

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC-412-76-004**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 09/07/2022

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All other items remain active.

### **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 2 was superseded by N1-412-94-002 item 23 and N1-412-07-002 item 6

Item 3 was superseded by N1-412-94-002 item 26 and N1-412-07-002 item 7

Item 4 was superseded by N1-412-94-002 item 26 and N1-412-07-002 item 7

Item 6 was superseded by N1-412-06-006 schedule 006

Item 10 was superseded by N1-412-94-002 item 31, N1-412-06-006 schedule 202, and N1-412-06-017

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

(See Instructions on Reverse)

LEAVE BLANK	
DATE RECEIVED <b>JUL 31 1975</b>	JOB NO.
<b>NC - 412 - 76 - 4</b>	
NOTIFICATION TO AGENCY	
<p>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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.</p>	
<u>3-9-77</u>	<u>James B. Roale</u> <i>Archivist of the United States</i>

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1 - 17	Descriptions and retention schedules for the Office of Planning and Evaluation are attached.	22 items	

Det Wagoner and NMF 3/11/77 pao

## RECORDS CONTROL SCHEDULES

## RECORDS MANAGEMENT

PLANNING AND EVALUATION RECORDS

The records described below pertain to the planning and evaluation of Agencywide policies and programs in the areas of resources management, energy policy; cost/benefit analysis of the economic impact of proposed Agency actions; centralized coordination and clearance for Agency standards, regulations, and guidelines; and reporting to Congress on various Agency program matters.

Item	Name and Description of Record/File	Retention Period and Disposition
1.	<u>Program Management Files.</u> Contains data pertaining to the management of the organizational unit's work. Records consist of correspondence and reports relative to policy, regulations and standards, program strategy, program analysis and evaluation, litigation, interagency activities, arrangements with consultants, manpower and budget, etc.	<u>Retention:</u> Retain 10 years.  <u>Disposition:</u> Break file at end of 2 years. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 8 years, then destroy.
2.	<u>Regulations, Standards, and Guidelines.</u> Contains information related to the development and implementation of rules for effecting environmental legislation. Records consist of work group organization requests, work plans, drafts of rules, interagency comments, steering committee reviews, clips from Federal Register, etc.	<u>Retention:</u> a. <u>Office</u> <del>Record</del> Copy. <i>retain 10 years</i> b. <u>Work Copy.</u> Retain 1 year.  <u>Disposition:</u> a. <u>Office</u> <del>Record</del> Copy. Break file upon publication as final rule in Federal Register. Keep in office for <u>2</u> years; then transfer to the

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Item	Name and Description of Record/File	Retention Period and Disposition
		<p>Federal Records Center. Keep in FRC for <del>2</del> 8 years, then <del>offer to the National Archives.</del> <i>destroy.</i></p> <p>b. <u>Work Copy.</u> Break file upon publication as final rule in Federal Register. Keep in office for 1 year, then destroy.</p> <p><u>Retention:</u></p> <p>a. <u>Record Copy.</u> Permanent.</p> <p>b. <u>Information Copies.</u> As determined by user's needs.</p> <p><u>Disposition:</u></p> <p>a. <u>Record Copy.</u> Break file upon publication of report. Keep in office 20 years, then offer to the National Archives.</p> <p>b. <u>Information Copies.</u> Destroy when no longer used. <i>needed.</i></p>
3.	<p><u>Reports to Congress--Final Copy.</u> Reports made to Congress by EPA in accordance with the mandates of the Clean Air Act, FWPCA, and other environmental legislation.</p>	<p><u>Retention:</u></p> <p>a. <u>Record Copy.</u> Permanent.</p> <p>b. <u>Information Copies.</u> As determined by user's needs.</p> <p><u>Disposition:</u></p> <p>a. <u>Record Copy.</u> Break file upon publication of report. Keep in office 20 years, then offer to the National Archives.</p> <p>b. <u>Information Copies.</u> Destroy when no longer used. <i>needed.</i></p>
4.	<p><u>Reports to Congress--Work Files.</u> Contains data pertaining to the organization, design, construction, evaluation, and revision of reports prepared for Congress by EPA. Records consist of requests to form work groups, work plans, minutes of work group meetings,</p>	<p><u>Retention:</u> Retain 6 years.</p> <p><u>Disposition:</u> Break file upon publication of report. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 5 years, then destroy.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
5.	<p>initial and corrected drafts of parts or all of reports, distribution lists, comments on revised and final drafts.</p> <p><u>EPA Steering Committee Meeting File.</u> Contains documents pertaining to the arrangements, conduct, and results of EPA Steering Committee weekly and bi-weekly meetings. Steering committee meetings contribute to the making of EPA policy. Records consist of agendas, talking papers, development plan submissions, summary and minutes of meetings.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the National Archives.</p>
6.	<p><u>Standards and Regulations Information System (SRIS) Planning and Status Reports.</u> Computer-produced reports providing the designation, problems, development status, names of key personnel and lead offices, schedule, and milestones for regulations, standards, guidelines and congressional reports.</p>	<p><u>Retention:</u> Current plus 2 prior editions.</p> <p><u>Disposition:</u> Break file upon receipt of reports. Keep in office until receipt of 3 additional editions, then destroy.</p>
7.	<p><u>Program Policy Planning File.</u> File contains the documents relating to the work and output of the Division. Division's activities are formulating policies and plans in areas which cross-cut program</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file at end of 2 years. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
	functions, and developing and analyzing key policy and legislative issues. Records consist of correspondence and reports on energy situation and impact on environmental program, comments on pending and proposed legislation, issue papers on construction grants program, copies of regulations, speeches, testimony for congressional hearings, investigation and project reports.	FRC for 20 years, then offer to the National Archives.
8.	<u>Economic Dislocation (Early Warning) Report.</u> A quarterly report made by EPA to provide the Department of Labor with advanced warning of actual and potential job losses resulting from environmental regulations. Report provides name and location of plants, number of jobs lost, anticipated enforcement action, expenditures required to meet requirements of regulations. Provides a consolidate picture of industries unwillingness or inability to satisfy pollution control requirements.	<u>Retention:</u> Permanent.  <u>Disposition:</u> Break file at end of year. Keep in office for 5 years, then transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the National Archives.
9.	<u>Contracts - Project Group File.</u> Contains documents relating to the formulation, award, and changes in contracts for special studies and support services. Records consist of procurement requests, proposals, justification statements, task orders, bid evaluations, award notices,	<u>Retention:</u> Retain 7 years.  <u>Disposition:</u> Break file upon completion of project. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 6 years, then destroy.



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	to make study, samples of program group documents, interview and investigation notes, program group's handbooks and reports, review summary notes, draft of evaluation report.	
13.	<u>Program and Program Activity Evaluation Reports.</u> Final reports resulting from the study and analysis of EPA programs and program activities by the Program Evaluation Division.	<p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file upon completion of report. Keep in office 10 years, then destroy.</p>
14.	<u>Annual Headquarters Operating Guidance Paper and Regional Guidance Plan.</u> An overall plan covering the objectives of the Agency, the priority and strategy for their attainment, the group assigned task responsibility, and the anticipated date of completion. Plan represents the prime product of the Management by Objective (MBO) process, and the collective strategy studies for implementing environmental legislation. Separate write-ups made for Headquarters and Regions.	<p><u>Retention:</u></p> <p>a. <u>Record Copy.</u> Permanent.</p> <p>b. <u>Information Copies.</u> Retain 1 year plus current.</p> <p><u>Disposition:</u></p> <p>a. <u>Record Copy.</u> Break file upon completion of plan. Keep in office for 10 years, then transfer to the Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives.</p> <p>b. <u>Information Copies.</u> Break file at end of fiscal year. Keep in office for 1 year, then destroy.</p>



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Item	Name and Description of Record/File	Retention Period and Disposition
15.	<u>Budget Planning and Management by Objective Work File.</u> Contains data pertaining to EPA and program activities and operations, appropriations and expenditures, and short and long range plans. File used to develop Annual Agency Guidance Plans. Records consist of basic policy statements, program descriptions, copies of existing and pending legislation, issue and strategy papers, letters and memos for Office of Manpower and Budget, testimony from congressional hearings, reports from environmental study groups, copies of prior guidance plans, etc.	<u>Retention:</u> Retain 10 years.  <u>Disposition:</u> Break file at end of fiscal year. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 8 years, then destroy.
16.	<u>Issue Papers.</u> A media for presenting a legislative, policy, or procedural question relative to the conduct or administration of the Agency or its Programs. Issue Papers present the issues or questions requiring resolution and set the stage for information gathering, discussion and decision making.	<u>Retention:</u>  a. <u>Record Copy.</u> Permanent.  b. <u>Information Copies.</u> As determined by user's needs.  <u>Disposition:</u>  a. <u>Record Copy.</u> Break file at end of year. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the National Archives.

withdrawn  
by request of  
David Stephens  
2/15/77  
JBW

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Item	Name and Description of Record/File	Retention Period and Disposition
17.	<p><u>Personal Reference Collections.</u> Collections of technical and related reference documents and printed material maintained by individual staff members for personal use. Records consist of articles from professional journals, information copies of technical reports, copies of authored and received memos and correspondence, photos, maps, handbooks, etc.</p>	<p>b. <u>Information Copies</u> - Destroy when no longer used.</p> <p><u>Retention:</u> None</p> <p><u>Disposition:</u> Break file upon termination or transfer of staff member. Review file and remove any records of value to the Agency. Offer file to departing staff member. If offer rejected, keep for 1 month, then destroy.</p>