroy when 20 years old.</p> <p><u>MICROGRAPHIC RECORD SYSTEM</u></p> <p><u>Retention:</u></p> <p>a. <u>Paper Records</u>. Retain until conversion to microform has been completed.</p> <p>b. <u>Microform Copy (Official Record Copy)</u>. Retain 20 years after completion of all cost-recovery litigation.</p> <p><u>Disposition:</u></p> <p>a. <u>Paper Records</u>. Keep in office until conversion to microform has been completed and microform is verified for completeness, then destroy.</p> <p>b. <u>Microform Copy (Official Record Copy)</u>. Break file immediately after closeout of the agreement, then transfer to the FRC. Destroy when 20 years old.</p> <p>c. <u>Other Microform Copies</u>. Destroy when no longer needed.</p>
6.	<del>Interagency Agreements File. Record copies of agreements with other Federal, State, and local government agencies providing for program assistance or support or other sharing of agency resources and services. Includes copy of agreement, commitment notice, transmittal, and justification and cost estimate. May also include scope of work, correspondence, and other supporting papers.</del>	<p><u>Retention:</u> Retain 6 years.</p> <p><u>Disposition:</u> Break file upon termination of agreement. <del>Keep in office 1 year, then transfer to the FRC. Destroy when 6 years old.</del></p>

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AGENCYWIDE

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NAME AND DESCRIPTION OF RECORD/FILE

RETENTION PERIOD AND DISPOSITION

7. Recipient/Contractor Debarment and Suspension Records.  
Documents relating to investigations of contractors and recipients for debarment or suspension from contracting with or receiving assistance from the Federal Government. Includes copies of Inspector General reports, attorney recommendations for actions, notifications to respondents, respondents' submissions, hearing transcripts, briefs and motions, final determinations, and settlement agreements for debarment and suspension cases per 48 CFR Subpart 9.4 and 40 CFR Part 32, and other related documents.

a. Case File.

Retention: Retain 6 years and 3 months.

Disposition: Break file after case is closed, period of debarment or voluntary exclusion is completed or all provisions of the settlement agreement have been completed, whichever is last. Keep in office 3 months, then transfer to the FRC. Destroy when 6 years and 3 months old.

b. Other Records.

Retention: See disposition below.

Disposition: Destroy when no longer needed for reference.

RECORDS MANAGEMENT MANUAL

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

Title Of Schedule: Assistance And Interagency Agreement Records

(Former Title: Grant 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 (B-4)	B-4/B-20	NCI-412-76-12 NCI-412-77-4
2	2 (B-4)		
3 (New)	-		
4	4.d. (B-4)		
5	3,4 (B-4)		
6	1 (B-20)		
7 (New)	-		



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

Title Of Schedule: Assistance And Interagency Agreement Records  
(Former Title: Grant Records)

<u>Item No.</u>	<u>Volume On Hand (Cu.Ft.)</u>	<u>Growth Per Year (Cu.Ft.)</u>	<u>Arrangement Of Files</u>
3	3	1	Subject