

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

JOB NO

N1-412-89-3

DATE RECEIVED

8/28/89

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

1 FROM (Agency or establishment)

Environmental Protection Agency

2 MAJOR SUBDIVISION

Assistance and Interagency Agreement (Grants Admin. Division)

3 MINOR SUBDIVISION

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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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

4 NAME OF PERSON WITH WHOM TO CONFER

Harold Webster
Suzanne Annand

5 TELEPHONE EXT

382-5912
382-5911

DATE

3/12/91

ARCHIVIST OF THE UNITED STATES

[Signature]

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 _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A GAO concurrence ☐ is attached, or ☒ is unnecessary.

B DATE

C SIGNATURE OF AGENCY REPRESENTATIVE

[Signature]
Geoff Steele

D TITLE

Agency Records Management Officer

7
ITEM
NO

8 DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

9 GRS OR
SUPERSEDED
JOB
CITATION

10 ACTION
TAKEN
(NARS USE
ONLY)

5e.

The Assistance and Interagency Agreement Records Control Schedule is being revised to add coverage of Asbestos School Hazards Abatement Assistance Program Agreements.

NC1-412
85-25

Attached is a copy of the revised Assistance and Interagency Agreement Records Control Schedule for item 5e.

Copies sent to agency, NCF, NN-W, NNT 3/14/92

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.	<p><u>Program Management File.</u> Records relating to development, management, and evaluation of assistance agreements.</p> <p>a. <u>Policy and regulations</u> which establish and implement operational procedures for the administration of assistance agreements.</p> <p>b. <u>General administrative correspondence</u> pertaining to normal day-to-day activities of the Grants Administration Division.</p> <p>c. <u>Inquiries Files.</u></p> <p>(1) <u>Congressional.</u></p> <p>(2) <u>Controlled.</u></p> <p>(3) <u>Uncontrolled.</u></p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> 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.</p> <p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file at end of 1 year. Keep in office 2 years and then destroy.</p> <p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break files at end of 1 year. Keep in office 2 years and then destroy.</p> <p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office 2 years and then destroy.</p> <p><u>Retention:</u> Retain 1 year.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office 1 additional year, then destroy.</p>
2.	<p><u>Administrative Reports and Data Relating to Assistance Agreements.</u></p>	<p><u>Retention:</u> Retain 4 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office 1 year, then transfer to the FRC. Destroy when 4 years old.</p>

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
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 5 year blocks.</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.	<p><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> <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.</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 4 years.</p>

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U.S. ENVIRONMENTAL PROTECTION AGENCY--RECORDS CONTROL SCHEDULES

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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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NAME AND DESCRIPTION OF RECORD/FILE

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

RETENTION PERIOD AND DISPOSITION

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

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RETENTION PERIOD AND DISPOSITION

d. Superfund Remedial Planning and Implementation Agreements. Agreements administered by Regional Offices.

PAPER RECORD SYSTEM

Retention: Retain 20 years after completion of all cost-recovery litigation.

Disposition: Break file immediately after close-out of the agreement, then transfer to the FRC. Destroy when 20 years old.

MICROGRAPHIC RECORD SYSTEM

Retention:

a. Paper Records. Retain until conversion to microform has been completed.

b. Microform Copy (Official Record Copy). Retain 20 years after completion of all cost-recovery litigation.

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 20 years old.

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

PAPER RECORD SYSTEM

Retention: Retain 6 years, 3 months

Disposition: Break file immediately after final repayment of loan if any, or closeout of the grant, then transfer to the FRC. Destroy ~~when 6 years old~~ 3 months after loan repayment or grant closeout.

e. Asbestos School Hazards Abatement Assistance Program Agreements. This program was created in 1984 when Congress enacted the Asbestos School Hazard Abatement Act (ASHAA) to offer financial assistance to needy schools so they could abate asbestos materials which pose serious health hazard to building applicants. Loans and grant awards are administered to provide financial assistance for abatement of asbestos in school buildings.

RECORDS MANAGEMENT MANUAL

C/S 2/8/91

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RETENTION PERIOD AND DISPOSITION

MICROGRAPHIC RECORD SYSTEM

Retention:

a. Paper Records. Retain until conversion to microform has been completed.

b. Microform Copy. Retain 6 years, 3 months

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. Break file immediately after repayment of loan if any, or closeout of the grant, then transfer to the FRC. Destroy when 6 years, ~~old~~ 3 months old

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

Retention: Retain 6 years.

Disposition: Break file upon termination of agreement. Keep in office 1 year, then transfer to the FRC. Destroy when 6 years old.

6. 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.

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.

Phone concurrence of Barbara McCoy, EPA
on changes. CJS 2/8/91

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RETENTION PERIOD AND DISPOSITION

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.

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