

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JUL NUMBER <i>NI-412-07-71</i>	
To NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>9/11/07</i>	
1 FROM (Agency or establishment) U.S. Environmental Protection Agency		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked Adisposition not approved or Awithdrawn in column 10	
2 MAJOR SUBDIVISION Research and Development			
3 MINOR SUBDIVISION Agency-wide, Headquarters and Laboratories			
4 NAME OF PERSON WITH WHOM TO CONFER John B. Ellis	5 TELEPHONE 202-566-1643	DATE <i>6/22/08</i>	ARCHIVIST OF THE UNITED STATES <i>Mike W...</i>
6 AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>38</u> 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, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required, <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>8/27/07</i>	SIGNATURE OF AGENCY REPRESENTATIVE John B. Ellis <i>John B. Ellis</i>		TITLE Agency Records Officer
7 Item No	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1	EPA 451 Environmental Process and Effects Research Program Files	NC1-412-85-22/1	
2	EPA 452 Environmental Engineering and Technology Program Files	NC1-412-85-22/2	
3	EPA 453 Acid Deposition, Environmental Monitoring, and Quality Assurance Program Files	NC1-412-85-22/3	
4	EPA 454 Health Research Program Files	NC1-412-85-22/4	
5	EPA 455 Health and Environmental Assessment Program Files	NC1-412-85-22/5	
6	EPA 456 Laboratory Activity Report Files	NC1-412-85-22/12	
7	EPA 458 Water Supply Laboratory Certification Program Files	NC1-412-85-22/14	
8	EPA 460 Integrated Risk Information System (IRIS) Documentation Files	N1-412-01-1/1	
9	EPA 472 Source Data Files Relating to In-House Radiological Research Projects	N1-412-96-4	
10	EPA 499 Employee Occupational Exposure to Ionizing Radiation	N1-412-97-5	

7/17/08 copies sent to Agency, NARA, NRMG, NRMWA, NWCT, NR

This schedule is in development. It may not be used to retire or destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 451

Status: Development, 08/31/2007

Title: Environmental Process and Effects Research Program Files

Program: Research and Development

Applicability: Headquarters

Function: 316-258 - Applied Science

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral) Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

Description:

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.

Disposition Instructions:

Item a: Record copy

- **Permanent**
- Close inactive records at end of year.
- a(1) • Transfer nonelectronic records to the National Archives 10 years after file closure.
- a(2) • Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 10 years after file closure.

Item b: All other copies

- **Disposable**

- Close inactive records at end of year.
- Destroy 5 years after file closure

Guidance:

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item c for electronic copies created with word processing and electronic mail applications deleted 08/21/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Research and Development

- **Contact:**
- **Telephone:**

Related Schedules:

Previous NARA Disposal Authority:

NC1-412-77-5/1, NC1-412-85-22/1

Entry: 02/24/1993

EPA Approval: Pending

NARA Approval: Pending

EPA Records Schedule 452

Status: Final, 09/30/2009

Title: Environmental Engineering and Technology Program Files

Program: Research and Development

Applicability: Headquarters

Function: 316-258 - Applied Science

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral), excluding any records already in electronic form. Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- N1-412-07-71/2

Description:

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.

Disposition Instructions:

Item a(1): Record copy - Nonelectronic

- **Permanent**
- Close inactive records at end of year.
- Transfer to the National Archives 10 years after file closure.

Item a(2): Record copy - Electronic

- **Permanent**

- Close inactive records at end of year.
- Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time.

Item a(3): Electronic copy of records transferred to the National Archives

- **Disposable**
- Close file upon transfer to the National Archives.
- Delete after electronic record copy is successfully transferred to the National Archives.

Item b: All other copies

- **Disposable**
- Close inactive records at end of year.
- Destroy 5 years after file closure.

Guidance:

Reasons for Disposition:

The following change was made in the 09/30/2009 version:

- Added file closure instructions for item a(2).

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

The following changes were made in the 01/31/2008 version:

- Divided item a into three subitems, a(1)-(3).
- Revised the titles of disposition items a(1)-(3).
- Revised the disposition instruction for item a(3).

Item c for electronic copies created with word processing and electronic mail applications deleted 08/21/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Research and Development

- **Contact:**
- **Telephone:**

Related Schedules:

Previous NARA Disposal Authority:

NC1-412-77-5/2, NC1-412-85-22/2

Entry: 02/24/1993

EPA Approval: 08/27/2007

NARA Approval: 06/22/2008

This schedule is in development. It may not be used to retire or destroy records. If you have any questions, please contact the [Records Help Desk](#).

EPA Records Schedule 453

Status: Development, 08/31/2007

Title: Acid Deposition, Environmental Monitoring, and Quality Assurance Program Files

Program: Research and Development

Applicability: Headquarters

Function: 316-258 - Applied Science

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

Description:

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.

Disposition Instructions:

Item a: Record copy

- **Permanent**
- Close inactive records at end of year.
- a.(1) • Transfer nonelectronic records to the National Archives 10 years after file closure.
- a.(2) • Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. The retention has not changed.

Item b: All other copies

- **Disposable**

- Close inactive records at end of year.
- Destroy 5 years after file closure.

Guidance:

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item c for electronic copies created with word processing and electronic mail applications deleted 08/21/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Research and Development

- **Contact:**
- **Telephone:**

Related Schedules:

Previous NARA Disposal Authority:

NC1-412-77-5/3, NC1-412-85-22/3

Entry: 02/24/1993

EPA Approval: Pending

NARA Approval: Pending

This schedule is in development. It may not be used to retire or destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 454

Status: Development, 08/31/2007

Title: Health Research Program Files

Program: Research and Development

Applicability: Headquarters

Function: 316-258-03 - Human Health Research

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

Description:

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.

Disposition Instructions:

Item a: Record copy

- **Permanent**
- Close inactive records at end of year.
- a.(i) • Transfer nonelectronic records to the National Archives 10 years after file closure.
- a.(z) • Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 10 years after file closure.

Item b: All other copies

- **Disposable**
- Close inactive records at end of year.

- Destroy 5 years after file closure.

Guidance:

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item c for electronic copies created with word processing and electronic mail applications deleted 08/21/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Research and Development

- **Contact:**
- **Telephone:**

Related Schedules:

Previous NARA Disposal Authority:

NC1-412-77-5/4, NC1-412-85-22/4

Entry: 02/24/1993

EPA Approval: Pending

NARA Approval: Pending

This schedule is in development. It may not be used to retire or destroy records. If you have any questions, please contact the [Records Help Desk](#).

EPA Records Schedule 455

Status: Development, 08/31/2007

Title: Health and Environmental Assessment Program Files

Program: Research and Development

Applicability: Headquarters

Function: 316-258 - Applied Science

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

Description:

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.

Disposition Instructions:

Item a: Record copy

- **Permanent**
- Close inactive records at end of year.

- a(1) • Transfer nonelectronic records to the National Archives in 5 year blocks 30 years after file closure.
- a(2) • Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 30 years after file closure.

Guidance:

Records containing sensitive information must be shredded or otherwise definitively destroyed to protect confidentiality.

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

The following items were deleted 08/21/2006:

Item b - All other copies deleted as nonrecords.

Item c - Electronic copies created with word processing and electronic mail applications deleted pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Research and Development

- **Contact:**
- **Telephone:**

Related Schedules:**Previous NARA Disposal Authority:**

NC1-412-85-22/5

Entry: 02/24/1993

EPA Approval: Pending

NARA Approval: Pending

This schedule is in development. It may not be used to retire or destroy records. If you have any questions, please contact the [Records Help Desk](#).

EPA Records Schedule 456

Status: Development, 08/31/2007

Title: Laboratory Activity Report Files

Program: Research and Development

Applicability: Headquarters

Function: 301-092 - Program Evaluation

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

Description:

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.

Disposition Instructions:

Item a: Record copy

- **Disposable**
- Close inactive records at end of year.
- Destroy 3 years after file closure.

Guidance:

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item b for electronic copies created with word processing and electronic mail applications deleted 08/21/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Research and Development

- **Contact:**
- **Telephone:**

Related Schedules:

EPA 505

Previous NARA Disposal Authority:

NC1-412-77-5/12, NC1-412-85-22/12

Entry: 02/25/1993

EPA Approval: Pending

NARA Approval: Pending

This schedule is in development. It may not be used to retire or destroy records. If you have any questions, please contact the [Records Help Desk](#).

EPA Records Schedule 458

Status: Development, 08/31/2007

Title: Water Supply Laboratory Certification Program Files

Program: Research and Development

Applicability: Headquarters

Function: 316-258-04 - Monitoring/Modeling Methods Development

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

Description:

Includes documentation used to develop evaluation procedures and quality assurance criteria for all laboratories 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.

Disposition Instructions:

Item a: Record copy

- **Disposable**
- Close inactive records upon completion of project.
- Destroy 3 years after file closure

Guidance:

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item b for electronic copies created with word processing and electronic mail applications deleted 08/21/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Research and Development

- **Contact:**
- **Telephone:**

Related Schedules:

Previous NARA Disposal Authority:

NC1-412-77-5/14, NC1-412-85-22/14

Entry: 02/25/1993

EPA Approval: Pending

NARA Approval: Pending

This schedule is in development. It may not be used to retire or destroy records. If you have any questions, please contact the [Records Help Desk](#).

EPA Records Schedule 460

Status: Development, 08/31/2007

Title: Integrated Risk Information System (IRIS) Documentation Files

Program: Research and Development

Applicability: Headquarters

Function: 316-258-03 - Human Health Research

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

Description:

The Integrated Risk Information System (IRIS) documentation contains information related to human health risk assessment. These paper input records are the IRIS program's primary records. IRIS is the Agency's primary vehicle for communication of chronic health hazard information representing EPA consensus positions following comprehensive review by intra-Agency scientists. It is a useful information resource tool that points the user to the underlying human and/or animal data used to support the Agency's opinion. The system contains hazard identification and dose-response risk information for more than 500 chemicals.

Disposition Instructions:

Item a: IRIS complete decision files consisting of case files for those chemicals listed in IRIS

Includes peer review records, key and difficult-to-find reference material such as unpublished studies, EPA reports, and foreign translations.

- **Permanent**
 - Close inactive records when individual chemical assessment is re-accomplished.
- a(1) • Transfer nonelectronic records to the National Archives 20 years after file closure.
- a(2) • Transfer electronic records to the National Archives 5 years after file closure, with any related documentation or external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 20 years after file closure.

Item b: Full sets of RfD/RfC and CRAVE files (prior to 1995)

Includes work group notes for chemical assessments completed or not completed for IRIS.

- **Disposable**
- Close file when program discontinued
- Destroy after file closure.

Item c: Non-decisional file reference and background records

Includes reference material on chemical assessments where no decision was made, miscellaneous internal correspondence, and former IRIS information on health advisories and regulatory actions, and supplemental data prior to 1997.

- **Disposable**
- Close inactive records at end of year.
- Destroy after file closure.

Item d: Submissions from the public

Includes unsolicited and solicited submissions from the public with information on chemicals for consideration in new or future IRIS assessments.

- **Disposable**
- Close inactive records 4 years after receipt of material
- Destroy 20 years after file closure.

Guidance:

Disposition covers only the official record copy of the Office of Research and Development, National Center for Environmental Assessment's Integrated Risk Information System (IRIS) program. The Integrated Risk Information System (IRIS) is scheduled as EPA 468.

Confidential business information, including copies of documents pertaining to chemicals completed or not completed for IRIS (i.e., decisional or non-decisional) are to be returned to the issuing office.

Decision files prior to 1995 include dose/reference concentration (RfD/RfC), and Carcinogen Review and Verification Endeavor (CRAVE) workgroup notes. Decision files from 1995 onward include a decision memo, and summary of Agency consensus review comments and response to those comments.

Records containing sensitive information must be shredded or otherwise definitively destroyed to protect confidentiality.

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item e for confidential business information returned to issuing offices was deleted and added to guidance in the 08/31/2006 version.

Item f for electronic copies created with word processing and electronic mail applications deleted 08/21/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Research and Development, National Center for Environmental Assessment

- **Contact:** Pat Daunt
- **Telephone:** 513-569-7596

Office of Research and Development, National Center for Environmental Assessment

- **Contact:** Amy Mills
- **Telephone:** 202-564-3204

Related Schedules:

EPA 468

Previous NARA Disposal Authority:

N1-412-01-1/1

Entry: 05/20/1993

EPA Approval: Pending

NARA Approval: Pending

This schedule is in development. It may not be used to retire or destroy records. If you have any questions, please contact the [Records Help Desk](#).

EPA Records Schedule 472

Status: Development, 08/31/2007

Title: Source Data Files Relating to In-House Radiological Research Projects

Program: Research and Development Laboratories

Applicability: National Exposure Research Laboratory (NERL)

Function: 316-258 - Applied Science

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

Description:

Includes data files, exclusive of records in the in-house project case files or information in the laboratory notebooks, usually consisting of research findings, test results, magnetic tapes, large volumes of survey questionnaires, or recurring reports in paper format used in the collection and processing of raw data generated by experimental observations and radiological surveillance to arrive at conclusions or scientific determinations during the course of a research project.

One type of data file contains scientific data involved in emergency radiation or non-emergency radiation monitoring of nuclear spills, radiological incidents, space mission launches or nuclear accidents which would be needed for continued research purposes. Includes on-site or off-site radiological surveys and radiological dose calculations collected in or near the vicinity of a nuclear mishap. Involves the collection and coordination of pre-accident and post-accident documentation of environmental data obtained by EPA in cooperation or conjunction with other federal, state, or private agencies involved in investigating or surveillances of radiation spills, leaks, accidents, possible accidents and leaks, or other incidents. Includes original documentation or copies of original results of radiation testing completed by EPA or submitted to EPA by other agencies for compilation of the radiation monitoring data used for final published reports following the occurrence. Examples: Three Mile Island Nuclear Plant, Harrisburg, PA, accident of 1979; Massachusetts Bay Study of 1992 involving radioactive waste disposal dumped in Massachusetts Bay during 1946-1972; monitoring of the NASA Galileo Mission Spacecraft Launch of 1989; Chernobyl meltdown of 1986 in Russia involving radiation fallout in U S

Another type of data file contains 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.

Disposition Instructions:

Item a: Scientific data needed for continued research purposes

Includes emergency radiation or non-emergency radiation monitoring of nuclear spills, radiological incidents, space mission launches or nuclear accidents for Three Mile Island, Massachusetts Bay Study, NASA Galileo Launch, and Chernobyl.

- **Permanent**

- Close inactive records upon completion of research project.

a(1) • Transfer nonelectronic records to the National Archives 30 years from file closure.

a(2) • Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 30 years after file closure.

Item b: Other data files

- **Disposable**

- Destroy upon completion of research project or sooner if no longer needed for research purposes.

Guidance:

Contact the National Records Management Program (NRMP) for assistance in scheduling records similar to item a.

Data files should be identified so they can be linked to specific projects and/or laboratory notebooks.

Other research project files for the Office of Research and Development are covered in EPA 501 and 503.

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item c for electronic copies created with word processing and electronic mail applications deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Research and Development, Environmental Sciences Division

- **Contact:** Myrt Hatfield
- **Telephone:** 702-798-2151

Related Schedules:

EPA 501, EPA 503

Previous NARA Disposal Authority:

N1-412-96-4

Entry: 08/01/1995

EPA Approval: Pending

NARA Approval: Pending

This schedule is in draft. It may be used to retire records, but may not be used to destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 499

Status: Draft, 11/30/2007

Title: Employee Occupational Exposure to Ionizing Radiation

Program: Radiation

Applicability: Radiation and Indoor Environments National Laboratory (RIENL)

Function: 316-258-03 - Human Health Research

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral), excluding any records already in electronic form. Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- **N1-412-07-71/10**

Description:

Consists of documentation of EPA employee occupational exposure to ionizing radiation while using radioactive materials or radiation producing devices in research. Includes quarterly employee exposure reports, lists of approved radioactive isotope users, Nuclear Regulatory Commission (NRC) correspondence, policies regarding handling of radiation, questionnaires, requisitions for radioactive materials and inventories of radioactive materials.

Disposition Instructions:

Item a: Record copy

- **Disposable**
- **Close inactive records at expiration or termination of license.**
- **Destroy 75 years after file closure.**

Guidance:

RIENL is the license holder (1999-2012). Previous license holder was the National Exposure Research Laboratory (NERL) in the Office of Research and Development (ORD).

Occupational injury and illness files for the Safety program are scheduled as EPA

583.

Records containing personal information must be shredded or otherwise definitively destroyed to protect confidentiality.

Specific legal citations include:

- **10 CFR Part 2106**

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item b for electronic copies created with word processing and electronic mail applications deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Air and Radiation, Radiation and Indoor Environments National Laboratory

- **Contact: Chris Fontana**
- **Telephone: 702-784-8272**

Related Schedules:

EPA 583

Previous NARA Disposal Authority:

N1-412-97-5

Entry: 02/22/1995

EPA Approval: 08/27/2007

NARA Approval: Pending

This schedule is in draft. It may be used to retire records, but may not be used to destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 501

Status: Draft, 06/30/2008

Title: Applied and Directed Scientific Research

Program: Research and Development Laboratories

Applicability: Agency-wide

Function: 316-258 - Applied Science

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral), excluding any records already in electronic form. Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- **N1-412-07-71/11**

Description:

Includes project files of all scientific research projects conducted by Agency personnel in the Office of Research and Development laboratories that directly support rule-making, enforcement, regulatory, or policy decisions and research of high programmatic relevance which, in conjunction with other ongoing or planned studies, is expected to provide support of Agency rule-making, regulatory, or policy decisions. Also includes research of significant national interest, such as projects which might be monitored by the Administrator, or technology transfer projects which may be critical to the award of a patent or other important commercial or legal decision.

Disposition Instructions:

Item a(1): Project files - Nonelectronic

Includes documentation related to the formulation and approval of the research plan, the selection of the research methodology, questionnaires, quality assurance project plans, raw data, laboratory notebooks, project- or study-related correspondence, or other data collection media, copies of interim reports showing data tabulation results and interpretations, copies of the final reports, peer reviews, and quality assurance assessments.

- **Permanent**
- **Close inactive records upon completion of project.**
- **Transfer to the National Archives 20 years after file closure.**

Item a(2): Project files - Electronic

Includes documentation related to the formulation and approval of the research plan, the

selection of the research methodology, questionnaires, quality assurance project plans, raw data, laboratory notebooks, project- or study-related correspondence, or other data collection media, copies of interim reports showing data tabulation results and interpretations, copies of the final reports, peer reviews, and quality assurance assessments.

- **Permanent**
- **Close inactive records upon completion of project.**
- **Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time.**

Item a(3): Project files - Electronic copy of records transferred to the National Archives

- **Disposable**
- **Close file upon transfer to the National Archives.**
- **Delete after electronic record copy is successfully transferred to the National Archives.**

Item b: Project workpapers and administrative correspondence

Includes 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.

- **Disposable**
- **Close inactive records upon completion of project.**
- **Destroy 3 years after file closure.**

Item c: Maintenance and calibration and inspection of equipment

- **Disposable**
- **Close inactive records upon completion of project.**
- **Destroy 5 years after file closure.**

Guidance:

Scientific research project files related to basic, exploratory research for the Office of Research and Development laboratories are covered in EPA 503.

Tissue samples and specimens, including wet specimens, samples of test, control, or reference substances, and specially prepared material that are relatively fragile and differ markedly in stability and quality during storage, are to be retained only as long as the quality of the preparation affords evaluation. Specimens obtained from mutagenicity tests, specimens of soil, water, and plants, and wet specimens of blood, urine, feces, biological fluids, do not need to be retained after quality assurance verification. In some research studies involving humans, the agreement with the human subjects requires samples to be destroyed immediately after the analysis and quality assurance verification is complete. In that case, the sample is retained as specified in the agreement.

Other tissue samples and specimens not listed above are to be retained 5 years, then

destroyed.

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

The following change was made in the 06/30/2008 version:

- **Revised title from Scientific Research Project Files Related to Rulemaking to Applied and Directed Scientific Research.**

The following changes were made in the 01/31/2008 version:

- **Divided item a into three subitems, a(1)-(3).**
- **Revised the titles of disposition items a(1)-(3).**
- **Revised the disposition instructions for item a(3).**

Item d for electronic copies created with word processing and electronic mail applications deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Research and Development

- **Contact:**
- **Telephone:**

Related Schedules:

EPA 503

Previous NARA Disposal Authority:

NC1-412-78-3/7, NC1-412-85-23/5, N1-412-04-6

Entry: 06/08/1993

EPA Approval: 08/27/2007

NARA Approval: Pending

This schedule is in development. It may not be used to retire or destroy records. If you have any questions, please contact the [Records Help Desk](#).

EPA Records Schedule 502

Status: Development, 08/31/2007

Title: Instrument Logbooks

Program: Research and Development Laboratories

Applicability: Agency-wide

Function: 316-258 - Applied Science

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

Description:

Consists of notebooks or logs kept by scientists in the course of performing routine, non-programmatic activities such as maintenance of equipment.

Excludes: Laboratory notebooks related to scientific research projects which are covered by EPA 501 for projects related to rulemaking and EPA 503 for projects related to basic, exploratory research.

Disposition Instructions:

Item a: Record copy

- **Disposable**
- Close when notebook or log is complete.
- Destroy 5 years after file closure.

Guidance:

Laboratory notebooks which support in-house research projects are included in EPA 501 for research project files related to rulemaking, and EPA 503 for research project files related to basic, exploratory research.

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Custodians:

Office of Research and Development

- **Contact:**
- **Telephone:**

Related Schedules:

EPA 501, EPA 503

Previous NARA Disposal Authority:

NC1-412-78-3/6, NC1-412-85-23/6, N1-412-03-18

Entry: 06/14/1993

EPA Approval: Pending

NARA Approval: Pending

EPA Records Schedule 503

Status: Final, 08/31/2007

Title: Scientific Research Project Files Related to Basic, Exploratory Research

Program: Research and Development Laboratories

Applicability: Agency-wide

Function: 316-258 - Applied Science

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer

- Pending

Description:

Includes scientific research project files for projects conducted by Agency personnel in the Office of Research and Development laboratories that provide demonstration or proof of concept projects such as method validation studies, and basic, exploratory, conceptual research to study basic phenomena or issues. Includes characterization of health or ecological mechanisms and/or endpoints in order to improve the understanding of the interaction of environmental compounds, conditions, or processes with human and other life forms; and also includes the development of assays or methods for detecting or estimating the influence of a particular environmental agent on a specific health or ecological endpoint.

Disposition Instructions:

Item a: Project files

Includes documentation related to the formulation and approval of the research plan, the selection of the research methodology, questionnaires, quality assurance project plans, raw data, laboratory notebooks, any project- or study-related correspondence, or other data collection media, copies of interim reports showing data tabulation results and interpretations, copies of the final reports, peer reviews, and quality assurance assessments

- **Disposable**
- Close inactive records upon completion of project.
- Destroy 20 years after file closure.

Item b: Maintenance and calibration and inspection of equipment

- **Disposable**

- Close inactive records upon completion of project
- Destroy 5 years after file closure.

Guidance:

Scientific research project files related to rulemaking for Office of Research and Development laboratories are covered in EPA 501.

Tissue samples and specimens, including wet specimens, samples of test, control, or reference substances, and specially prepared material which are relatively fragile and differ markedly in stability and quality during storage, are to be retained only as long as the quality of the preparation affords evaluation. Specimens obtained from mutagenicity tests, specimens of soil, water, and plants, and wet specimens of blood, urine, feces, biological fluids, do not need to be retained after quality assurance verification. In some research studies involving humans, the agreement with the human subjects requires samples to be destroyed immediately after the analysis and quality assurance verification is complete. In that case, the sample is retained as specified in the agreement.

Other tissue samples and specimens not listed above are to be retained 5 years, then destroyed

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item c for electronic copies created with word processing and electronic mail applications deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Research and Development

- **Contact:**
- **Telephone:**

Related Schedules:

EPA 501, EPA 507

Previous NARA Disposal Authority:

NC1-412-78-3/7, NC1-412-85-23/7, N1-412-03-18

Entry: 06/14/1993

EPA Approval: Pending

NARA Approval: Pending

This schedule is in development. It may not be used to retire or destroy records. If you have any questions, please contact the [Records Help Desk](#).

EPA Records Schedule 504

Status: Development, 08/31/2007

Title: Research Project Logbooks or Index Records

Program: Research and Development Laboratories

Applicability: Agency-wide

Function: 316-258 - Applied Science

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

Description:

Includes lists, indexes, logbooks, or other records reflecting the status of individual research projects administered by the environmental research laboratories.

Disposition Instructions:

Item a: Project status lists

- **Disposable**
- Destroy when obsolete or superseded.

Item b: Project logbooks

- **Disposable**
- Close inactive records at end of year.
- Destroy 2 years after file closure.

Guidance:

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item c for electronic copies created with word processing and electronic mail applications deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Research and Development

- **Contact:**
- **Telephone:**

Related Schedules:

Previous NARA Disposal Authority:

NC1-412-78-3/9, NC1-412-85-23/9

Entry: 06/14/1993

EPA Approval: Pending

NARA Approval: Pending

This schedule is in development. It may not be used to retire or destroy records. If you have any questions, please contact the [Records Help Desk](#).

EPA Records Schedule 506

Status: Development, 08/31/2007

Title: Summary Research Projects Status Reports

Program: Research and Development Laboratories

Applicability: Agency-wide

Function: 316 - Applied Research and Science Support

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

Description:

Contains reports submitted by project officers to laboratory management showing the status of their projects

Disposition Instructions:

Item a: Record copy

- **Disposable**
- Close inactive records at end of fiscal year
- Destroy 3 years after file closure.

Guidance:

Reasons for Disposition:

The disposition instructions have been rewritten to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item b for electronic copies created with word processing and electronic mail applications deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Research and Development

- **Contact:**
- **Telephone:**

Related Schedules:

Previous NARA Disposal Authority:

NC1-412-78-3/14, NC1-412-85-23/14

Entry: 06/14/1993

EPA Approval: Pending

NARA Approval: Pending

This schedule is in development. It may not be used to retire or destroy records. If you have any questions, please contact the [Records Help Desk](#).

EPA Records Schedule 507

Status: Development, 08/31/2007

Title: Criteria and Health Assessment Documents and Risk Assessment Guidelines

Program: Research and Development Laboratories

Applicability: Agency-wide

Function: 316-258 - Applied Science

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

Description:

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; document drafts; and other related records and supporting documents. Docket files are maintained for the air and water quality criteria documents

Disposition Instructions:

Item a: Air quality and water quality documents

- **Permanent**
- Close inactive records upon completion of project.
- a(1) • Transfer nonelectronic records to the National Archives in 5 year blocks 30 years after file closure.
- a(2) • Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 30 years after file closure.

Item b: Air quality criteria documents

- **Permanent**

- Close when 5 years old or when the Criteria Document is developed.

b (1) • Transfer nonelectronic records to the National Archives in 5 year blocks 25 years after file closure.

b (2) • Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 25 years after file closure.

Item c: Water quality criteria documents

- **Permanent**

- Close when 5 years old or when the Criteria Document is developed.

c (1) • Transfer nonelectronic records to the National Archives in 5 year blocks 25 years after file closure.

c (2) • Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 25 years after file closure.

Guidance:

Records containing sensitive information must be shredded or otherwise definitively destroyed to protect confidentiality.

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item d for electronic copies created with word processing and electronic mail applications deleted 08/22/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Research and Development

- **Contact:**
- **Telephone:**

Related Schedules:

Previous NARA Disposal Authority:

NC1-412-85-23/15

Entry: 06/14/1993

EPA Approval: Pending

NARA Approval: Pending

This schedule is in development. It may not be used to retire or destroy records. If you have any questions, please contact the [Records Help Desk](#).

EPA Records Schedule 586

Status: Development, 08/31/2007

Title: Laboratory Performance Evaluation Studies Proficiency Testing (PT)

Program: Research and Development Laboratories

Applicability: National Exposure Research Laboratory (NERL)

Function: 301-093 - Program Monitoring

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer

- Pending

Description:

Performance evaluation studies relate to how well laboratories analyze waste water and drinking water, including some Superfund contract work. Consists of studies, performance evaluation reports, performance summaries, statistical reports (state data and regression report), related method specific studies, and other related documents.

Disposition Instructions:

Item a: Record copy

- **Disposable**
- Close inactive records at end of year.
- Destroy 7 years after file closure.

Guidance:

Copies incorporated into other files (e.g., Superfund site files) are retained according to the disposition instructions for the records they support

The database for the paper records is covered by EPA 173 for data files consisting of summarized information.

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item b for electronic copies created with word processing and electronic mail applications deleted 08/23/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Research and Development, National Environmental Research Laboratory

- **Contact:** Paul Britton, John Ortman
- **Telephone:** 513-569-7216

Related Schedules:

EPA 173

Previous NARA Disposal Authority:

N1-412-99-14/3

Entry: 08/23/1993

EPA Approval: Pending

NARA Approval: Pending