

**REQUEST AUTHORITY
TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

RG-412

TO: **GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408**

1. FROM (AGENCY OR ESTABLISHMENT)

Environmental Protection Agency

2. MAJOR SUBDIVISION

Enforcement and General Counsel

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Mr. Harold Masters *Harold R. Masters*

5. TEL. EXT.

755-0840

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

LEAVE BLANK	
DATE RECEIVED	JUN 6 1974
JOB NO.	NC 174-255
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 stamped "disposal not approved" or "with-drawn" in column 10.	
Date	<i>10-7-74</i> <i>James P. O'Neill</i> Archivist of the United States

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

6-4-74
(Date)

Harold R. Masters
(Signature of Agency Representative)

Chief, Administrative Management Br.
(Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1-21	Enforcement and General Counsel Descriptions and retention for General Counsel Items are attached Descriptions and retention for Enforcement Items are attached		

64 items

U. S. ENVIRONMENTAL PROTECTION AGENCY

RECORDS CONTROL SCHEDULES FOR THE OFFICE OF
ENFORCEMENT AND GENERAL COUNSEL

Item	Name and Description of Record/File	Retention Period and Disposition
<p>1.</p> <p>R</p>	<p><u>Program Development</u></p> <p>a. Contains documents relating to major policy, program development and direction, and other records used in the management of the program.</p> <p>b. Contains documents relating to the management, operation, development, and guidance of specific programs such as water quality, noise, radiation, etc.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file at the end of 2 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 10 years, then offer to National Archives.</p> <p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file at the end of 2 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy.</p>

* [changes made per authorization M/ Davis 9/20/74 CSR]

Item	Name and Description of Record/File	Retention Period and Disposition
2.	<p><u>Job Applications - Attorneys.</u> Solicited and unsolicited applications for jobs as attorneys in EPA. Records consist of letters requesting jobs, resumes and photos, interview notes and comments.</p>	<p><u>Retention:</u> Retain 1 year after review and evaluation.</p> <p><u>Disposition:</u> Break file at the end of 6 months. Keep in office 6 additional months, then destroy.</p>
3.	<p><u>Environmental Statements.</u> Reports received from other agencies relating to the effects on the immediate community environment. Reports used for review and comment.</p>	<p><u>Retention:</u> Retain 1 year after completion of review.</p> <p><u>Disposition:</u> Break file upon completion of review and comment. Keep in office 1 additional year, then destroy.</p>
4.	<p><u>Legal Interpretations and Opinions</u></p> <p>a. Requests for and responses to requests for legal interpretations and opinions relative to the intent and application of environmental laws and regulations.</p> <p>b. Background material including letters, memos, laboratory reports, Federal Register clippings, and excerpts from court transcripts.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file upon the expiration, amendment, or revision of an Act or Regulation. Keep in Office 30 years, then offer to the National Archives.</p> <p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file at the end of 1 year. Keep in office 2 additional years, then send to Federal Records Center. Keep in FRC for 8 years, then destroy.</p>
5.	<p><u>Litigation.</u></p> <p>a. <u>Clean Air Act, Federal Water Pollution Control Act, and Federal Insecticide, Fungicide and Rodenticide Act.</u> Proposed, pending, and existing legal action involving EPA/State Units vs. Citizen, City, or Industrial/Commercial groups. Records consist of notices of action, petitions for review, stipulations, complaints, summonses, exhibits, copies of State and Federal acts, and court opinions.</p>	<p><u>Retention:</u> Retain 10 years after completion or termination of case.</p> <p><u>Disposition:</u> Break file upon completion of case. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>b. <u>Contracts and Crants</u>. Concerns legal actions related to goods or services under contract or grant to EPA. Records consist of complaints, summonses, briefs, motions, and correspondence related to the action.</p> <p>c. <u>Other</u>. Contains documents pertaining to legal actions or court cases in which EPA is either the plaintiff or defendant. Documents and data relate to all facts of a case such as technical aspects, witnesses, publicity, preparation, and processing of legal papers (briefs, motions, depositions), internal and external correspondence relative to status and settlement, work papers, and notes, etc.</p> <p><i>Handwritten:</i> routine cases separate from Landmark Cases</p>	<p><u>Retention:</u> Retain 10 years after completion or termination of case.</p> <p><u>Disposition:</u> Break file upon completion or termination of case. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy..</p> <p><u>Retention:</u></p> <p>(a) <u>Routine cases</u>. Retain 20 years after completion or termination of case.</p> <p>(b) <u>Landmark cases</u>. Permanent. (Cases designated by the EPA Administrator as landmark or precedent actions.)</p> <p><u>Disposition:</u> Break file upon completion or termination of case. Keep in office 1 additional year, then send to the Federal Records Center. Keep in FRC for 19 years, then destroy routine cases. Offer Landmark cases to Archives.</p>
6.	<p><u>Development and Enforcement of Air and Water Standards by States</u>.</p> <p>a. <u>Air</u>. Submission, progress, and status of clean air standards being enacted into law by States and Territories and submitted to EPA for review and approval. Records consist of letters requesting legal interpretations and opinions, copies of State acts or programs, regional office reviews and comments, and technical reviews.</p>	<p><u>Retention:</u> Retain 12 years after completion of program.</p> <p><u>Disposition:</u> Break file upon completion of program. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 11 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>b. <u>Water.</u></p> <p>(1) Submission, progress, and status of clean water standards being enacted into law by States and Territories and submitted to EPA for review and approval. Records consist of letters requesting legal interpretations and opinions, copies of State acts or programs, regional office reviews and comments, and technical reviews. Letters to Governors approving action by States to clean up a water body, press releases, State publications on pollution control directions to industry, summaries of State action.</p> <p>(2) Contains documents pertaining to the waterways within and bordered by the States, the industries within the States, activities of the States relative to the permit program, development of State clean water acts and agencies to monitor and enforce them, cases referred by EPA to Justice for action.</p>	<p><u>Retention:</u> Retain 12 years after completion of program.</p> <p><u>Disposition:</u> Break file upon completion of program. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 11 years, then destroy.</p> <p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break at the completion of or change in State Permit Programs. Keep in office 2 additional years, then send to Federal Records Center. Keep in FRC for 15 years, then offer to National Archives.</p>
7.	<p><u>Regulations.</u></p> <p>a. <u>Clean Air Act.</u> File contains documents and data relating to the entire Act, sections of the Act, and interpretations and implementation of the Act. Such data are presented in the form of memos, reports, newspaper and magazine articles, and correspondence. Subjects consist of meetings and agenda for meetings, Notices of changes in sections of the Clean Air Act, Notices of Proposed Rule changes relating to the Act.</p>	<p><u>Retention:</u> Retain 25 years.</p> <p><u>Disposition:</u> Break file at the end of 25 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 24 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>b. <u>Federal Water Pollution Control Act.</u> File contains documents and data relating to the entire Act, sections of the Act, and interpretations and implementation of the Act. Such data are presented in the form of memos, reports, newspaper and magazine articles and correspondence. Subjects consist of meetings and agenda for meetings, Notices of Proposed Rule changes relating to the Act.</p>	<p><u>Retention:</u> Retain 25 years.</p> <p><u>Disposition:</u> Break file at the end of 25 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 24 years, then destroy.</p>
	<p>c. <u>Federal Insecticide, Fungicide, and Rodenticide Act.</u> File contains documents and data relating to the entire Act, sections of the Act, and interpretations and implementation of the Act. Such data are presented in the form of memos, reports, newspaper and magazine articles, and correspondence. Subjects consist of meetings and agenda for meetings, Notices of changes in sections of the FIFRA, Notices of Proposed Rule changes relating to the Act.</p>	<p><u>Retention:</u> Retain 25 years.</p> <p><u>Disposition:</u> Break file at the end of 25 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 24 years, then destroy.</p>
<p>R</p>	<p>d. <u>Refuse Act.</u></p> <p>(1) Contains documents relating to the development of the Refuse Act Permit Program. Covers such things as the Permit Application Form and entry instructions, citizen assistance in program enforcement, plan for computer processing, philosophy of permit program, setting up conference hearings, and developing standards. Correspondence and reports relative to the application and enforcement of the Refuse Act of 1899. Documents and data relate to complaints</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file after completion of action or termination of program. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>from States about pollution, response from offenders (polluters), notices of enforcement action, regional recommendations to file civil suit, checklist in support of abatement action, attempts to get offender to file acceptable permit, litigation reports, notices of legal action (to offender).</p> <p>(2) Contains documents pertaining to EPA attempts to restrict pollution through the use of the Refuse Act. Records in file consist of such items as: Checklist in support of water pollution actions, summary fact sheets, summary of action of review committee, notices of referral of cases to Justice.</p> <p>e. <u>Other.</u> File contains documents and data relating to regulations not included in the acts described above, and interpretations and implementation of the regulations. Such data are presented in the form of memos, reports, newspaper and magazine articles and correspondence. Subjects consist of meetings and agenda for meetings, Notices of changes in the regulations.</p> <p>8. <u>Contract and Grant File.</u></p> <p>a. <u>State.</u> Contains documents pertaining to grants and contracts, grant and contract proposals, monitoring work on grants and contracts, statistical sampling techniques, mining and milling, legislative program, international joint</p>	<p><u>Retention:</u> Retain 10 years after completion of case.</p> <p><u>Disposition:</u> Break file upon completion of case. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy.</p> <p><u>Retention:</u> Retain 25 years.</p> <p><u>Disposition:</u> Break file at the end of 25 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 24 years, then destroy.</p> <p><u>Retention:</u> Retain 10 years after completion or termination of contract or grant.</p> <p><u>Disposition:</u> Break file upon the completion of contract or grant.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>commission, fishery services, sea water quality criteria, industrial waste studies (by name of industry). Included are copies of State antipollution acts, guideline for obtaining grants, comments from Congressmen, review of proposed grants, copies of contracts and agreements, and requests for proposals, procurement requests, and purchase orders.</p> <p>b. <u>Commercial and Institutional Contract and Grant File.</u> Consists of contracts and grants proposed by or negotiated with commercial or industrial groups or institutions like colleges or hospitals. Records consist of proposals, contracts, reviews, comments, requests for proposals, procurement requests, purchase orders, and congressional inquiries.</p>	<p>Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy.</p> <p><u>Retention:</u> Retain 10 years after completion of contract or grant.</p> <p><u>Disposition:</u> Break file upon the completion of contract or grant. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy.</p>
9.	<p><u>Patent Developments and Interpretations.</u> Consists of documents pertaining to patent rights on contracts and grants awarded by EPA. Documents consist of copies of the contracts and proposals, invitations to make proposals, disclosures of inventions, affidavits, patent statements, waivers, correspondence between contractors and EPA and within EPA developing the grounds for understanding licensing agreements.</p>	<p><u>Retention:</u> Retain 15 years after completion or termination of contract or grant.</p> <p><u>Disposition:</u> Break file upon the completion or termination of contract or grant. Keep in office 3 additional years, then send to Federal Records Center. Keep in FRC for 12 years, then destroy.</p>
10.	<p><u>Disclosure of Inventions made under Grants, Contracts, and by EPA employees.</u> Consists of documents disclosing inventions made by contractors, grantees, and EPA</p>	<p><u>Retention:</u> Retain 17 years after completion or termination of project or program.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>employees. File consists of patent applications, correspondence with patent office and inventors, power of attorney, invention disclosures, notices of reference citations, lists of foreign patents.</p>	<p><u>Disposition:</u> Break file upon completion or termination of project or program. Keep in office 3 additional years, then send to Federal Records Center. Keep in FRC for 14 years, then destroy.</p>
11.	<p><u>Abatement Commitment Letters (ACL's).</u> Request to and response from industrial organizations and municipalities in regard to their programs and commitment to reduce pollution. Records also pertain to regional commitment programs.</p>	<p><u>Retention:</u> Retain 20 years after completion of action.</p> <p><u>Disposition:</u> Break file upon the completion of action. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 19 years, then destroy.</p>
12.	<p><u>Development and Enforcement of Air and Water Standards by States.</u></p> <p>a. <u>Air.</u> Submission, progress, and status of clean air standards being enacted into law by States and Territories and submitted to EPA for review and approval. Records consist of letters requesting legal interpretations and opinions, copies of State acts or programs, regional office reviews and comments, and technical reviews.</p> <p>b. <u>Water.</u></p> <p>(1) Submission, progress, and status of clean water standards being enacted into law by States and Territories and submitted to EPA for review and approval. Records consist of letters requesting legal interpretations and opinions, copies of State acts or programs, regional office reviews and comments, and</p>	<p><u>Retention:</u> Retain 12 years after completion of program.</p> <p><u>Disposition:</u> Break file upon completion of program. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 11 years, then destroy.</p> <p><u>Retention:</u> Retain 12 years after completion of program.</p> <p><u>Disposition:</u> Break file upon completion of program. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 11 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>technical reviews. Letters to Governors approving action by State to clean up a water body, press releases, State publications on pollution control directions to industry, summaries of State action.</p> <p>(2) Contains documents pertaining to the waterways within and bordered by the States, the industries within the States, activities of the States relative to the Permit program, development of State clean water acts and agencies to monitor and enforce them, cases referred by EPA to Justice for Action.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file at the completion of or change in State Permit Programs. Keep in office 2 additional years, then send to Federal Records Center. Keep in FRC for 15 years, then offer to National Archives.</p>
13.	<p><u>Regulations.</u></p> <p>a. <u>Clean Air Act.</u> File contains documents and data relating to the entire Act, sections of the Act, and interpretations and implementation of the Act. Such data are presented in the form of memos, reports, newspaper and magazine articles, and correspondence. Subjects consist of meetings and agenda for meetings, Notices of changes in sections of the Clean Air Act, Notices of Proposed Rule changes relating to the Act.</p> <p>b. <u>Federal Water Pollution Control Act.</u> File contains documents and data relating to the entire Act, sections of the Act, and interpretations and implementation of the Act. Such data are presented in the form of memos, reports, newspaper and magazine articles and correspondence. Subjects</p>	<p><u>Retention:</u> Retain 25 years.</p> <p><u>Disposition:</u> Break file at the end of 20 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 4 years, then destroy.</p> <p><u>Retention:</u> Retain 25 years.</p> <p><u>Disposition:</u> Break file at the end of 20 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 4 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>consist of meetings and agenda for meetings, Notices of changes in sections of the FWPCA, Notices of Proposed Rule changes relating to the Act.</p> <p>c. <u>Federal Insecticide, Fungicide, and Rodenticide Act.</u> File contains documents and data relating to the entire Act, sections of the Act, and interpretations and implementation of the Act. Such data are presented in the form of memos, reports, newspaper and magazine articles, and correspondence. Subjects consist of meetings and agenda for meetings, Notice of changes in sections of the Clean Air Act, Notices of Proposed Rule changes relating to the Act.</p> <p>d. <u>Refuse Act.</u></p> <p>(1) Contains documents relating to the development of the Refuse Act Permit Program, covers such things as the Permit Application Form and entry instructions, citizen assistance in program enforcement, plan for computer processing, philosophy of Permit program, setting up conference hearings, and developing standards. Correspondence and reports relative to the application and enforcement of the Refuse Act of 1899. Documents and data relate to complaints from States about pollution, response from offenders (polluters), notice of enforcement action, regional recommendations to file civil suit, checklists in support of abatement action, attempts to get offenders to file acceptable permits, litigation reports, notices of legal action (to offender).</p>	<p><u>Retention:</u> Retain 25 years.</p> <p><u>Disposition:</u> Break file at the end of 20 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 4 years, then destroy.</p> <p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file after completion of action or termination of program. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>(2) Contains documents pertaining to EPA attempts to restrict pollution through the use of the Refuse Act. Records in file consist of such items as: Checklists in support of water pollution actions, summary factsheets, summaries of action of review committees, notices of referral of cases to Justice.</p> <p>e. <u>Other.</u> File contains documents and data relating to regulations not described above and interpretations and implementation of the regulations. Such data are presented in the form of memos, reports; newspaper and magazine articles and correspondence. Subjects consist of meetings and agenda for meetings, Notices of proposed changes to the regulations.</p>	<p><u>Retention:</u> Retain 10 years after completion of case.</p> <p><u>Disposition:</u> Break file upon completion of case. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy.</p> <p><u>Retention:</u> Retain 25 years.</p> <p><u>Disposition:</u> Break file at the end of 20 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 4 years, then destroy.</p>
13.	<p><u>Enforcement.</u></p>	
14.	<p>a. <u>Air.</u></p>	
	<p>(1) Contains documents pertaining to the interim program for controlling air pollutants. Documents and data relate to statements of program, analysis of State laws, interim authorization, various program and authorities, statement from Attorney General.</p>	<p><u>Retention:</u> Retain 20 years.</p> <p><u>Disposition:</u> Break file upon completion of program. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 19 years, then destroy.</p>
12	<p>(2) Contains documents pertaining to EPA's enforcement of industrial and municipal compliance with clean air regulations and standards. Documents include background study and surveillance reports, violation notices, press releases, and compliance orders.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file upon the completion of action. Keep in office 3 additional years, then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives.</p>
	<p>b. <u>Water.</u></p> <p>(1) Contains documents pertaining to the interior program for</p>	

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>controlling water pollutants. Documents and data relate to statement of program, analysis of State laws, interim authority, various programs and authorities, and statements from Attorney General.</p>	<p><u>Disposition:</u> Break file upon completion of the program. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 19 years, then destroy.</p> <p><u>Retention:</u> Permanent.</p>
R	<p>(2) Contains documents pertaining to EPA's enforcement of industrial and municipal compliance with clean water regulations and standards. Documents include background study and surveillance reports, violation notices, press releases, and compliance orders.</p>	<p><u>Disposition:</u> Break file upon the completion of action. Keep in office 3 additional years, then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives.</p> <p><u>Retention:</u> Permanent.</p>
R	<p>(3) Contains documents and data relative to the measurement of mercury in water, the effect of mercury on sea life and its effect on consumers, controls to prevent polluting waters with mercury, and compliance by companies.</p>	<p><u>Disposition:</u> Break file at the end of 4 years. Keep in office 2 additional years, then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives.</p> <p><u>Retention:</u> None.</p>
	<p>(4) Publications, textbooks, and similar reference data.</p>	<p><u>Disposition:</u> Destroy or dispose of when record material has been sent to FRC.</p> <p><u>Retention:</u></p>
R	<p>c. <u>Oil Spill.</u> Action taken to make industrial and commercial organizations recognize and respond to their responsibility to clean up and prevent oil spills. Records consist of State and Federal investigation reports, geographic area maps, reports and referral of oil spill cases to the U.S. Attorney, notices to Coast Guard for hearings on oil spills.</p>	<p><u>Retention:</u></p> <p>(a) <u>Routine Cases.</u> Retain 20 years after completion or termination of case.</p> <p>(b) <u>Landmark Cases.</u> Permanent (cases designated by the EPA Administrator as Landmark or precedent actions.)</p> <p><u>Disposition:</u> Break file upon the completion of action. Keep in office 1 additional year, then</p>

Send routine cases separate from landmark cases

Item	Name and Description of Record/File	Retention Period and Disposition
		<p>then send to Federal Records Center. Keep in FRC for 19 years, then destroy routine cases. Offer Landmark Cases to National Archives.</p> <p><u>Retention:</u> Retain 20 years.</p> <p><u>Disposition:</u> Break file upon completion of the program. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 19 years, then destroy.</p>
	<p>d. <u>Mobile.</u> Contains documents pertaining to the control of emissions from automobile engines. Documents and data relate to statement of program, analysis of State laws, interim authorization, various programs and authorities, and statements from Attorney General.</p> <p>e. <u>Pesticides.</u> Contains documents pertaining to the collection of pesticide samples, the laboratory analysis of the samples, the conformity of the packages and labeling to standards and sample content, discovery of violations and enforcement of activities. File contains such records as: sample collection reports, retailer's purchase orders for product shipment from which samples were taken, package labeling, lab analysis reports, case reviews, letters to manufacturers and charge sheets, and manufacturer's replies.</p>	<p><u>Retention:</u> Retain 5 years after completion or termination of case.</p> <p><u>Disposition:</u> Break file upon completion of the case. Keep in office 1 year, then send to Federal Records Center. Keep in FRC for 4 years, then destroy.</p>
14. 15.	<p><u>Conferences, Hearings, and Task Forces.</u></p>	
12	<p>a. <u>Interstate Waters and Conference File.</u> File contains documents pertaining to an interstate body of water, and a State and Federal effort to make or keep it clean. Documents and data contained in the file concern the administrative aspects of enforcement, the social and economic forces acting both for and against cleanup, the development and application of rules for establishing/</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file after the completion of conference and related compliance and legal action. Keep in office 1 additional year then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p data-bbox="382 380 953 472">maintaining clean water conditions, and the monitoring and testing of the water.</p> <p data-bbox="382 508 937 605">Each water body section is divided into 8 parts which contain the following types:</p> <p data-bbox="382 639 961 803">(1) Administrative (Monthly progress reports, requests for technical assistance by State agencies, conference arrangements, budget for project, hearing arrangements);</p> <p data-bbox="382 835 937 999">(2) Compliance (Annual and semiannual conference summary reports, Region checklist, 180 Day Violation Notice, reports of expenditures in compliance actions);</p> <p data-bbox="382 1032 961 1160">(3) Correspondence (Congressional, public and agency, announcements for meetings, invitations, transcript corrections);</p> <p data-bbox="382 1193 953 1322">(4) Legal (Agenda for conference, interagency agreements, affidavits, conference invitations and acknowledgements, summary reports);</p> <p data-bbox="382 1355 890 1483">(5) Legislation (Report of Steering Committees on Sanitary Control Act, draft of proposed State and Federal Legislation);</p> <p data-bbox="382 1516 937 1612">(6) Litigation (State and Federal court actions and opinions and decisions);</p> <p data-bbox="382 1645 953 1741">(7) Newsclippings (Clips from newspapers concerning conference); and</p> <p data-bbox="382 1774 953 1870">(8) Reports (Such subjects as river damage, water pollution control).</p>	

Item	Name and Description of Record/File	Retention Period and Disposition
R	<p>b. <u>Conference Transcripts - Water.</u> Complete verbatim record of conference including charts, pictures, reports, and other exhibits.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file after the completion of conference and related compliance and legal action. Keep in office 1 additional year then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives. Destroy duplicates when record copy sent to FRC.</p>
R	<p>c. <u>Conference Proceedings - Printed and bound copies of narrative reports relating the proceedings of each conference. Contain some exhibits.</u></p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break File after the completion of conference and related compliance and legal action. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives. Destroy duplicates when record copy sent to FRC.</p>
R	<p>d. <u>Conference Summary Reports - Water.</u> Summary writeup of each conference.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file after the completion of conference and related compliance and legal action. Keep in office 1 additional year, then send to Federal Record Center. Keep in FRC for 15 years, then offer to the National Archives. Destroy duplicates when record copy sent to the Archives.</p>
R	<p>e. 1970 and 1971 <u>Automotive Emission - 1970 Hydrocarbons and 1971 Nitrogen Oxide Hearings.</u> Contains documents and data relating to case made by major automobile manufacturers for a suspension of requirements to meet EPA emission</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u></p> <p>(a) Keep in office for 5 years. after completion of edit and assembly, then send to Federal</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	standards established for 1970 1975 model cars. Documents consist mainly of hearing transcripts, depositions, and exhibits.	Records Center. Keep in FRC for 15 years, then offer to the National Archives. (b) Destroy all duplicate copies 1 year after originals sent to FRC.
R	f. <u>Conference Records - Abatement Actions.</u> Contains documents pertaining to the development, arrangement, and conduct of air pollution conferences in multistate areas. Documents relate to recommendations made and actions taken by conferences. Documents maintained in docket folders which contain correspondence, historical logs, newspaper clippings, hearing transcripts, photos, and films.	<u>Retention:</u> Permanent. <u>Disposition:</u> Break file at the completion of conference and related compliance and legal action. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 15 years, then offer to Archives.
R	g. <u>Conference Technical Reports - Stationary Sources.</u> Reports issued prior to conference. Reports cover the history of problem, description of area, description of industrial units in area and an assessment of the pollution problem.	<u>Retention:</u> Permanent. <u>Disposition:</u> Break file upon the completion of Conference Report. File two copies with appropriate Conference Records. Destroy extra copies after sending Conference Records to Federal Records Center.
R	h. <u>Conference Recommendations - Stationary Sources.</u> Findings and recommendations developed by the National Air Pollution Control Administration.	<u>Retention:</u> Permanent. <u>Disposition:</u> Break file upon the completion of Conference Recommendations. File two copies with appropriate Conference Records. Destroy extra copies after sending Conference Records to Federal Records Center.
	i. <u>Enforcement Conferences.</u> Contains documents pertaining to Conferences with States, industrial, and citizen groups for the purpose of getting municipalities and industries to reduce pollution. Records consist of press releases,	<u>Retention:</u> Retain 10 years after completion of conference. <u>Disposition:</u> Break file at the end of conference. Keep in office 1 additional year,

Item	Name and Description of Record/File	Retention Period and Disposition
	news clippings, drafts of proceedings, status reports, and correspondence.	then send to Federal Records Center. Keep in FRC for 9 years, then destroy.
	j. <u>Hughes Task Force</u> . Contains documents pertaining to the work of the task force set-up to study the impact of pending and proposed legislation (1972). Documents and data relate to implementation of Water Bill, staff statistics (requirements), House Bill, issue papers, Strategy papers.	<p><u>Retention</u>: Retain 20 years after completion of conference.</p> <p><u>Disposition</u>: Break file at the end of 1973. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 19 years, then destroy.</p>
15. 16.	<u>Permit Program.</u>	<u>Retention</u> : Permanent.
12	a. <u>State Permit Program</u> . Contains documents pertaining to the interim and final permit program for States. Records consist of copies of State clean water laws, EPA authorization to issue permits, memos of understanding.	<u>Disposition</u> : Break file after completion or change in Permit Program. Keep in office 1 additional year, then send to Federal Records Center. Keep at FRC for 15 years then offer to National Archives.
	b. <u>Early Permit Program</u> . Contains records relating to basic standards and guidelines sent out for comment, data systems (computer) for permit program, drafts of permit application form.	<p><u>Retention</u>: Retain 20 years</p> <p><u>Disposition</u>: Break file at the end of 1973. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 19 years, then destroy.</p>
	c. <u>Technical Program - Studies and Grants</u> . Contains documents pertaining to the Permit Program and related activities. Documents and data related to effluent limitation guidance, development of industrial guidelines, energy crisis, fish forms,	<p><u>Retention</u>: Retain 10 years</p> <p><u>Disposition</u>: Break file at the end of 2 years. Keep in office for 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>hazardous substances, meetings with State and industrial leaders, legislative evaluations, standards, ocean dumping, water strategy, state implementation. Documents pertaining primarily to technical aspects of the Water Quality Program. Documents and data relate to such items as effluent limitation guidance for RAPP by industry, state progress with program, contracts for industrial waste studies river basin studies, computer printout of major discharges of effluents.</p> <p>16. 17. <u>180 Day Notice File - Water.</u></p> <p>a. <u>Official.</u> Contains data relative to action initiated against a pollutor. Pollutor given 180 days to develop program to correct pollution causing conditions. Contains such records as: request to Corps of Engineers to reevaluate companies permits to discharge effluents, letters from city officials and interested citizens (complaints), hearings and fact finding reports, memos to Administrator for issue of 180 Day Notices news releases and clippings, transcripts of informal hearings conducted by EPA under Sec., 10(c)(5) of the Federal Water Pollution Act. File also contains affidavits of service, EPA opening statements and summary of hearings.</p> <p>b. <u>Other (Water Reference File).</u> Contains data on notices issued to organizations (industrial and city) regarding water pollution. Organization given 180 days to</p>	<p>Retention Period and Disposition</p> <p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u></p> <p>(a) Break file after the completion of action. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives.</p> <p>(b) Destroy all duplicates when record copy sent to Records Center.</p> <p><u>Retention:</u> Retain 10 years after completion of case.</p> <p><u>Disposition:</u> Break file upon completion of case. -</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	develop and present plan for halting or reducing pollution. Records consist of background data on offense and offenders, notices to take corrective action, reports on plan and status of implementation.	Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy.
17. 18. 12	<u>Summary Report on the Quality of Interstate Waters.</u> File contains descriptive data relating to an interstate river or body of water. Data contained in a report called "The Summary Report on the Quality of Interstate Waters." Report deals with the rivers location and flow, sources of pollution, adequacy of treatment, nature of delays in abatement, action of agencies, schedule for proposed action. Folders also contain correspondence relating to the reports.	<u>Retention:</u> Permanent. <u>Disposition:</u> Break file after completion of the report. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives.
18. 19.	<u>Emission Control Program.</u> Contains documents pertaining to the development, application, and suspension of guidelines and rules for better controlling the emissions from automobile engines. File contains documents and data relating to: <u>ADVISORY CIRCULARS</u> (proposed EPA engine configuration requirements, application format for heavy duty engine certification, duration of conformity certification) --- <u>FORD FLAP MAINTENANCE VC 6</u> (vehicles transported under limited certificate, Ford's	<u>Retention:</u> Retain 10 years. <u>Disposition:</u> Break file at the end of 2 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy.

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>withdrawal of 1973 application for certification, request for full certification reply to Justice)--- <u>FORD COMPANY CV 7</u> (Ford disclosure of unauthorized maintenance, complaint for injunction and monetary relief) --- <u>SUSPENSION GUIDELINES</u> (procedure for suspension of guidelines, manufacturer's request for public hearing, response to requests to make statement at public hearing, court order, treatment of confidential information). Documents pertaining to the design and operation of programs for mobile units that are in production or are planned for production. File contains documents and data relating to: <u>LABORATORY TEST AND ANALYSIS</u> (emissions -- gas content, evaluations and comments) -- <u>DEFECT DEVICES</u> (policy relative to devices used to circumvent EPA regulations, violations and penalty) -- <u>GENERAL AND CONTROLLED CORRESPONDENCE</u> -- <u>HIGH ALTITUDE EMISSION</u> (reports and discussions regarding change in standards and regulations) -- <u>SUSPENSION GUIDELINES</u> -- <u>COMPANY DATA</u> (background data on various auto and engine manufacturing companies). Contains documents pertaining to parts and alterations to vehicles or motors already in use. File contains documents and data relating to: <u>ADVISORY CIRCULARS</u> (data on antitrust actions);-- <u>CLIPPINGS</u> (ways to prevent air pollution -- <u>STANDARDS AND TEST PROCEDURES</u> (California exhaust emission tests) -- <u>CITIZEN CORRESPONDENCE</u> (Federal Register, should exemption be made because of high altitude, environmental</p>	

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>data on various auto and engine manufacturing companies). Contains documents pertaining to parts and alterations to vehicles or motors already in use. File contains documents and data relating to: <u>ADVISORY CIRCULARS</u> (data on antitrust actions)-- <u>CLIPPINGS</u> (ways to prevent air pollution -- <u>STANDARDS AND TEST PROCEDURES</u> (California exhaust emission tests) -- <u>CITIZEN CORRESPONDENCE</u> (Federal Register, should exemption be made because of high altitude, environmental policy) -- <u>RECALL INVESTIGATIONS</u> (recall of auto by manufacturer for repair or alteration, GM plan) -- <u>STATE INSPECTION SYSTEMS</u> -- <u>REGIONS</u> (delegation of authority, role of region in enforcement, organization.</p>	
<p>19. 20.</p>	<p><u>Fuels and Lead Regulations and Noise Pollution File.</u> Contains documents pertaining to rule making for fuels. Documents and data relate to: <u>FUFL REGISTRATION</u> -- <u>LEAD REGULATION</u> (lead regulations and National Resources Defense Council, test, health effect, methods, hearings) --- <u>FUELS</u> (waste oil report, speech at gas tax conference, additive, composition, state inspection program, small refiners) -- <u>WITNESSES</u> (waiting to testify, list of witnesses). Documents pertaining to the development and application or regulations and standards governing vehicles and engines imported for sale/use. Documents relate to: <u>PENDING IMPORT ADMISSIONS</u> --- <u>CUSTOMS</u></p>	<p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file at the end of 2 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 7 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p><u>RULINGS --- IMPORT DATA SYSTEM -- IMPORT EXEMPTION POLICY --- IMPORT MODIFICATIONS AND APPROVALS --- GREY MARKETERS -- OPERATION AND APPROVAL OF TEST VEHICLES --- EXEMPTIONS AND WAIVEPS.</u> Contains documents pertaining to noise abatement for land vehicles and aircraft, and data on aircraft pollution. Records and data relate to: <u>NOISE</u> (Motor carrier noise analysis, aircraft noise reduction technology, program planning, low noise emission products, railroad noises) -- <u>POLLUTION-AIRCRAFT</u> (proposed regulations, FAA enforcement regulation California standards, working regulations group).</p> <p>20. 21. <u>Import Declaration - Motor Vehicles.</u></p> <p>a. File consists of completed copies of the form, "Importation of Motor Vehicle Engines subject to Federal Vehicle Pollution control Regulation (EPA Form 3520-1)". Occasionally a Declaration of Conformity and copy of HEW Regulation are attached to the EPA form. The EPA form 3520-1 serves as the source document for the automated processing of motor vehicle import data.</p> <p>b. <u>Code Sheets for Import Declaration - "Moses Code Sheets".</u> File made up of the "MOSES" Code Sheet-EPA Hq. Form 1780-3) which is used to make the coded data entries from the EPA Form 3520-1.</p>	<p><u>Retention:</u> Retain 12 months.</p> <p><u>Disposition:</u> Break file at end of month. Keep in office 12 additional months, then destroy.</p> <p><u>Retention:</u> Retain 12 months.</p> <p><u>Disposition:</u> Break file at end of month. Keep in office 12 additional months, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>c. <u>Imported Vehicle Identification Numbers.</u> Listings of imported vehicle and engine numbers supplied by foreign manufacturers or U.S. distributors.</p> <p>d. <u>Imported Vehicle Conformity Certification.</u> Letters, affidavits, and invoices describing modifications to vehicle/engine, and certifying conformity of EPA standards. Agreement to export for resale or cancellation of order because of inability to make modifications.</p>	<p><u>Retention:</u> Retain 12 months.</p> <p><u>Disposition:</u> Break file at end of month. Keep in office 12 additional months, then destroy.</p> <p><u>Retention:</u> Retain ² 4 years.</p> <p><u>Disposition:</u> Break file at the end of 2 years. Keep in office 2 additional years, then destroy.</p>

GENERAL COUNSEL

The records described below relate to legal opinions and legal services to all of the organizational elements of the Agency with respect to all programs and activities of the Agency; legal counsel; litigation support; and development and formulation of Agency policies and programs.

Item	Name and Description of Record/File	Retention Period and Disposition
<p>i, 1.</p>	<p><u>Program Development</u></p> <p>a. Contains documents relating to major policy, program development and direction, and other records used in the management of the program.</p> <p>b. Contains documents relating to the management, operation, development, and guidance of specific programs such as water quality, noise, radiation, etc.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file at the end of 2 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 10 years, then offer to National Archives.</p> <p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file at the end of 2 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 7 years, then destroy.</p>

revised

Item	Name and Description of Record/File	Retention Period and Disposition
2.	<p>2. <u>Job Applications - Attorneys.</u> Solicited and unsolicited applications for jobs as attorneys in EPA. Records consist of letters requesting jobs, resumes and photos, interview notes and comments.</p>	<p><u>Retention:</u> Retain 1 year after review and evaluation.</p> <p><u>Disposition:</u> Break file at the end of 6 months. Keep in office 6 additional months, then destroy.</p>
3.	<p>3. <u>Environmental Statements.</u> Reports received from other agencies relating to the effects on the immediate community environment. Reports used for review and comment.</p>	<p><u>Retention:</u> Retain 1 year after completion of review.</p> <p><u>Disposition:</u> Break file upon completion of review and comment. Keep in office 1 additional year, then destroy.</p>
4.	<p>4. <u>Legal Interpretations.</u></p> <p>a. <u>Clean Air Act.</u> Requests for and response to requests for legal interpretations relative to the intent and application of the Clean Air Act and related environmental protection legislation. Records consist of letters, memos, suspension guidelines requests, Notices of Proposed Rule Making, laboratory reports, and excerpts from court transcripts.</p>	<p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file at the end of 1 year. Keep in office 2 additional years, then send to Federal Records Center. Keep in FRC for 7 years, then destroy.</p>

APPENDIX B

RECORDS CONTROL SCHEDULES

MANUAL

RECORDS MANAGEMENT

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>b. <u>Federal Water Pollution Control Act.</u> Requests for and response to requests for legal interpretations relative to the intent and application of the Federal Water Pollution Control Act and related environmental protection legislation. Records consist of letters, memos, suspension guidelines requests, Notices of Proposed Rule Making, laboratory reports, and excerpts from court transcripts.</p> <p>c. <u>Contract and Grant.</u> Requests for legal interpretations and recommended revisions of State acts and opinions relative to State's participation in grant program. Documents pertaining to such programs as Personal Service Contracts, Relocation Act, Construction Grants, Award Procedure, New Water Bill, Federal Clean Air Incentive. Record content consists of letters and memos relative to problems, court opinions, legal briefs, OMB Circulars, magazine articles, and similar items dealing with specific programs.</p>	<p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file at the end of 1 year. Keep in office 2 additional years, then send to Federal Records Center. Keep in FRC for 7 years, then destroy.</p> <p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file at the end of 1 year. Keep in office 2 additional years, then send to Federal Records Center. Keep in FRC for 7 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>d. <u>Federal Insecticide, Fungicide, and Rodenticide Act.</u> Requests for and response to requests for legal interpretations relative to the intent and application of FIFRA legislation and related environmental protection legislation. Records consist of letters, memos, suspension guideline requests, Notices of Proposed Rule Making, laboratory reports, and excerpts from court transcripts.</p> <p>e. <u>Other.</u> Requests for and response to requests for legal interpretations relative to the intent and application of other related environmental protection legislation. Records consist of letters, memos, suspension guideline requests, Notices of Proposed Rule Making, laboratory reports, and excerpts from court transcripts.</p>	<p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file at end of 1 year. Keep in office 2 additional years, then send to Federal Records Center. Keep in FRC for 7 years, then destroy.</p> <p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition:</u> Break file at end of 1 year. Keep in office 2 additional years, then send to Federal Records Center. Keep in FRC for 7 years, then destroy.</p>
5.	<p>5. <u>Litigation.</u></p> <p>a. <u>Clean Air Act.</u> Proposed, pending, and existing action involving EPA/State Units vs. Citizen, City, or Industrial/Commercial groups. Records consist of notices of action, petitions for review, stipulations, depositions, complaints and cover letters, summonses, exhibits, copies of State and Federal acts, and court opinions.</p>	<p><u>Retention:</u> Retain 10 years after completion or termination of case.</p> <p><u>Disposition:</u> Break file upon completion or termination of case. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>b. <u>Federal Water Pollution Control Act.</u> Proposed, pending, and existing legal action involving EPA/State Units vs. Citizen, City, or Industrial/Commercial groups. Records consist of notices of action, petitions for review, stipulations, depositions, complaints and cover letters, summonses, exhibits, copies of State and Federal acts, and court opinions.</p> <p>c. <u>Federal Insecticide, Fungicide, and Rodenticide Act.</u> Proposed, pending, and existing legal action involving EPA/State Units vs. Citizen, City, or Industrial/Commercial groups. Records consist of notices of action, petitions for review, stipulations, complaints and cover letters, summonses, exhibits, copies of State and Federal acts, and court opinions.</p> <p>d. <u>Contracts and Grants.</u> Concerns legal actions related to goods or services under contract or grant to EPA. Records consist of complaints, summonses, briefs, motions, and correspondence related to the action.</p>	<p><u>Retention:</u> Retain 10 years after completion or termination of case.</p> <p><u>Disposition:</u> Break file upon completion or termination of case. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy.</p> <p><u>Retention:</u> Retain 10 years after completion or termination of case.</p> <p><u>Disposition:</u> Break file upon completion of case. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy.</p> <p><u>Retention:</u> Retain 10 years after completion or termination of case.</p> <p><u>Disposition:</u> Break file upon completion or termination of case. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
R	<p>e. <u>Other</u>. Contains documents pertaining to legal actions or court cases in which EPA is either the plaintiff or defendant. Documents and data relate to all facts of a case such as technical aspects, witnesses, publicity, preparation, and processing of legal papers (briefs, motions, depositions), internal and external correspondence relative to status and settlement, work papers, and notes, etc.</p>	<p><u>Retention:</u></p> <p>(a) <u>Routine cases</u>. Retain 20 years after completion or termination of case.</p> <p>(b) <u>Landmark cases</u>. Permanent. (Cases designated by the EPA Administrator as landmark or precedent actions.)</p> <p><u>Disposition:</u> Break file upon completion or termination of case. Keep in office 1 additional year, then send to the Federal Records Center. Keep in FRC for 19 years, then offer to Archives. If offer is rejected by Archives, destroy routine cases. Offer landmark cases to Archives.</p>
6.	<p>6. <u>Development and Enforcement of Air and Water Standards by States</u></p> <p>a. <u>Air</u>. Submission, progress, and status of clean air standards being enacted into law by States and Territories and submitted to EPA for review and approval. Records consist of letters requesting legal interpretations and opinions, copies of State acts or programs, regional office reviews and comments, and technical reviews.</p>	<p><u>Retention:</u> Retain 12 years after completion of program.</p> <p><u>Disposition:</u> Break file upon completion of program. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 11 years, then destroy.</p>

APPENDIX B
 RECORDS CONTROL SCHEDULES

MANUAL
RECORDS MANAGEMENT

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>b. <u>Water.</u></p> <p>(1) Submission, progress, and status of clean water standards being enacted into law by States and Territories and submitted to EPA for review and approval. Records consist of letters requesting legal interpretations and opinions, copies of State acts or programs, regional office reviews and comments, and technical reviews. Letters to Governors approving action by States to clean up a water body, press releases, State publications on pollution control directions to industry, summaries of State action.</p> <p>(2) Contains documents pertaining to the waterways within and bordered by the States, the industries within the States, activities of the States relative to the permit program, development of State clean water acts and agencies to monitor and enforce them, cases referred by EPA to Justice for action.</p>	<p><u>Retention:</u> Retain 12 years after completion of program.</p> <p><u>Disposition:</u> Break file upon completion of program. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 11 years, then destroy.</p> <p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break at the completion of or change in State Permit Programs. Keep in office 2 additional years, then send to Federal Records Center. Keep in FRC for 15 years, then offer to National Archives.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
7.	<p>7. <u>Regulations.</u></p> <p>a. <u>Clean Air Act.</u> File contains documents and data relating to the entire Act, sections of the Act, and interpretations and implementation of the Act. Such data are presented in the form of memos, reports, newspaper and magazine articles, and correspondence. Subjects consist of meetings and agenda for meetings (i.e., EPA and NAS), Notices of changes in sections of the Clean Air Act, Notices of Proposed Rule changes relating to the Act.</p> <p>b. <u>Federal Water Pollution Control Act.</u> File contains documents and data relating to the entire Act, sections of the Act, and interpretations and implementation of the Act. Such data are presented in the form of memos, reports, newspaper and magazine articles and correspondence. Subjects consist of meetings and agenda for meetings (i.e., EPA and NAS), Notices of Proposed Rule changes relating to the Act.</p>	<p><u>Retention:</u> Retain 25 years.</p> <p><u>Disposition:</u> Break file at the end of 20 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 5 years, then destroy.</p> <p><u>Retention:</u> Retain 25 years.</p> <p><u>Disposition:</u> Break file at the end of 20 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 5 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>c. <u>Federal Insecticide, Fungicide, and Rodenticide Act.</u> File contains documents and data relating to the entire Act, sections of the Act, and interpretations and implementation of the Act. Such data are presented in the form of memos, reports, newspaper and magazine articles, and correspondence. Subjects consist of meetings and agenda for meetings (i.e., EPA and NAS), Notices of changes in sections of the FIFRA, Notices of Proposed Rule changes relating to the Act.</p> <p>d. <u>Refuse Act.</u></p> <p>(1) Contains documents relating to the development of the Refuse Act Permit Program. Covers such things as the Permit Application Form and entry instructions, citizen assistance in program enforcement, plan for computer processing, philosophy of permit program, setting up conference hearings, and developing standards. Correspondence and reports relative to the application and enforcement of the Refuse Act of 1899. Documents and data relate to complaints from States about pollution, response from offenders (polluters), notices of enforcement action, regional recommendations to file civil suit, checklist in</p>	<p><u>Retention:</u> Retain 25 years.</p> <p><u>Disposition:</u> Break file at the end of 20 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 5 years, then destroy.</p> <p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file after completion of action or termination of program. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
7.	<p><u>Regulations.</u></p> <p>(e) a. <u>Clean Air Act.</u> File contains documents and data relating to the entire Act, sections of the Act, and interpretations and implementation of the Act. Such data are presented in the form of memos, reports, newspaper and magazine articles, and correspondence. Subjects consist of meetings and agenda for meetings (i.e., EPA and NAS), Notices of changes in sections of the Clean Air Act, Notices of Proposed Rule changes relating to the Act.</p> <p>(f) b. <u>Federal Water Pollution Control Act.</u> File contains documents and data relating to the entire Act, sections of the Act, and interpretations and implementation of the Act. Such data are presented in the form of memos, reports, newspaper and magazine articles and correspondence. Subjects consist of meetings and agenda for meetings (i.e., EPA and NAS), Notices of Proposed Rule changes relating to the Act.</p>	<p><u>Retention:</u> Retain 25 years.</p> <p><u>Disposition:</u> Break file at the end of 20 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 5 years, then destroy.</p> <p><u>Retention:</u> Retain 25 years.</p> <p><u>Disposition:</u> Break file at the end of 20 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 5 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
8.	<p>8. <u>Contract and Grant File.</u></p> <p>a. <u>State.</u> Contains documents pertaining to grants and contracts, grant and contract proposals, monitoring work on grants and contracts, statistical sampling techniques, mining and milling, legislative program, international joint commission, fishery services, sea water quality criteria, industrial waste studies (by name of industry). Included are copies of State antipollution acts, guideline for obtaining grants, comments from Congressmen, review of proposed grants, copies of contracts and agreements, and requests for proposals, procurement requests, and purchase orders.</p> <p>b. <u>Commercial and Institutional Contract and Grant File.</u> Consists of contracts and grants proposed by or negotiated with commercial or industrial groups or institutions like colleges or hospitals. Records consist of proposals, contracts, reviews, comments, requests for proposals, procurement requests, purchase orders, and congressional inquiries.</p>	<p><u>Retention:</u> Retain 10 years after completion or termination of contract or grant.</p> <p><u>Disposition:</u> Break file upon the completion of contract or grant. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy.</p> <p><u>Retention:</u> Retain 10 years after completion of contract or grant.</p> <p><u>Disposition:</u> Break file upon the completion of contract or grant. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
9.	9. <u>Patent Developments and Interpretations.</u> Consists of documents pertaining to patent rights on contracts and grants awarded by EPA. Documents consist of copies of the contracts and proposals, invitations to make proposals, disclosures of inventions, affidavits, patent statements, waivers, correspondence between contractors and EPA and within EPA developing the grounds for understanding licensing agreements.	<p><u>Retention:</u> Retain 15 years after completion or termination of contract or grant.</p> <p><u>Disposition:</u> Break file upon the completion or termination of contract or grant. Keep in office 3 additional years, then send to Federal Records Center. Keep in FRC for 12 years, then destroy.</p>
10.	10. <u>Disclosure of Inventions made under Grants, Contracts, and by EPA employees.</u> Consists of documents disclosing inventions made by contractors, grantees, and EPA employees. File consists of patent applications, correspondence with patent office and inventors, power of attorney, invention disclosures, notices of reference citations, lists of foreign patents.	<p><u>Retention:</u> Retain 17 years after completion or termination of project or program.</p> <p><u>Disposition:</u> Break file upon completion or termination of project or program. Keep in office 3 additional years, then send to Federal Records Center. Keep in FRC for 14 years, then destroy.</p>

APPENDIX B
RECORDS CONTROL SCHEDULES

MANUAL
RECORDS MANAGEMENT

Item	Name and Description of Record/File	Retention Period and Disposition
11.	<p><u>Abatement Commitment Letters (ACL's)</u>. Request to and response from industrial organizations and municipalities in regard to their programs and commitment to reduce pollution. Records also pertain to regional commitment programs.</p>	<p><u>Retention:</u> Retain 20 years after completion of action.</p> <p><u>Disposition:</u> Break file upon the completion of action. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 19 years, then destroy.</p>
12.	<p><u>Legal Opinions</u>. Contains documents directly relating to legal opinions issued by the Office of General Counsel.</p> <p>NOTE: Where legal opinions are not maintained separately, they should be removed from the files in which they are maintained before those files are sent to the Federal Records Center.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> After breaking file, remove and provide separate and secure maintenance in office.</p>

APPENDIX B

RECORDS CONTROL SCHEDULES

MANUAL

RECORDS MANAGEMENT

ENFORCEMENT.

The records described below relate to the development of policy and program direction to Agency enforcement activities in the water, air, noise, radiation, pesticides, and solid waste program areas. Development of regulations, guidelines, criteria, procedures, and policy statements designed to bring about actions by individuals, private enterprises, and governmental bodies to improve the quality of the water, air, and land.

Item	Name and Description of Record/File	Retention Period and Disposition
<p>13. 1.</p> <p>R</p>	<p><u>Program Development</u></p> <p>a. Contains documents relating to major policy, program development and direction, and other records used in the management of the program.</p> <p>b. Contains documents relating to the management, operation, development, and guidance of specific programs such as water quality, noise, radiation, etc.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition.</u> Break file at the end of 2 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 10 years, then offer to National Archives.</p> <p><u>Retention:</u> Retain 10 years.</p> <p><u>Disposition.</u> Break file at the end of 2 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 7 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
14.	<p>2. <u>Job Applications - Attorneys.</u> Solicited and unsolicited applications for jobs as attorneys in EPA. Records consist of letters requesting jobs, resumes and photos, interview notes and comments.</p>	<p><u>Retention:</u> Retain 1 year after review and evaluation. <u>Disposition:</u> Break file at the end of 6 months. Keep in office 6 additional months, then destroy.</p>
15.	<p>3. <u>Development and Enforcement of Air and Water Standards by States.</u></p> <p>a. <u>Air.</u> Submission, progress, and status of clean air standards being enacted into law by States and Territories and submitted to EPA for review and approval. Records consist of letters requesting legal interpretations and opinions, copies of State acts or programs, regional office reviews and comments, and technical reviews.</p> <p>b. <u>Water.</u></p> <p>(1) Submission, progress, and status of clean water standards being enacted into law by States and Territories and submitted to EPA for review and approval. Records consist of letters requesting legal interpretations and opinions, copies of State acts or programs, regional office reviews and comments, and technical reviews. Letters to Governors approving action by State to clean up a water body, press releases, State publications on pollution control directions to industry, summaries of State action.</p>	<p><u>Retention:</u> Retain 12 years after completion of program. <u>Disposition:</u> Break file upon completion of program. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 11 years, then destroy.</p> <p><u>Retention:</u> Retain 12 years after completion of program. <u>Disposition:</u> Break file upon completion of program. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 11 years, then destroy.</p>

APPENDIX B

RECORDS CONTROL SCHEDULES

MANUAL
RECORDS MANAGEMENT

Item	Name and Description of Record/File	Retention Period and Disposition
<p>16.</p> <p>2</p> <p>4.</p>	<p>(2) Contains documents pertaining to the waterways within and bordered by the States, the industries within the States, activities of the States relative to the Permit program, development of State clean water acts and agencies to monitor and enforce them, cases referred by EPA to Justice for Action.</p> <p><u>Regulations.</u></p> <p>a. <u>Clean Air Act.</u> File contains documents and data relating to the entire Act, sections of the Act, and interpretations and implementation of the Act. Such data are presented in the form of memos, reports, newspaper and magazine articles, and correspondence. Subjects consist of meetings and agenda for meetings (i.e., EPA and NAS), Notices of changes in sections of the Clean Air Act, Notices of Proposed Rule changes relating to the Act.</p> <p>b. <u>Federal Water Pollution Control Act.</u> File contains documents and data relating to the entire Act, sections of the Act, and interpretations and implementation of the Act. Such data are presented in the form of memos, reports, newspaper and magazine articles and correspondence. Subjects</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file at the completion of or change in State Permit Programs. Keep in office 2 additional years, then send to Federal Records Center. Keep in FRC for 15 years, then offer to National Archives.</p> <p><u>Retention:</u> Retain 25 years.</p> <p><u>Disposition:</u> Break file at the end of 20 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 34 years, then destroy.</p> <p><u>Retention:</u> Retain 25 years.</p> <p><u>Disposition:</u> Break file at the end of 20 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 5 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>consist of meetings and agenda for meetings (i.e. EPA and NAS), Notices of changes in sections of the FWPCA, Notices of Proposed Rule changes relating to the Act.</p> <p>c. <u>Federal Insecticide, Fungicide and Rodenticide Act.</u> File contains documents and data relating to the entire Act, sections of the Act, and interpretations and implementation of the Act. Such data are presented in the form of memos, reports, newspaper and magazine articles, and correspondence. Subjects consist of meetings and agenda for meetings (i.e., EPA and NAS), Notices of changes in sections of the FIFRA, Notices of Proposed Rule changes relating to the Act.</p> <p>d. <u>Refuse Act.</u></p> <p>(1) Contains documents relating to the development of the Refuse Act Permit Program, covers such things as the Permit Application Form and entry instructions, citizen assistance in program enforcement, plan for computer processing, philosophy of Permit program, setting up conference hearings, and developing standards. Correspondence and reports relative to the application and enforcement of the Refuse Act of 1899. Documents and data relate to complaints</p>	<p><u>Retention:</u> Retain 25 years.</p> <p><u>Disposition:</u> Break file at the end of 20 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 5 years, then destroy.</p> <p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file after completion of action or termination of program. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>from States about pollution, response from offenders (polluters), notice of enforcement action, regional recommendations to file civil suit, checklists in support of abatement action, attempts to get offenders to file acceptable permits, litigation reports, notices of legal action (to offender).</p> <p>(2) Contains documents pertaining to EPA attempts to restrict pollution through the use of the Refuse Act. Records in file consist of such items as: Checklists in support of water pollution actions, summary factsheets, summaries of action of review committees, notices of referral of cases to Justice.</p> <p>e. <u>Other</u>. File contains documents and data relating to regulations not described above and interpretations and implementation of the regulations. Such data are presented in the form of memos, reports; newspaper and magazine articles and correspondence. Subjects consist of meetings and agenda for meetings, Notices of proposed changes to the regulations.</p>	<p><u>Retention</u>: Retain 10 years after completion of case.</p> <p><u>Disposition</u>: Break file upon completion of case. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy.</p> <p><u>Retention</u>: Retain 25 years.</p> <p><u>Disposition</u>: Break file at the end of 20 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 5 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
17. 5.	<p><u>Contract and Grant File.</u></p> <p>a. <u>State.</u> Contains documents pertaining to grants and contracts, grant and contract proposals, monitoring work on grants and contracts, statistical sampling techniques, mining and milling, legislative program, International Joint Commission, fishery services, sea water quality criteria, industrial waste studies (by name of industry). Included are copies of State antipollution acts, guidelines for obtaining grants, comments from Congressmen, review of proposed grants, copies of contracts and agreements, and requests for proposals, procurement requests, and purchase orders.</p> <p>b. <u>Commercial and Institutional Contract and Grant File.</u> Consists of contracts and grants proposed by or negotiated with commercial or industrial groups or institutions such as colleges and hospitals. Records consist of proposals, contracts, reviews, comments, requests for proposals, procurement requests, purchase orders, and congressional inquiries.</p>	<p><u>Retention:</u> Retain 10 years after completion or termination of contract or grant.</p> <p><u>Disposition:</u> Break file upon the completion of contract or grant. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy.</p> <p><u>Retention:</u> Retain 10 years after completion or termination of contract or grant.</p> <p><u>Disposition:</u> Break file upon the completion of contract or grant. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy.</p>

APPENDIX B

RECORDS CONTROL SCHEDULES

MANUAL
RECORDS MANAGEMENT

Item	Name and Description of Record/File	Retention Period and Disposition
18.	6. Abatement Commitment Letters (ACL's). Requests to and responses from industrial organization and municipalities in regard to their programs and commitments to reduce pollution. Records also pertain to regional commitment programs.	<p><u>Retention:</u> Retain 20 years after completion of action.</p> <p><u>Disposition:</u> Break file upon the completion of action. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 19 years, then destroy.</p>
19.	<p>7.a <u>Enforcement.</u> Contains documents and publications used as source documents and material for putting together the EPA Enforcement Handbook "First Two Years." Documents and data relate to history of air and water legislation, State programs (briefs), State laws, commercial organization background material, litigation history, Federal Register, etc. <i>Mainly reference materials and working papers.</i></p> <p>a. <u>Air.</u></p> <p>(1) Contains documents pertaining to the interim program for controlling air pollutants. Documents and data relate to statements of program, analysis of State laws, interim authorization, various program and authorities, statement from Attorney General.</p>	<p><u>Retention:</u> Retain 2 years after completion of publication.</p> <p><u>Disposition:</u> Break file after completion of publication. Keep in office for 2 years, then destroy.</p> <p><u>Retention:</u> Retain 20 years.</p> <p><u>Disposition:</u> Break file upon completion of program. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 19 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
R	<p>(2) Contains documents pertaining to EPA's enforcement of industrial and municipal compliance with clean air regulations and standards. Documents include background study and surveillance reports, violation notices, press releases, and compliance orders.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file upon the completion of action, Keep in office 3 additional years, then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives.</p>
C	<p>b. <u>Water.</u></p> <p>(1) Contains documents pertaining to the interior program for controlling water pollutants. Documents and data relate to statement of program, analysis of State laws, interim authorization, various programs and authorities, and statements from Attorney General.</p>	<p><u>Retention:</u> Retain 20 years.</p> <p><u>Disposition:</u> Break file upon completion of the program. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 19 years, then destroy.</p>
R	<p>(2) Contains documents pertaining to EPA's enforcement of industrial and municipal compliance with clean water regulations and standards. Documents include background study and surveillance reports, violation notices, press releases, and compliance orders.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file upon the completion of action. Keep in office 3 additional years, then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives.</p>

APPENDIX B

RECORDS CONTROL SCHEDULES

MANUAL

RECORDS MANAGEMENT

Item	Name and Description of Record/File	Retention Period and Disposition
R	(3) Contains documents and data relative to the measurement of mercury in water, the effect of mercury on sea life and its effect on consumers, controls to prevent polluting waters with mercury, and compliance by companies.	Retention: Permanent. Disposition: Break file at the end of 4 years. Keep in office 2 additional years, then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives.
	(H) (Publications, textbooks, and similar reference data.)	Destroy or dispose of when record material has been sent to FRC.
R	d. <u>Oil Spill</u> . Action taken to make industrial and commercial organizations recognize and respond to their responsibility to clean up and prevent oil spills. Records consist of State and Federal investigation reports, geographic area maps, reports and referral of oil spill cases to the U.S. Attorney, notices to Coast Guard for hearings on oil spills.	Retention: (a) <u>Routine Cases</u> . Retain 20 years after completion or termination of case. (b) <u>Landmark Cases</u> . Permanent. (cases designated by the EPA Administrator as Landmark or precedent actions.) Disposition: Break file upon the completion of action. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 19 years, then offer to the National Archives. If offer-rejected by Archives, destroy routine cases. Offer landmark cases to Archives.
R	1. <u>Mobile</u> . Contains documents pertaining to the control of emissions from automobile engines. Documents and data relate to	Retention: Retain 20 years. Disposition: Break file upon completion of the program.

Item	Name and Description of Record/File	Retention Period and Disposition
	statement of program, analysis of State laws, interim authorization, various programs and authorities, and statements from Attorney General.	Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 19 years, then destroy.
	4. <u>Pesticides</u> . Contains documents pertaining to the collection of pesticide samples, the laboratory analysis of the samples, the conformity of the packages and labeling to standards and sample content discovery of violations and enforcement of activities. File contains such records as: sample collection reports, retailer's purchase orders for product shipment from which samples were taken, package labeling, lab analysis reports, case reviews, letters to manufacturers and charge sheets, and <u>manufacturer's replies</u> .	<u>Retention</u> : Retain 5 years after completion or termination of case. <u>Disposition</u> : Break file upon completion of the case. Keep in office 1 year, then send to Federal Records Center. Keep in FRC for 4 years, then destroy.
20.	8. <u>Conferences, Hearings, and Task Forces</u> .	
R	a. <u>Interstate Waters and Conference File</u> . File contains documents pertaining to an interstate body of water, and a State and Federal effort to make or keep it clean. Documents and data contained in the file concern the administrative aspects of enforcement, the social and economic forces acting both for and against cleanup, the development and application of rules for establishing/	<u>Retention</u> : Permanent. <u>Disposition</u> : Break file after the completion of conference and related compliance and legal action. Keep in office 1 additional year then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives.

Item	Name and Description of Record/File	Retention Period and Disposition
	(7) Newsclippings (Clips from newspapers concerning conference); and	
	(8) Reports (Such subjects as river damage, water pollution control).	
R	b. <u>Conference Transcripts - Water</u> . Complete verbatim record of conference including charts, pictures, reports, and other exhibits.	Retention: Permanent. Disposition: Break file after the completion of conference and related compliance and legal action. Keep in office 1 additional year then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives. Destroy duplicates when record copy sent to FRC.
R	c. <u>Conference Proceedings - Printed and bound copies of narrative reports relating the proceedings of each conference. Contain some exhibits.</u>	Retention: Permanent. Disposition: Break File after the completion of conference and related compliance and legal action. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives. Destroy duplicates when record copy sent to FRC.
R	d. <u>Conference Summary Reports - Water</u> . Summary writeup of each conference.	Retention: Permanent. Disposition: Break file after the completion of conference

APPENDIX B

RECORDS CONTROL SCHEDULES

MANUAL
RECORDS MANAGEMENT

Item	Name and Description of Record/File	Retention Period and Disposition
	<p style="text-align: center;"><i>Hearings</i></p> <p>e. <u>Model 1975 and 1976 Automotive Emission Hearings - 1975 Hydrocarbons and 1976 Nitrogen Oxide.</u> Contains documents and data relating to case made by major automobile manufacturers for a suspension of requirements to meet EPA emission standards established for 1975 and 1976 model cars. Documents consist mainly of hearing transcripts, depositions, and exhibits.</p> <p>f. <u>Conference Records - Abatement Actions.</u> Contains documents pertaining to the development, arrangement, and conduct of air pollution conferences in multistate areas. Documents relate to recommendations made and actions taken by conferences. Documents maintained in docket folders which contain correspondence, historical logs, newspaper clippings, hearing transcripts, photos, and films.</p>	<p>and related compliance and legal action. Keep in office 1 additional year, then send to Federal Record Center. Keep in FRC for 15 years, then offer to the National Archives. Destroy duplicates when record copy sent to the Archives.</p> <p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> (a) Keep in office for 5 years. After completion of edit and assembly, then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives.</p> <p>(b) Destroy all duplicate copies 1 year after originals sent to FRC.</p> <p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file at the completion of conference and related compliance and legal action. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 15 years, then offer to Archives.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
R	<p>g. <u>Conference Technical Reports - Stationary Sources</u>. Reports issued prior to conference. Reports cover the history of problem, description of area, description of industrial units in area and an assessment of the pollution problem.</p>	<p><u>Retention</u>: Permanent.</p> <p><u>Disposition</u>: Break file upon the completion of Conference Report. File two copies with appropriate Conference Records. Destroy extra copies after sending Conference Records to Federal Records Center.</p>
R	<p>h. <u>Conference Recommendations - Stationary Sources</u>. Findings and recommendations developed by the National Air Pollution Control Administration.</p>	<p><u>Retention</u>: Permanent.</p> <p><u>Disposition</u>: Break file upon the completion of Conference Recommendations. File two copies with appropriate Conference Records. Destroy extra copies after sending Conference Records to Federal Records Center.</p>
	<p>i. <u>Enforcement Conferences</u>. Contains documents pertaining to Conferences with States, industrial, and citizen groups for the purpose of getting municipalities and industries to reduce pollution. Records consist of press releases, news clippings, drafts of proceedings, status reports, and correspondence.</p>	<p><u>Retention</u>: Retain 10 years after completion of conference.</p> <p><u>Disposition</u>: Break file at the end of conference. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>j. <u>Hughes Task Force</u>. Contains documents pertaining to the work of the task force set-up to study the impact of pending and proposed legislation (1972). Documents and data relate to implementation of Water Bill, staff statistics (requirements), House Bill, issue papers, Strategy papers.</p>	<p><u>Retention</u>: Retain 20 years after completion of conference.</p> <p><u>Disposition</u>: Break file at the end of 1973. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 19 years, then destroy.</p>
21	<p>9. <u>Permit Program</u>.</p>	<p><u>Retention</u>: Permanent.</p>
R	<p>a. <u>State Permit Program</u>. Contains documents pertaining to the interim and final permit program for States. Records consist of copies of State clean water laws, EPA authorization to issue permits, memos of understanding.</p>	<p><u>Disposition</u>: Break file after completion or change in Permit Program. Keep in office 1 additional year, then send to Federal Records Center. Keep at FRC for 15 years then offer to National Archives.</p>
	<p>b. <u>Early Permit Program</u>. Contains records relating to basic standards and guidelines sent out for comment, data systems (computer) for permit program, drafts of permit application form.</p>	<p><u>Retention</u>: Retain 20 years</p> <p><u>Disposition</u>: Break file at the end of 1973. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 19 years, then destroy.</p>
	<p>c. <u>Technical Program - Studies and Grants</u>. Contains documents pertaining to the Permit Program and related activities. Documents and data related to effluent limitation guidance, development of industrial guidelines, <i>energy crisis fish forms.</i></p>	<p><u>Retention</u>: Retain 10 years</p> <p><u>Disposition</u>: Break file at the end of 2 years. Keep in office for 1 additional year, then send to Federal Records Center. Keep in FRC for 7 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>hazardous substances, meetings with State and industrial leaders, legislative evaluations, standards, ocean dumping, water strategy, state implementation. Documents pertaining primarily to technical aspects of the Water Quality Program. Documents and data relate to such items as effluent limitation guidance for RAPP by industry, state progress with program, contracts for industrial waste studies, river basin studies, computer printout of major discharges of effluents.</p>	
<p>22. 10.</p>	<p><u>180 Day Notice File - Water.</u></p> <p>a. <u>Official.</u> Contains data relative to action initiated against a pollutor. Pollutor given 180 days to develop program to correct pollution causing conditions. Contains such records as: request to Corps of Engineers to reevaluate companies permits to discharge effluents, letters from city officials and interested citizens (complaints), hearings and fact finding reports, memos to Administrator for issue of 180 Day Notices, news releases and clippings, transcripts of informal hearings conducted by EPA under Sec., 10(c)(5) of the Federal Water Pollution Act. File also contains affidavits of service, EPA opening statements and summary of hearings.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> (a) Break file after the completion of action. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives. (b) Destroy all duplicates when record copy sent to Records Center.</p>

APPENDIX B

RECORDS CONTROL SCHEDULES

MANUAL
RECORDS MANAGEMENT

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>b. <u>Other (Water Reference File)</u>. Contains data on notices issued to organizations (industrial and city) regarding water pollution. Organization given 180 days to develop and present plan for halting or reducing pollution. Records consist of background data on offense and offenders, notices to take corrective action, reports on plan and status of implementation.</p>	<p><u>Retention</u>: Retain 10 years after completion of case.</p> <p><u>Disposition</u>: Break file upon completion of case. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 9 years, then destroy.</p>
23.	<p>11. <u>Summary Report on the Quality of Interstate Waters</u>. File contains descriptive data relating to an interstate river or body of water. Data contained in a report called "The Summary Report on the Quality of Interstate Waters." Report deals with the rivers location and flow, sources of pollution, adequacy of treatment, nature of delays in abatement, action of agencies, schedule for proposed action. Folders also contain correspondence relating to the reports.</p>	<p><u>Retention</u>: Permanent.</p> <p><u>Disposition</u>: Break file after completion of the report. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives.</p>
24.	<p>12. <u>Emission Control Program</u>. Contains documents pertaining to the development, application, and suspension of guidelines and rules for better controlling the emissions from automobile engines. File contains documents and data relating to: <u>ADVISORY CIRCULARS</u></p>	<p><u>Retention</u>: Retain 10 years.</p> <p><u>Disposition</u>: Break file at the end of 2 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 7 years, then destroy.</p>

MANUAL
RECORDS MANAGEMENT

APPENDIX B

RECORDS CONTROL SCHEDULES

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>(proposed EPA engine configuration requirements, application format for heavy duty engine certification, duration of conformity certification) --- <u>FORD FLAP MAINTENANCE VC 6</u> (vehicles transported under limited certificate, Ford's withdrawal of 1973 application for certification, request for full certification reply to Justice)--- <u>FORD COMPANY CV 7</u> (Ford disclosure of unauthorized maintenance, complaint for injunction and monetary relief) --- <u>SUSPENSION GUIDELINES</u> (procedure for suspension of guidelines, manufacturer's request for public hearing, response to requests to make statement at public hearing, court order, treatment of confidential information). Documents pertaining to the design and operation of programs for mobile units that are in production or are planned for production. File contains documents and data relating to: <u>LABORATORY TEST AND ANALYSIS</u> (emissions -- gas content, evaluations and comments) -- <u>DEFECT DEVICES</u> (policy relative to devices used to circumvent EPA regulations, violations and penalty) -- <u>GENERAL AND CONTROLLED CORRESPONDENCE</u> -- <u>HIGH ALTITUDE EMISSION</u> (reports and discussions regarding change in standards and regulations) -- <u>SUSPENSION GUIDELINES</u> -- <u>COMPANY DATA</u> (background</p>	

APPENDIX B

RECORDS CONTROL SCHEDULES

MANUAL
RECORDS MANAGEMENT

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>data on various auto and engine manufacturing companies). Contains documents pertaining to parts and alterations to vehicles or motors already in use. File contains documents and data relating to: <u>ADVISORY CIRCULARS</u> (data on antitrust actions)-- <u>CLIPPINGS</u> (ways to prevent air pollution -- <u>STANDARDS AND TEST PROCEDURES</u> (California exhaust emission tests) -- <u>CITIZEN CORRESPONDENCE</u> (Federal Register, should exemption be made because of high altitude, environmental policy) -- <u>RECALL INVESTIGATIONS</u> (recall of auto by manufacturer for repair or alteration, GM plan) -- <u>STATE INSPECTION SYSTEMS</u> -- <u>REGIONS</u> (delegation of authority, role of region in enforcement, organization.</p> <p>a. <u>Fuels and Lead Regulations and Noise Pollution File</u>. Contains documents pertaining to rule making for fuels. Documents and data relate to: <u>FUEL REGISTRATION</u> -- <u>LEAD REGULATION</u> (lead regulations and National Resources Defense Council, test, health effect, methods, hearings) --- <u>FUELS</u> (waste oil report, speech at gas tax conference, additive, composition, state inspection program, small refiners) -- <u>WITNESSES</u> (waiting to testify, list of witnesses). Documents pertaining to the development and</p>	<p>Retention: Retain 10 years.</p> <p>Disposition: Break file at the end of 2 years. Keep in office 1 additional year, then send to Federal Records Center. Keep in FRC for 7 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>application or regulations and standards governing vehicles and engines imported for sale/use. Documents relate to: <u>PENDING IMPORT ADMISSIONS</u> --- <u>CUSTOMS RULINGS</u> --- <u>IMPORT DATA SYSTEM</u> --- <u>IMPORT EXEMPTION POLICY</u> --- <u>IMPORT MODIFICATIONS AND APPROVALS</u> --- <u>GREY MARKETERS</u> -- <u>OPERATION AND APPROVAL OF TEST VEHICLES</u> --- <u>EXEMPTIONS AND WAIVERS</u>. Contains documents pertaining to noise abatement for land vehicles and aircraft, and data on aircraft pollution. Records and data relate to: <u>NOISE</u> (Motor carrier noise analysis, aircraft noise reduction technology, program planning, low noise emission products, railroad noises) -- <u>POLLUTION-AIRCRAFT</u> (proposed regulations, FAA enforcement regulation California standards, working regulations group).</p> <p>b. <u>Import Declaration - Motor Vehicles</u>. File made up primarily of completed copies of the form, "Importation of Motor Vehicles and Motor Vehicle Engines subject to Federal Vehicle Pollution Control Regulations (EPA Form 3520-1)". Occasionally a Declaration of Conformity and copy of HEW Regulation are attached to the EPA form. The EPA form 3520-1 serves as the</p>	<p><u>Retention</u>: Retain 12 months.</p> <p><u>Disposition</u>: Break file at end of month. Keep in office 12 additional months, then destroy.</p>

APPENDIX B

RECORDS CONTROL SCHEDULES

MANUAL
RECORDS MANAGEMENT

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>source document for the automated processing of motor vehicle import data.</p> <p>c. <u>Code Sheets for Import Declaration - "Moses Code Sheets"</u>. File made up of the "MOSES" Code Sheet-EPA Hq. Form 1780-3) which is used to make the coded data entries from the EPA Form 3520-1.</p> <p>d. <u>Imported Vehicle Identification Numbers</u>. Listings of imported vehicle and engine numbers supplied by foreign manufacturers or U.S. distributors.</p> <p>e. <u>Imported Vehicle Conformity Certification</u>. Letters, affidavits, and invoices describing modifications to vehicle/engine, and certifying conformity of EPA standards. Agreement to export for resale or cancellation of order because of inability to make modifications.</p>	<p><u>Retention:</u> Retain 12 months.</p> <p><u>Disposition:</u> Break file at end of month. Keep in office 12 additional months, then destroy.</p> <p><u>Retention:</u> Retain 12 months.</p> <p><u>Disposition:</u> Break file at end of month. Keep in office 12 additional months, then destroy.</p> <p><u>Retention:</u> Retain 4 years.</p> <p><u>Disposition:</u> Break file at the end of 2 years. Keep in office 2 additional years, then destroy.</p>