NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-412-77-01

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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

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These items, unless subsequently superseded, may be used by the agency to disposition records.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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item 3 was superseded by N1-412-94-002 item 37 and N1-412-06-027

Item 8 was superseded by N1-412-94-002 item 1 and N1-412-06-006 EPA Schedule 003

Item 9 was superseded by N1-412-94-002 item 1 and N1-412-06-006 EPA Schedule 003

Item 11 was superseded by N1-412-94-002 item 30

Item 13 was superseded by N1-412-94-006 item 3 and N1-412-07-010 EPA Schedule 255

Item 15 was superseded by N1-412-07-058 EPA Schedule 405

Item 21 was superseded by N1-412-94-002 item 10

RÉG	UEST	R	A	UTHO	ORITY	
TO	DISPO	SE (OF	REC	ORDS	

(See Instructions on Reverse)

NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408

LEAVE BLANK

DATE RECEIVED JOB NO.

OCT 6

1976

NC1-412-77-1

NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the dis-

posal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "with-

FROM (AGENCY OR ESTABLISHMENT)
U.S. Environmental Protection Agency

2. MAJOR SUBDIVISION

TO: GENERAL SERVICES ADMINISTRATION,

Office of Water and Hazardous Materials

3. MINOR SUBDIVISION Office of Water Program Operations

4. NAME OF PERSON WITH WHOM TO CONFER David O. Stephens

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

5. TEL. EXT. 755-0830

APR 1 5 1977

drawn'' in column 10.

Date

Archivist of the United State

1 jegs by 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 _ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

/S/HAROLD R. MASTERS

8/19/73	Harold R. Masters Ch	ief, Administra	itive Mana	gement Br.
(Date)	(Signature of Agency Representative)		(Title)	
7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)		9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1 - 28	Descriptions and retention schedules for t Water and Hazardous Materials, Water Progr Items 1 - 28 are attached.			
	changes made with approver 10/6/76. J. A. W.	e of Som	مل کھی	appone

Sent to agency, all FRC's, NCW NNB

STANDARD FORM 115 Revised November 1970 Prescribed by General Services
Administration

FPMR (41 CFR) 101-11.4 115-105

Item

CONCLER THE

RECORDS CONTROL SCHEDULES

RECORDS MANAGEMENT

Retention Period

upon completion of project.

Keep in office for 1 year,

then transfer to the

then destroy.

Federal Records Center.

Keep in FRC for 5 years,

and Disposition

WATER PROGRAM OPERATIONS RECORDS

Name and Description of Record/File

award, and changes in contracts

treatment plant construction and

and operation, drinking water,

studies and surveys. Records

and hazardous auterials control

consist of procurement requests, justification statements, task orders, proposals, bid evaluations, award notices, report of payment to contractor or

and grants for waste water

The records described below relate to the development of national programs, policies, regulations, and guidelines for the planning, design, and construction of municipal waste water treatment systems, and the prevention and control of oil spills and the accidental discharge of other hazardous materials.

,	Program Development Files.	Retention: Permanent.
	a. Contains records pertaining to	Modern 1 of morresto
	all phases of waste water plant	Disposition: Break file at end of
	construction, and operation, muni-	2 years. Keep in office for 2
	cipal permits, oil spills and ha-	years, then transfer to the Federa
* ***	zardous materials and drinking	Records Center. Keep in the FRC 1
	water. Records consist of corres-	8 years, then offer to the National
	pondence and reports relating to	Archives and Records Service. (NAR!
÷	policy and programs, litigation,	
	interagency activity, research,	
	and regional activity.	
	h Adir us about sing out More you and	Dot out on Dotot a 30 money
•	b. Administrative and Management Eiles.	Retention: Retain 10 years.
•	Includes records used in adminis-	Disposition: Break file at end of
	trative and program management	2 years. Keep in office for 2
. ·-	functions of the water planning and	years, then transfer to FRC. Kee
•	standards program. Programs con-	in FRC for 8 years, then destroy.
¥	sist of reference materials, ad-	
	ministrative reports and similar	
	records.	
_		
2.	Contracts and Grants - Project	Retention: Retain 7 years.
•	Group File. Documentation re-	
•	lating to the formulation,	Disposition: Break file

CHAPTER TITLE
RECORDS CONTROL SCHEDULES

MANUAL

RECORDS MANAGEMENT

WATER PROGRAM OPERATIONS RECORDS

The records described below relate to the development of national programs, policies, regulations, and guidelines for the planning, design, and construction of municipal waste water treatment systems, and the prevention and control of oil spills and the accidental discharge of other hazardous materials.

-				
-	Name and Description	Retention Period		
Item	of Record/File	and Disposition		
1.	Program Management. Contains data relating to all phases of waste water plant construction and operation, municipal permits, oil spills and hazardous materials, and drinking water. Records consist of correspondence and reports relating to policy and programs, litigation, interagency activity, research, regional activity, etc.	Retention: Retain 10 years. Disposition: 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.	Contracts and Grants - Project Group File. Documentation re- lating to the formulation, award, and changes in contracts and grants for waste water treatment plant construction and and operation, drinking water, and hazardous auterials control studies and surveys. Records consist of procurement requests, justification statements, task orders, proposals, bid evalua- tions, award notices, report of payment to contractor or grantee, progress reports, and change notices.	Retention: Retain 7 years. Disposition: 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.		

RECORDS MANAGEMENT

CHATAPPENDIX B

RECORDS CONTROL SCHEDULES

Name and Description Item of Record/File

Retention Period and Disposition

Final Reports Resulting from
Contractor, Grantee, Inter- and
Intra-Agency Studies and Services. Final reports submitted
by contractors, grantees, inter
and intra-agency study groups.
Also comments and evaluations
by sponsoring group and others.

Retention:

- a. Record or Master Copy. Permanent.
- b. Information Copies. As determined by user's needs

Disposition:

- a. Record or Master Copy.
 Break file upon completion
 of project evaluations and
 comment period. 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.
- b. <u>Information Copies</u>.

 Destroy when no longer used.
- Manuals, Handbooks, and Workshop Programs. Manuals, handbooks, and workshops (scripts,
 slides, teaching guides, etc.)
 produced by EPA or contract
 group as teaching and training
 aids and operation and maintenance guides for plant personnel.

Retention:

- a. Record or Master Copy. Retain 10 years.
- b. <u>Information Copies</u>. As determined by user's needs.

Disposition:

a. Record or Master Copy.
Break file upon termination
of program. Keep in office
for 1 year, then transfer
to the Federal Records
Center. Keep in FRC for
9 years, then destroy.

6.

RECORDS CONTROL SCHEDULES

MANUAL

RECORDS MANAGEMENT

Name and Description
Item of Record/File

Retention Period and Disposition

b. <u>Information Copies</u>. Destroy when no longer used.

Report on Operation and Maintenance of Wastewater Treatment Plant (EPA 7500-5).

A six page report on the investigation of wastewater plants. Investigations conducted annually by Regional and sometimes State personnel.

Data from form transferred to disk/tape for automated processing.

Retention:

a. Form 7500-5. Entry of data on tape/disk plus 1 year.

b. Tape/Disk. See ADP records

Schedule

years plus current.

Disposition:

a. Form 7500-5. Break file after entry and verification of data on tape/disk. Keep in office for 1 year, then destroy.

b. Tape/Disk. Break file schools upon-entry and verification of data. Keep tape for 2 years, then dectroy.

Sewer Moratoriums - Case
Studies. A collection of
documents relating to the
initiation and development of
sewer moratoriums. Records
consist of narrative history,
court injunctions, newspaper
clips, environmental impact
studies, fiscal studies,
city growth plans, etc.

Retention: Permanent Petans

Disposition: Break file upon completion of study. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 18 Jears, then offer to the National Archives.

RECORDS MANAGEMENT

APPENDIX B

RECORDS CONTROL SCHEDULES

Name and Description Retention Period of Record/File Item and Disposition 7. Land Use and Urban Growth File. Retention: Permanent Investigations relating to urban growth and land use Disposition: Break file planning. Records consist of upon completion of study. investigation reports, city Keep in office for 2 ordinances, newsletters, task years, then transfer to the force report, 180 Notice, Federal Records Center. Keep in FRC for ** Pears. State regulations, report of legal action by builders, etc. then offer to the National Archives . Leastery . Retain 5 years. School Training Grant File. 8. Retention: Request for, review of, and action on grants to schools Disposition: Break file to set up and teach environupon termination of grant. mental courses (i.e., Keep in office for 1 wastewater treatment plant year, then transfer to the operation). Records consist Federal Records Center. of training grant applica-Keep in FRC for 4 years, tions, budget justifications, then destroy. biographies of teachers. grant award notices, site visit reports, grant agreements, termination and closing statements, and reports of expenditues 9. Fellowship Folders. Contains

Retention: Retain 5 years.

Disposition: Break file upon termination of Fellowship award. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 4 years, then destroy.

data pertaining to the

grant funding orders.

nomination, review and award

advanced training in environ-

sity level. Records consist of Fellowship Applicant Quali-

mental subjects at the univer-

fications Inquiry (EPA 5770-4), student transcripts, fellowship applications, notices of award,

of grants to students for

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APPENDIX B

RECORDS CONTROL SCHEDULES

vouchers.

11.

MANUAL

RECORDS MANAGEMENT

Name and Description of Record/File Item

Retention Period and Disposition

10. On the Job and Waste Treatment Works Personnel Training Grants. Grants to city and private waterworks, waste treatment plants, and technical schools to train operating and maintenance personnel. Records consist of applications for training awards, training proposals, award notices, progress and compliance reports, trainee personnel data, and

Retention: Retain 5 years.

Disposition: Break file upon termination of grant. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 4 years, then destroy.

Training Films and Video Tapes. 8 and 16 mm film and video tape coverage of environmental subjects used as the media for instruction (entire course presented on video tape) or as a teaching aid (film shown during a lecture). Collection consists of such titles as the "Majestic Polluted Hudson," "Ground Water - America's Buried Treasure," "Responding to Oil Spills," etc.

Retention:

Record Copy. Permanent.

b. Distribution Copies. Retain 5 years.

_ Video tapes (3/4" cossette color)
approx. 56 tapes
_ films - 16 master copies

Disposition:

Record Copy. Break file upon termination of course or teaching unit. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 19 years, then offer to the National Archives.

b. Distribution Copies. Break file upon termination of course or teaching unit. Keep in office for 1 year, then transfer to the ... Federal Records Center. Keep in FRC for 4 years, then destroy.

ARREST AND THE STREET

RECORDS CONTROL SCHEDULES

MANUAL

RECORDS MANAGEMENT

Name and Description of Record/File

Retention Period and Disposition

Item

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Training Film and Video Tapes.
Film and video tape coverage of environmental subjects used as the media for instruction or as a teaching aid.

a. Motion Picture Films

Record copy consisting of the original negative or color original plus separate optical sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print of each motion picture produced by the Office of Water and Hazardous Materials. If the film is an acquired production, two projection prints suffice for record purposes.

b. <u>Video tapes</u>

Record copy consisting of the earliest generation of each recording or a kinescope of the recording.

c. Finding Aids and Production Documentation

Existing finding aids such as data sheets, shot lists, catalogs, indexes, and other textual documentation necessary for the proper identification, retrieval, and use of the motion picture films and video tapes as well as production case files or similar files which include copies of production contracts, scripts, or other documentation bearing on the origin, acquisition, release or pwnership of the production.

Retention:

1. Record Copy: Permanent.

Break file upon termination of course or teaching unit and offer to NARS five years after file break or when no longer needed for administrative purposes, whichever occurs first.

2. Distribution Copies:
Break file upon termination
of course or teaching unit
and destroy five years after
file break or when no longer
needed, whichever occurs first.

This applies to motion picture films and video tapes.

Retention (item c)

Permanent. Offer to NARS in accordance with instructions governing the disposition of the related production.

RECORDS MANAGEMENT

CHA APPENDIX B

RECORDS CONTROL SCHEDULES

Item

Name and Description of Record/File

Retention Period and Disposition

12.

1973 - present 0.5 cm. ft. Grant Guidance Memorandums - Municipal Waste Water Treatment. Policy statements relative to the award and administration of waste water treatment grants numerically arranged by issue number.

13.

1973-present 15 cm. Ft. Project Management Waste Water Treatment Construction Grant Program. Central office surveillance and control of regional administration of construction grant programs. Records consist of regional office work plans, report on management of funds, report on regional manpower buildup, fund obligation - status and goal, monthly status reports, regional responses to questions and requests for information; obligation goals and outlay targets.

14.

survey initiation period 1 - 15,0 cuff. Needs Survey Program File — Waste Water Treatment Plants.
Documentation covering the design to the conduct of the Needs Survey. Records consist of contracts for assistance, pilot study, development of questionnaires, procedures for conduct of survey, weekly status reports, analysis of results, allocation formula, and final report to Congress.

Retention: Permanent.

Disposition: Break file
upon completion of waste
water treatment grant program and transfer to the Federal Records Center. Keep
in FRC for 5 years, then
offer to the National
Archives.

Retention: -Permanent. -

Disposition: 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

Retention:

a. Survey-Initiation (1972-1975). Permanent.

b. Survey Continuation (1975 - forward): Retain 10 years.

Disposition:

a. Survey Initiation. Break file at end of 1975. Keep in office for 1 year,

15.

RECORDS CONTROL SCHEDULES

MANUAL

RECORDS MANAGEMENT

Name and Description of Record/File Item

Needs Survey Questionnaires.

Retention Period and Disposition

then transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the National Archives.

osper records: b. Survey-Continuation 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.

Retention:

File. Retain 2 years. a.

Completed questionnaires containing data relative to the existence of and requirements for sewers and waste water treatment plants in the the municipalities and counties of States and territories.

- Tab Cards. Retain 6 months after completion of updates. See ADP records schedule,
- 6. Data Tapes. Permanent. Sec. ADP revords schedule.

Disposition:

a. File. Break file upon transfer of data to card/ disk/tape. Keep in office for 2 years, then destroy.

RECORDS MANAGEMENT

CHAIAPPENDIX B

RECORDS CONTROL SCHEDULES

Name and Description of Record/File

Retention Period and Disposition

EPA Municipal Waste
Water Treatment Project
Projections - Obligations
by State Under PL 92-500.

16.

Item

1972-present

EPA Municipal Waste Water
Treatment Projects by Region
and State Obligations
To date Under PL 92500.
Computer produced report of
money obligation for waste
water treatment plants.

17. State Priority List
Municipal Waste Water Grant
Information and Control System
by Region. Computer produced
report of projects in priority
order within state and region.

See ADP records; schedules.

Break file

Stand Francisco of data from

card to tape Keep in Office

from the destroy.

See ADP records schedule.

Data Tapes. Break-file upon-completion of study or activity. Keep-tapes-for-1-year, then offer-to-the National Archives.

Retention: Permanent.

Reep in office until receipt of three later editions, then transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the National Archives.

Retention: Current year plus five prior editions.

Disposition: Break file
upon receipt of current
edition. Keep in office
until receipt of five
later editions, then destroy.

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EPA FORM 1315 -11/(6 -21)

RECORDS CONTROL SCHEDULES

MANUAL

RECORDS MANAGEMENT

Item

Name and Description of Record/File

Retention Period and Disposition

- 18. Outlay Projections, Outlay
 Targets, and Obligation Goals
 for Municipal Waste Water
 Grant Program. Computer produced report of a 10 year
 outlay study.
- 19. Monthly Report of Construction

 Cost Indices for Waste Water

 Treatment Plants. Computer

 produced report of labor and
 material cost indices. Used
 for estimating construction
 costs and making cost analysis
 and comparison studies.

Retention: Current year plus ten prior editions.

<u>Disposition</u>: Break file upon receipt of current edition. Keep in office until receipt of ten later editions, then destroy.

Retention:

- a. <u>Regular Quarterly</u>. Retain3 years plus current.
- b. Year-end. Retain 10 years.

Disposition:

- a. Regular Quarterly. Break file at end of year. Keep in office for 3 years, then destroy.
- b. Year-end. Break file at end of year. Keep in office for 10 years, then destroy.

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RECORDS MANAGEMENT

APPENDIX E

RECORDS CONTROL SCHEDULES

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Item	Name and Description of Record/File	Retention Period and Disposition
20.	Federal Facility Pollution Control Project Status File. Documentation pertains to the actions by governmental agencies to bring Federal facilities into compliance with Executive Order 11752 and OMB Circular A-106. Records consist of correspondence with participating units, proposed project reports, annual progress report by installation, and special reports on pollution control practices.	Retention: Retain 10 years. Disposition: 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.
21.	Five Liner Report - OMB. Circular A-106 - Budget Data. A computer produced summary report listing active and inactive projects. Report gives name and location of project and amount budgeted and funded by year.	Retention: Retain 10 years. Disposition: Break file upon receipt of report. Keep in office for 10 years, then destroy.
22.	Actual and Proposed NPDES Permits Report. A computer produced report giving permit number, agency, facility location, and project date.	Retention: Retain 10 years. Disposition: Break file upon receipt of report. Keep in office for 10 years, then destroy.

RECORDS CONTROL SCHEDULES

MANUAL

RECORDS MANAGEMENT

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Item	Name and Description of Record/File	Retention Period and Disposition
23.	Pollution Abatement Needs at Federal Agencies Report. An EPA report to the Office of Management and Budget summarizing and recommending projects for funding.	Retention: Retain 15 years. Disposition: Break file upon completion of report. Keep in office for 15 years, then destroy.
24.	State Pollution Discharge Requirements Placed on Federal Agencies File. A collection of documents relating to Federal agency conformity to State pollution regulations. Records consist of State handbooks, agency plans to meet State requirements, minutes of meetings with State representatives, copy of State regulations, news- clips, correspondence between agencies and States.	Retention: Retain 10 years. Disposition: Break file at end of 2 years. Keep in office for 10 years, then destroy.
25.	Environmental Impact Statements. Covers activities related to environmental impact statement needs, requirements, development and appraisal. Records consist of environmental impact statements, appraisals, hearing transcripts, minutes of State Control Board meetings, newsclips, etc.	Retention: Break file upon completion of review. Keep in office years, then transfer to the Federal Reco Center. Keep in FRC for 20 years, then offer to the National transfer.

RECORDS CONTROL SCHEDULES

RECORDS MANAGEMENT

•	••	•	
Item	Name and Description of Record/File	Retention Period and Disposition	
26	Regulations, Standards, and Guide- lines. a. Essential Documents. Consist of technical and economic background documents; hearing transcripts; and publications of standards and regulations.	Retention: Permanent. Disposition: Break file upo publication of final rule i Federal Register. Keep in office for 1 year, then trafer to the Federal Records Center. Keep in FRC for 20	

b. Other documents contained in the file. 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.

n the ins years, then offer to the National Archives.

Retention: 10 years.

Disposition: 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.

27 Intergovernmental Activities. File. Data relating to interaction with State and local governments, foreign governments, international organizations, Federal agencies, and other branches of the Federal Government. Records consist of cooperative agreements, work plans, copies of proposed and existing laws, copies of Executive Orders, program development reports, trip reports, memo and correspondence.

Retention: Retain 6 years.

Disposition: Break file at end for 4 years, Keep in office for 6 years, then destroy.

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MANUAL

RECORDS MANAGEMENT

APPENDIX B

RECORDS CONTROL SCHEDULES

Item

Name and Description of Record/File

Retention Period and Disposition

26.

Regulations, Standards, and Guidelines. Contains information relating to the development and implementation of rules for effecting environmental legislation. Records consist of work group organizational requests, agendás and minutes of work group meetings, technical assistance contracts and reports, drafts and approvals of proposed rules, public comments, newspaper clips, clips from Federal Register, public hearing transcripts, and technical references.

Retention: Permanent.

Disposition: Break file upon publication of final rule in the Federal Register. 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.

27

Intergovernmental Activities.
File. Data relating to interaction with State and local governments, foreign governments, international organizations, Federal agencies, and other branches of the Federal Government. Records consist of cooperative agreements, work plans, copies of proposed and existing laws, copies of Executive Orders, program development reports, trip reports, memo and correspondence.

Retention: Ketain 6 years.

Disposition: Break file at end for 4 years, Keep in office for 6 years, then destroy.

RECORDS CONTROL SCHEDULES

MANUAL

RECORDS MANAGEMENT

Name and Description Retention Period Item of Record/File and Disposition 28. Personal Reference Collections. Retention: None. Collections of technical and related reference documents Disposition: Break file upon termination or transfer and printed material maintained by individual staff of owner staff member. members for personal use. view file and remove any Records consist of articles records of value to the from professional journals, Agency. Offer file to information copies of techdeparting staff member. nical reports, copies of offer rejected, keep for 1 authored and received memos month, then destroy. and correspondence, photos, maps, handbooks, etc. 29. Technical Assistance Data System Retention: As below. (TAD). Computer printouts showing chemical and physical charac-Disposition: Keep in office teristics and emergency response until superseded, then procedures of 863 substances destroy. (oil and other hazardous materials) which may be hazardous to water quality if discharged or spilled.