

# 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)  
U.S. Environmental Protection Agency

2. MAJOR SUBDIVISION  
Office of Water and Hazardous Materials

3. MINOR SUBDIVISION  
Office of Water Program Operations

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

5. TEL. EXT.  
755-0830

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

LEAVE BLANK	
DATE RECEIVED <b>AUG 22 1975</b>	JOB NO. <b>NC-412-76-6</b>
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
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 13 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

8/19/75 Harold R. Masters  
(Date) (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 - 28	Descriptions and retention schedules for the Office of Water and Hazardous Materials, Water Program Operations. Items 1 - 28 are attached.		

APPENDIX B

CHAPTER TITLE  
RECORDS CONTROL SCHEDULES

MANUAL

RECORDS MANAGEMENT

WATER PROGRAM OPERATIONS RECORDS

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

Item	Name and Description of Record/File	Retention Period and Disposition
1.	<u>Program Management.</u> Contains data relating to all phases of waste water plant construction and operation, municipal permits, oil spills and hazardous materials, and drinking water. Records consist of correspondence and reports relating to policy and programs, litigation, interagency activity, research, regional activity, etc.	<u>Retention:</u> Retain 10 years.  <u>Disposition:</u> Break file at end of 2 years. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 8 years, then destroy.
2.	<u>Contracts and Grants - Project Group File.</u> Documentation relating to the formulation, award, and changes in contracts and grants for waste water treatment plant construction and operation, drinking water, and hazardous materials control studies and surveys. Records consist of procurement requests, justification statements, task orders, proposals, bid evaluations, award notices, report of payment to contractor or grantee, progress reports, and change notices.	<u>Retention:</u> Retain 7 years.  <u>Disposition:</u> Break file upon completion of project. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 6 years, then destroy.

## MANUAL

## APPENDIX B

## RECORDS MANAGEMENT

## RECORDS CONTROL SCHEDULES

Item	Name and Description of Record/File	Retention Period and Disposition
3.	<p><u>Final Reports Resulting from Contractor, Grantee, Inter- and Intra-Agency Studies and Services.</u> Final reports submitted by contractors, grantees, inter and intra-agency study groups. Also comments and evaluations by sponsoring group and others.</p>	<p><u>Retention:</u></p> <p>a. <u>Record or Master Copy.</u> Permanent.</p> <p>b. <u>Information Copies.</u> As determined by user's needs.</p> <p><u>Disposition:</u></p> <p>a. <u>Record or Master Copy.</u> Break file upon completion of project evaluations and comment period. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the National Archives.</p> <p>b. <u>Information Copies.</u> Destroy when no longer used.</p>
4.	<p><u>Manuals, Handbooks, and Workshop Programs.</u> Manuals, handbooks, and workshops (scripts, slides, teaching guides, etc.) produced by EPA or contract group as teaching and training aids and operation and maintenance guides for plant personnel.</p>	<p><u>Retention:</u></p> <p>a. <u>Record or Master Copy.</u> Retain 10 years.</p> <p>b. <u>Information Copies.</u> As determined by user's needs.</p> <p><u>Disposition:</u></p> <p>a. <u>Record or Master Copy.</u> Break file upon termination of program. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 9 years, then destroy.</p>

## APPENDIX B - FR

## RECORDS CONTROL SCHEDULES

## MANUAL

## RECORDS MANAGEMENT

Item	Name and Description of Record/File	Retention Period and Disposition
5.	<p><u>Report on Operation and Maintenance of Wastewater Treatment Plant (EPA 7500-5).</u> A six page report on the investigation of wastewater plants. Investigations conducted annually by Regional and sometimes State personnel. Data from form transferred to disk/tape for automated processing.</p>	<p>b. <u>Information Copies.</u> Destroy when no longer used.</p> <p><u>Retention:</u></p> <p>a. <u>Form 7500-5.</u> Entry of data on tape/disk plus 1 year.</p> <p>b. <u>Tape/Disk.</u> Retain 2 years plus current.</p> <p><u>Disposition:</u></p> <p>a. <u>Form 7500-5.</u> Break file after entry and verification of data on tape/disk. Keep in office for 1 year, then destroy.</p> <p>b. <u>Tape/Disk.</u> Break file upon entry and verification of data. Keep tape for 2 years, then destroy.</p>
6.	<p><u>Sewer Moratoriums - Case Studies.</u> A collection of documents relating to the initiation and development of sewer moratoriums. Records consist of narrative history, court injunctions, newspaper clips, environmental impact studies, fiscal studies, city growth plans, etc.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file upon completion of study. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 18 years, then offer to the National Archives.</p>

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EPA FORM 1117-1C (5-71)

## MANUAL

## APPENDIX B

## RECORDS MANAGEMENT

## RECORDS CONTROL SCHEDULES

Item	Name and Description of Record/File	Retention Period and Disposition
7.	<u>Land Use and Urban Growth File.</u> Investigations relating to urban growth and land use planning. Records consist of investigation reports, city ordinances, newsletters, task force report, 180 Notice, State regulations, report of legal action by builders, etc.	<u>Retention:</u> Permanent.  <u>Disposition:</u> Break file upon completion of study. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 18 years, then offer to the National Archives.
8.	<u>School Training Grant File.</u> Request for, review of, and action on grants to schools to set up and teach environmental courses (i.e., wastewater treatment plant operation). Records consist of training grant applications, budget justifications, biographies of teachers, grant award notices, site visit reports, grant agreements, termination and closing statements.	<u>Retention:</u> Retain 5 years.  <u>Disposition:</u> Break file upon termination of grant. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 4 years, then destroy.
9.	<u>Fellowship Folders.</u> Contains data pertaining to the nomination, review and award of grants to students for advanced training in environmental subjects at the university level. Records consist of Fellowship Applicant Qualifications Inquiry (EPA 5770-4), student transcripts, fellowship applications, notices of award, grant funding orders.	<u>Retention:</u> Retain 5 years.  <u>Disposition:</u> Break file upon termination of Fellowship award. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 4 years, then destroy.

APPENDIX B RECORDS CONTROL SCHEDULES		MANUAL RECORDS MANAGEMENT
Item	Name and Description of Record/File	Retention Period and Disposition
10.	<u>On the Job and Waste Treatment Works Personnel Training Grants.</u> Grants to city and private waterworks, waste treatment plants, and technical schools to train operating and maintenance personnel. Records consist of applications for training awards, training proposals, award notices, progress and compliance reports, trainee personnel data, and vouchers.	<u>Retention:</u> Retain 5 years.  <u>Disposition:</u> Break file upon termination of grant. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 4 years, then destroy.
11.	<u>Training Films and Video Tapes.</u> 8 and 16 mm film and video tape coverage of environmental subjects used as the media for instruction (entire course presented on video tape) or as a teaching aid (film shown during a lecture). Collection consists of such titles as the "Majestic Polluted Hudson," "Ground Water - America's Buried Treasure," "Responding to Oil Spills," etc.	<u>Retention:</u>  a. <u>Record Copy.</u> Permanent.  b. <u>Distribution Copies.</u> Retain 5 years.  <u>Disposition:</u>  a. <u>Record Copy.</u> Break file upon termination of course or teaching unit. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 19 years, then offer to the National Archives.  b. <u>Distribution Copies.</u> Break file upon termination of course or teaching unit. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 4 years, then destroy.

## MANUAL

## APPENDIX B

## RECORDS MANAGEMENT

## RECORDS CONTROL SCHEDULES

Item	Name and Description of Record/File	Retention Period and Disposition
12.	<u>Grant Guidance Memorandums - Municipal Waste Water Treatment.</u> Policy statements relative to the award and administration of waste water treatment grants numerically arranged by issue number.	<u>Retention :</u> Permanent.  <u>Disposition:</u> Break file upon completion of waste water treatment grant program and transfer to the Federal Records Center. Keep in FRC for 5 years, then offer to the National Archives.
13.	<u>Project Management Waste Water Treatment Construction Grant Program.</u> Central office surveillance and control of regional administration of construction grant programs. Records consist of regional office work plans, report on management of funds, report on regional manpower buildup, fund obligation - status and goal, monthly status reports, regional responses to questions and requests for information, obligation goals and outlay targets.	<u>Retention:</u> Permanent.  <u>Disposition:</u> Break file at end of year. Keep in office for 5 years, then transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the National Archives.
14.	<u>Needs Survey Program File - Waste Water Treatment Plants.</u> Documentation covering the design to the conduct of the Needs Survey. Records consist of contracts for assistance, pilot study, development of questionnaires, procedures for conduct of survey, weekly status reports, analysis of results, allocation formula, and final report to Congress.	<u>Retention :</u>  a. <u>Survey Initiation (1972-1975).</u> Permanent.  b. <u>Survey Continuation (1975 - forward).</u> Retain 10 years.  <u>Disposition:</u>  a. <u>Survey Initiation.</u> Break file at end of 1975. Keep in office for 1 year,

## RECORDS CONTROL SCHEDULES

**TN**



## MANUAL

CHA APPENDIX B

## RECORDS MANAGEMENT

## RECORDS CONTROL SCHEDULES

Item	Name and Description of Record/File	Retention Period and Disposition
		<p>b. <u>Historical Sample.</u> Prior to destruction of file, select five questionnaires, two cities, and three counties from each state and territory, and transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the National Archives.</p> <p>c. <u>Tab Cards.</u> Break file after transfer of data from card to tape. Keep in office for 6 months, then destroy.</p> <p>d. <u>Data Tapes.</u> Break file upon completion of study or activity. Keep tapes for 1 year, then offer to the National Archives.</p>
16.	<u>EPA Municipal Waste Water Treatment Projects by Region and State - Obligations To-date Under PL 92500.</u> Computer produced report of money obligation for waste water treatment plants.	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file upon receipt of current edition. Keep in office until receipt of three later editions, then transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the National Archives.</p>
17.	<u>State Priority List - Municipal Waste Water Grant Information and Control System by Region.</u> Computer produced report of projects in priority order within state and region.	<p><u>Retention:</u> Current year plus five prior editions.</p> <p><u>Disposition:</u> Break file upon receipt of current edition. Keep in office until receipt of five later editions, then destroy.</p>

## APPENDIX B

## RECORDS CONTROL SCHEDULES

## MANUAL

## RECORDS MANAGEMENT

Item	Name and Description of Record/File	Retention Period and Disposition
18.	<u>Outlay Projections, Outlay Targets, and Obligation Goals for Municipal Waste Water Grant Program.</u> Computer produced report of a 10 year outlay study.	<p><u>Retention:</u> Current year plus ten prior editions.</p> <p><u>Disposition:</u> Break file upon receipt of current edition. Keep in office until receipt of ten later editions, then destroy.</p>
19.	<u>Monthly Report of Construction Cost Indices for Waste Water Treatment Plants.</u> Computer produced report of labor and material cost indices. Used for estimating construction costs and making cost analysis and comparison studies.	<p><u>Retention:</u></p> <p>a. <u>Regular Quarterly.</u> Retain 3 years plus current.</p> <p>b. <u>Year-end.</u> Retain 10 years.</p> <p><u>Disposition:</u></p> <p>a. <u>Regular Quarterly.</u> Break file at end of year. Keep in office for 3 years, then destroy.</p> <p>b. <u>Year-end.</u> Break file at end of year. Keep in office for 10 years, then destroy.</p>

## MANUAL

## APPENDIX B

## RECORDS MANAGEMENT

## RECORDS CONTROL SCHEDULES

Item	Name and Description of Record/File	Retention Period and Disposition
20.	<u>Federal Facility Pollution Control Project Status File.</u> Documentation pertains to the actions by governmental agencies to bring Federal facilities into compliance with Executive Order 11752 and OMB Circular A-106. Records consist of correspondence with participating units, proposed project reports, annual progress report by installation, and special reports on pollution control practices.	<u>Retention:</u> Retain 10 years.  <u>Disposition:</u> Break file at end of 2 years. Keep in office for 2 years, then transfer to the Federal Records Center. Keep in FRC for 8 years, then destroy.
21.	<u>Five Liner Report - OMB.</u> <u>Circular A-106 - Budget Data.</u> A computer produced summary report listing active and inactive projects. Report gives name and location of project and amount budgeted and funded by year.	<u>Retention:</u> Retain 10 years.  <u>Disposition:</u> Break file upon receipt of report. Keep in office for 10 years, then destroy.
22.	<u>Actual and Proposed NPDES Permits Report.</u> A computer produced report giving permit number, agency, facility location, and project date.	<u>Retention:</u> Retain 10 years.  <u>Disposition:</u> Break file upon receipt of report. Keep in office for 10 years, then destroy.

## APPENDIX B

## RECORDS CONTROL SCHEDULES

## MANUAL

## RECORDS MANAGEMENT

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23.	<u>Pollution Abatement Needs at Federal Agencies Report.</u> An EPA report to the Office of Management and Budget summarizing and recommending projects for funding.	<u>Retention:</u> Retain 15 years.  <u>Disposition:</u> Break file upon completion of report. Keep in office for 15 years, then destroy.
24.	<u>State Pollution Discharge Requirements Placed on Federal Agencies File.</u> A collection of documents relating to Federal agency conformity to State pollution regulations. Records consist of State handbooks, agency plans to meet State requirements, minutes of meetings with State representatives, copy of State regulations, newsclips, correspondence between agencies and States.	<u>Retention:</u> Retain 10 years.  <u>Disposition:</u> Break file at end of 2 years. Keep in office for 10 years, then destroy.
25.	<u>Environmental Impact Statements.</u> Covers activities related to environmental impact statement needs, requirements, development and appraisal. Records consist of environmental impact statements, appraisals, hearing transcripts, minutes of State Control Board meetings, newsclips, etc.	<u>Retention:</u> Permanent.  <u>Disposition:</u> Break file upon completion of review. Keep in office 5 years, then transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the National Archives.

## MANUAL

## APPENDIX B

## RECORDS MANAGEMENT

## RECORDS CONTROL SCHEDULES

Item	Name and Description of Record/File	Retention Period and Disposition
26.	<u>Regulations, Standards, and Guidelines.</u> Contains information relating to the development and implementation of rules for effecting environmental legislation. Records consist of work group organizational requests, agendas and minutes of work group meetings, technical assistance contracts and reports, drafts and approvals of proposed rules, public comments, newspaper clips, clips from Federal Register, public hearing transcripts, and technical references.	<u>Retention:</u> Permanent.  <u>Disposition:</u> Break file upon publication of final rule in the Federal Register. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the National Archives.
27.	<u>Intergovernmental Activities. File.</u> Data relating to interaction with State and local governments, foreign governments, international organizations, Federal agencies, and other branches of the Federal Government. Records consist of cooperative agreements, work plans, copies of proposed and existing laws, copies of Executive Orders, program development reports, trip reports, memo and correspondence.	<u>Retention:</u> Retain 6 years.  <u>Disposition:</u> Break file at end for 4 years. Keep in office for 6 years, then destroy.

APPENDIX B RECORDS CONTROL SCHEDULES	MANUAL
	RECORDS MANAGEMENT

Item	Name and Description of Record/File	Retention Period and Disposition
28.	<u>Personal Reference Collections.</u> Collections of technical and related reference documents and printed material maintained by individual staff members for personal use. Records consist of articles from professional journals, information copies of technical reports, copies of authored and received memos and correspondence, photos, maps, handbooks, etc.	<u>Retention:</u> None.  <u>Disposition:</u> Break file upon termination or transfer of owner staff member. Review file and remove any records of value to the Agency. Offer file to departing staff member. If offer rejected, keep for 1 month, then destroy.