

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC-412-75-003**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records.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

Inspection Records, items 1-3, remain valid

### **SUPERSEDED AND OBSOLETE ITEMS**

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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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

Security Records, items 1-23, was entirely superseded by NC1-412-85-0026, section III

# REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS

(See Instructions on Reverse)

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

1 FROM (AGENCY OR ESTABLISHMENT)  
Environmental Protection Agency

2 MAJOR SUBDIVISION  
Office of Planning and Management

3 MINOR SUBDIVISION  
Office of Administration

4 NAME OF PERSON WITH WHOM TO CONFER  
Mr. Harold R. Masters

5 TEL EXT  
755-0840

6 CERTIFICATE OF AGENCY REPRESENTATIVE

LEAVE BLANK

DATE RECEIVED

JOB NO

DEC 19 1974

NC - 412-75-3

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

4-30-75 *James B. Rhoads*  
Date 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 10 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

12/14/74 *Harold R. Masters* Chief, Administrative Management Br.  
(Date) (Signature of Agency Representative) (Title)

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	Descriptions and retentions for the Security and Inspection <del>(Staff, Office of Administration)</del> RECORDS.*		
1 - 23	Security Records		
1 - 3	Inspection Records		
*Change authorized by Mr. Tasker 4/9/75 CSR			
Copy to the Agency 5/5/75 AD			
34 items			

## APPENDIX B

## RECORDS MANAGEMENT

## RECORDS CONTROL SCHEDULES

SECURITY AND INSPECTION RECORDS.

## A. SECURITY

Security and protective records include documents by agencies to control and protect security classified information; to protect Government facilities from unauthorized entry, sabotage, or loss; and to insure the adequacy of protective measures at privately-owned plants given security cognizance by the Government; and to determine loyalty and fitness of individuals employed by, or seeking employment from the Government.

Item	Name and Description of Record/File	Retention Period and Disposition
1.	<u>Receipt of Classified Documents.</u> Records relating to the receipt and use of classified documents.	<u>Retention:</u> Retain 2 years.  <u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then destroy.
2.	<u>Destruction of Classified Documents.</u> Records relating to the destruction of classified documents.	<u>Retention:</u> Retain 2 years.  <u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then destroy.
3.	<u>Classified Document Inventory.</u> Files consisting of forms, ledgers, or registers used to show identity, internal routing and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule.	<u>Retention:</u> Retain 2 years.  <u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then destroy.

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Item	Name and Description of Record/File	Retention Period and Disposition
4.	<u>Security Classified Accounting and Control Files.</u>  a. Registers maintained at control points to indicate accountability over security classified documents, reflecting the receipt, dispatch, or de- struction of the documents.  b. Forms accompanying docu- ments to insure continuing con- trol, showing names of persons handling the documents, intra- office routing, and comparable data.	<u>Retention:</u> Retain 2 years.  <u>Disposition:</u> Break file after document is down- graded, transferred or destroyed. Keep in office for 2 years, then destroy.  <u>Retention:</u> Destroy.  <u>Disposition:</u> Break file when related document is downgraded, transferred, or destroyed, then destroy.
5.	<u>Access Files.</u> Records con- sisting of requests and author- izations for individuals to have access to classified files.	<u>Retention:</u> Retain 2 years.  <u>Disposition:</u> Break file after authorization expires. Keep in office for 2 years, then destroy.
6.	<u>Security Storage Equipment.</u> Files consist of forms or lists used to record safe and padlock combinations, names of individ- uals knowing combinations, and comparable data used to control access into classified document container.	<u>Retention:</u> Destroy.  <u>Disposition:</u> Break file when superseded by a new form or list, or upon turn- in of containers, then destroy.

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Item	Name and Description of Record/File	Retention Period and Disposition
7.	<u>Surveys and Inspection of Facilities Files.</u>  a. Documents relating to surveys and inspections of Government-owned facilities conducted to insure adequacy of protective and preventive measures taken to safeguard information and facilities against sabotage and unauthorized access.  b. Documents relating to security surveys and inspections of privately owned facilities assigned security cognizance by EPA, and related papers.	<u>Retention:</u> Retain 3 years.  <u>Disposition:</u> Break file after survey/inspection is completed. Keep in office for 3 years, then destroy.  <u>Retention:</u> Retain 3 years.  <u>Disposition:</u> Break file after survey/inspection is completed. Keep in office for 3 years, then destroy.
8.	<u>Fire, Explosion, and Accident Investigative Files.</u> Case files, including all papers relating to the investigations of fires, explosions, and accidents.	<u>Retention:</u> Retain 2 years.  <u>Disposition:</u> Break file after completion of investigation. Keep in office for 2 years, then destroy.
9.	<u>Property Pass Files.</u> Authorization for the removal of property or materials from EPA.	<u>Retention:</u> Retain 3 months.  <u>Disposition:</u> Break file after expiration or revocation. Keep in office for 3 months, then destroy.

Item	Name and Description of Record/File	Retention Period and Disposition
10.	<u>Guard Assignments and Strength Files.</u>  a. Ledger records.       b. Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.	<u>Retention:</u> Retain 3 years.  <u>Disposition:</u> Break file after final entry. Keep in office for 3 years, then destroy.  <u>Retention:</u> Retain 2 years.  <u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then destroy.
11.	<u>Files relating to the exercise of police functions.</u>  a. Ledger record of arrest, cars ticketed, and outside police contacts.       b. Reports, statements of witnesses, warning notices, and other case papers relating to arrests and traffic violations.	<u>Retention:</u> Retain 3 years.  <u>Disposition:</u> Break file after final entry. Keep in office for 3 years, then destroy.  <u>Retention:</u> Retain 2 years.  <u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then destroy.

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12.	<u>Accountability for Personal Property Lost or Stolen.</u>  a. Ledger files.     b. Reports, loss statements, receipts and other papers relat- ing to lost and found articles.	<u>Retention:</u> Retain 3 years.  <u>Disposition:</u> Break file after final entry. Keep in office for 3 years, then destroy.  <u>Retention:</u> Retain 1 year.  <u>Disposition:</u> Break file at end of year. Keep in office for 1 year, then destroy.
13.	<u>Accountability Records for Keys.</u> Records of keys issued.	<u>Retention:</u> Retain 6 months.  <u>Disposition:</u> Break file after turn-in of key. Keep in office for 6 months, then destroy.
14.	<u>Visitors Registers.</u> Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.	<u>Retention:</u> Retain 1 year.  <u>Disposition:</u> Break file at end of year. Keep in office for 1 year, then destroy.

Item	Name and Description of Record/File	Retention Period and Disposition
15.	<u>Guard Force Facility Check Files.</u>  a. Data sheets, door slip summaries, check sheets, and guard reports on security violations (except copies in files or Agency security offices covered by item 21 of this schedule).  b. Reports of routine after-hours security checks which either do not reflect security violations, or for which the information contained therein is documented in the files defined in item 21 of this schedule.	<u>Retention:</u> Retain 1 year.  <u>Disposition:</u> Break file at end of year. Keep in office for 1 year, then destroy.  <u>Retention:</u> Destroy.  <u>Disposition:</u> Break file at end of month, then destroy.
16.	<u>Guard Service Control Files.</u>  a. Control center key or code records, emergency call records, and building record and employee identification cards.  b. Round reports, service reports on interruptions and test and punch clock dial sheets.	<u>Retention:</u> Destroy.  <u>Disposition:</u> Break file when material is superseded or obsolete, then destroy.  <u>Retention:</u> Retain 1 year.  <u>Disposition:</u> Break file at end of year. Keep in office for 1 year, then destroy.



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Item	Name and Description of Record/File	Retention Period and Disposition
	c. Automatic machine patrol charts and registers of patrol and alarm services.	<p><u>Retention:</u> Retain 1 year.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 1 year, then destroy.</p>
17.	<p><u>Personnel Security Clearance Files.</u> A record of investigations of personnel employed by, or seeking employment with the Government, or whose relationship otherwise with the Government requires a security clearance, but exclusive of files containing material of value for reference purposes.</p>	<p><u>Retention:</u> Retain 30 years.</p> <p><u>Disposition:</u> Break file after date of last action. Keep in office for 1 year, then transfer to Federal Records Center. Keep in FRC for 29 years, then destroy.</p>
18.	<p><u>Industrial Contractor Case Files.</u> Security clearance case files of contractor employees and consultants, access permittees and their employees and consultants, and other non-staff employees. Such files include Federal Bureau of Investigation reports, or other Government agency reports, and correspondence pertinent to the case.</p>	<p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Break file after project is completed. Keep in office for 3 years, then destroy.</p>
19.	<p><u>Personnel Security Clearance Status Files.</u> Records maintained in security units to show the security clearance status of individuals, either in the form of list or rosters.</p>	<p><u>Retention:</u> Destroy.</p> <p><u>Disposition:</u> Break file when superseded or obsolete, then destroy.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
20.	<u>Security Violation Files.</u> Case files relating to investigations of alleged security violations, but exclusive of files concerning felonies and papers placed in Official Personnel Folders.	<u>Retention:</u> Retain 2 years.  <u>Disposition:</u> Break file after completion of final corrective or disciplinary action. Keep in office for 2 years, then destroy.
21.	<u>Security Violation Files (Felonies).</u> Case files relating to investigations of alleged security violations of a sufficiently serious nature to be classed as felonies.	<u>Retention:</u> Retain 20 years.  <u>Disposition:</u> Break file after date of last action. Keep in office for 5 years, then transfer to the Federal Records Center. Keep in FRC for 15 years, then destroy.
22.	<u>EPA Classification and Declassification Committee File.</u> Committee was appointed by the Administrator to implement Executive Order 11652 and the National Security Council Directive of May 17, 1972. The file includes security classification appeals and reviews, as well as complaints or suggestions concerning the EPA Security Classification Program.	<u>Retention:</u> Retain 10 years.  <u>Disposition:</u> Break file when committee is superseded or canceled. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 8 years, then destroy.

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23.	<u>Interagency Classification Review Committee.</u> Records include correspondence and reports classifying or declassi- fying EPA security classified records.	<u>Retention:</u> Retain 10 years.  <u>Disposition:</u> Break file when committee is super- seded or canceled. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 8 years, then destroy.

## B. INSPECTION

Inspection records include records relating to violations of standards of conduct, regulations, or of Federal criminal law and reports and related documents of inspection of procedures or programs to detect conditions that may lead to violations of laws and regulations.

Item	Name and Description of Record/File	Retention Period and Disposition
1.	<u>Inspection Reports.</u> Case files of investigative and inspection reports and related papers on EPA personnel or private concerns having relationship with EPA relating to violations of standards of conduct, regulations, or of Federal criminal law.	<u>Retention:</u> Retain 10 years.  <u>Disposition:</u> Break file when project or transaction is completed. Keep in office for 10 years, then destroy.
2.	<u>Inspection of Procedures or Programs.</u> Reports and related documents of inspection of procedures or programs to detect conditions that may lead to violations of laws and regulations.	<u>Retention:</u> Retain 10 years.  <u>Disposition:</u> Break file after inspection is completed. Keep in office for 10 years, then destroy.
3.	<u>Complaint Case Files.</u> Documents reflecting complaints against EPA personnel. Included are complaints transmittal letters, investigative data and summaries, finding of fact statements, final disposition reports, and similar papers.	<u>Retention:</u> Retain 10 years.  <u>Disposition:</u> Break file after resolution of complaint. Retain in office for 10 years, then destroy.