

**REQUEST FOR AUTHORITY
TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

39 items

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 Water and Hazardous Materials
3. MINOR SUBDIVISION
Office of Water Planning and Standards

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 SEP 8 1975	JOB NO. NC-412-76-7
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.	
5-26-76 Date	James B. Rhoads 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 14 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

9/4/75
(Date)

Harold R. Masters
(Signature of Agency Representative)

Chief, Administrative Management Branch
(Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1 - 26	Descriptions and retention schedules for the Office of Water Planning and Standards, Office of Water and Hazardous Materials. Items 1 - 26 are attached.		
<p>Changes agreed to and approved by David O. Stephens 5/5/76 Copy to Agency 5-28-76 ON</p>			41 items

RECORDS CONTROL SCHEDULES

RECORDS MANAGEMENT

WATER PLANNING AND STANDARDS RECORDS

The records described below pertain to national strategy for achieving water pollution abatement. They document the development of effluent guidelines, broad water regulations, and effective State and regional water quality planning and control agencies.

Item	Name and Description of Record/File	Retention Period and Disposition
1.	<u>Program Development Files.</u>	
	a. Contains records pertaining to all phases of water planning, water standards, effluent guidelines, monitoring and data support. Records consist of correspondence and reports relative to policy and programs, litigation, interagency activity, research, regional activity, manpower and budget, etc.	<u>Retention:</u> Permanent. <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 offer to the National Archives and Records Service. (NARS)
	b. <u>Administrative and Management Files.</u> Includes records used in administrative and program management functions of the water planning and standards program. Records consist of reference materials, administrative reports and similar records.	<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 FRC. Keep in FRC for 8 years, then destroy.
2.	<u>Regulations, Standards, and Guidelines.</u>	
	a. Essential Documents. Consists of technical and economic background documents; key internal papers and action memorandums; hearing transcripts; agency and published comments; and Federal Register publications of standards and regulations.	<u>Retention:</u> Permanent. <u>Disposition:</u> a. Microfilm copies: Offer to NARS when 20 years old.
	These documents will be retained on microfiche prepared in accordance with 41 CFR 101-11.504 and used in accordance with 41 CFR 101-11.505	b. Paper records: Destroy when microfilm proves to be an acceptable substitute.
	b. Other documents contained in the file. Included are Work Group organizational requests, agendas and minutes of Work Group meetings, technical assistance contracts and reports, and similar documents.	<u>Retention:</u> 10 years. <u>Disposition:</u> Break file upon publication as final rule in Federal Register. Keep in office for 3 years, then transfer to the FRC. Keep in FRC for 7 years, then destroy.

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RECORDS MANAGEMENT

WATER PLANNING AND STANDARDS RECORDS

The records described below pertain to national strategy for achieving water pollution abatement. They document the development of effluent guidelines, broad water regulations, and effective State and regional water quality planning and control agencies.

Item	Name and Description of Record/File	Retention Period and Disposition
1.	<p><u>Program Management Files.</u> Contains records pertaining to all phases of water planning, water standards, effluent guidelines, monitoring and data support. Records consist of correspondence and reports relative to policy and programs, litigation, interagency activity, research, regional activity, manpower and budget, etc.</p>	<p><u>Retention:</u> Retain 10 years.</p> <p><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.</p>
2.	<p><u>Regulations, Standards, and Guidelines.</u> Contains information related to the development and implementation of rules for effective 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.</p>	<p><u>Retention:</u></p> <p>a. <u>Record File</u> (Lead Program Group). Permanent.</p> <p>b. <u>Work Files</u> (All other units). Publication as final rule in Federal Register plus 1 year.</p> <p><u>Disposition:</u></p> <p>a. <u>Record File</u> - Break file upon publication as final rule in Federal Register. Keep in office</p>

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for 1 year, then transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to National Archives.

b. Work Files. Break file upon publication as final rule in Federal Register. Keep in office for 1 year, then destroy.

3. Contracts and Grants Project Group File. Documents relating to the formulation, award, and changes in contracts and grants for special studies, support services, demonstration projects, and training programs. Records consist of procurement requests, contractor and grantee proposals, justification statements, task orders, bid evaluation, award notices, reports of payment, change notices, progress reports.

Retention: Retain 7 years.

Disposition: 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.

4. Final Reports Resulting from Contractor, Grantee, Inter and Intra Agency Studies, Surveys, and Services. Final project and study reports submitted to EPA by contractors, grantees, inter- and intra-agency study groups. Also comments and evaluations by sponsoring group and others.

Retention:

a. Record Copy (Sponsoring Group). Permanent.

b. Information Copies. As determined by users' reference needs.

Disposition:

a. Record Copy. Break file upon completion of

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| <p>5. <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 for environmental programs.</p> | <p>project evaluation 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> <p><u>Retention:</u></p> <p>a. <u>Record Copy</u> (Sponsoring Group). Retain 10 years.</p> <p>b. <u>Information Copies.</u> As determined by users' reference needs.</p> <p><u>Disposition:</u></p> <p>a. <u>Record 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> <p>b. <u>Information Copies.</u> Destroy when no longer used.</p> |
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6.	<p><u>Committee of Ten - State-Federal Water Programs Advisory Committee (SFWPAC) File.</u> Documents relating to the working group for the implementation of 1972 amendments to the Federal Water Pollution Act (i.e., coordinating Federal-State programs and developing formula for allocation of Water Program Grants). Committee name changed to State-Federal Water Programs Advisory Committee (SFWPAC). Records consist of membership lists, agendas, minutes of meetings, etc.</p>	<p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file upon termination of committee. 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.</p>
7.	<p><u>State Water Standards Files.</u> File contains documents pertaining to the development and implementation of Water Standards by States and Territories in accordance with Section 303(a) of Federal Water Pollution Control Act. Records consist of inter- and intrastate standards change request, standard approval requests, Attorney General (States) enforcement certifications, EPA approvals, notices of proposed and final rulemaking for publication in Federal Register, newspaper clips, etc.</p>	<p><u>Retention:</u></p> <p>a. <u>Initial Development (1965-1974).</u> Permanent.</p> <p>b. <u>Continuation (1975-Forward).</u> Retain 10 years.</p> <p><u>Disposition:</u></p> <p>a. <u>Initial Development (1965-1974).</u> Break file at end of 1974 and transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the National Archives.</p> <p>b. <u>Continuation (1975-Forward).</u> Break file at end of 3 years. Keep in office 1 additional year, then transfer to the Federal Records Center. Hold 9 years, then destroy.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
8.	<u>State Water Standards History.</u> Historical summary of the development and implementation of each State's and Territory's standard prior to 1972.	<u>Retention:</u> Permanent. <u>Disposition:</u> Break file at end of 1977 and transfer to the Federal Records Center. Keep in FRC for 10 years, then offer to the National Archives.
9.	<u>Letters From State Governors on Development and Adoption of Water Standards (1967-1971).</u> Letters from State Governors and EPA staff comments and briefing memos regarding the development and adoption of State Water Standards.	<u>Retention:</u> Permanent. <u>Disposition:</u> Break file at end of 1975 and transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the National Archives.
10.	<u>Areawide Waste Treatment Management "208" File.</u> Contains documents pertaining to the operation of the "208" program including designation of "208" areas, award of grants, submission and approval of waste treatment management plans, the implementation of plans and monitoring of progress. Records consist of letters and memos to and from State and local government officials, area group work plans, area group membership lists, budget submittals, staffing details, progress and status reporting.	<u>Retention:</u> a. <u>Initial Development (1971-1980).</u> Permanent. b. <u>Continuation (1981 - Forward).</u> Retain 10 years. <u>Disposition:</u> a. <u>Initial Development (1971-1980).</u> Break file at end of 1980. 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.

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11.	<u>Annual National Water Quality Inventory 305 Report to Congress.</u> Report to Congress of a systematic inventory of the water quality in the U.S. Report made in cooperation with Regions and States.	<p>b. <u>Continuation (1981 - Forward).</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.</p>
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Retention:

a. Record Copy (Lead Program Group). Permanent.

b. Information Copies. ~~As determined by users' reference needs.~~ Retain 1 year.

Disposition:

a. Record Copy. Break file upon submission of report to Congress. Keep in office for 10 years, then offer to the National Archives.

b. Information Copies. Destroy when no longer used or saved if no longer needed.

12.	STORET (Storage and Retrieval System) Program Documentation. Programming data for the STORET time-share computer system operated by Water and Hazardous Materials. System contains data collected from 60,000 water quality monitoring stations and receives inputs from 190 offices representing	<p>Retention: Permanent</p> <p>Disposition: Break file upon termination or revision of program. 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.</p>
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~~Retention: Permanent~~

~~Disposition: Break file upon termination or revision of program. 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.~~

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	68 Federal, State, Interstate, and local government agencies.	
13. 12.	Master Maps - Automap System. Maps (U.S. Geological Survey Maps) contain hand coded data for digitization and depicting STORET basin boundaries and codes, sampling and flow stations, navigational and estuarine zones, standard use zone and applicable use.	<p><u>Retention:</u></p> <p>a. <u>Original Hand Coded Maps.</u> Retain 2 months.</p> <p>b. <u>Microfilm Aperture Card File.</u> Retain 20 years.</p> <p>c. <u>Historical Sample (Aperture Cards).</u> Permanent.</p> <p><u>Disposition:</u></p> <p>a. <u>Original Hand Coded Maps.</u> Break file upon termination of system. Keep in office for 2 months, then destroy.</p> <p>b. <u>Microfilm - Aperture Card File.</u> Break file upon termination of system. Keep in office for 2 months, then transfer to the Federal Records Center. Keep in FRC for 20 years, then destroy.</p> <p>c. <u>Historical Sample - Microfilm Aperture Cards.</u> Upon termination of system, pull 3 to 4 percent of the aperture cards from each division of the file. Combine with record copy of</p>

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13. Automap System Handbook.
Handbook describing the purpose, use, and operation of the automap system used in the Water and Hazardous Materials Office.

~~automap system handbook and transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the National Archives.~~

Retention:

- a. Record Copy. Permanent.
- b. Information Copies.
~~As determined by users' reference needs~~ Retain 1 year.

Disposition:

- a. Record Copy. Break file upon termination of system. ~~Combine with historical sample of automap aperture cards and~~ Transfer to the Federal Records Center. Keep in FRC for 20 years, then offer to the National Archives.
- b. Information Copies.
Destroy when ~~no longer~~ 1 year old used or ~~over~~ if no longer needed.

~~15. Computer Program Cards.
Computer Program Cards in Water and Hazardous Materials for such systems as GPSF (General Point Source File), Fish kills, D & B (Dunn and Bradstreet) List, "R" Cards (Commercial and Industrial List within SMSA) (Census Location) Areas, etc.~~

~~Retention: Retain 10 years.~~

~~Disposition: Break file upon termination of system. Keep cards in office for 10 years, then destroy.~~

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14.	<p><u>Master City File Directory Program.</u> A combination of tab cards, 5 x 8 index cards, and computer printouts providing such information as the county, congressional district, SMSA, water basin, latitude and longitude, study category for each city listed in the directory.</p>	<p><u>Retention:</u> Retain 1 year.</p> <p><u>Disposition:</u> Break file upon termination of program. Keep in office for 1 year, then destroy.</p>
15.	<p><u>Daily F.W. Dodge Reports (Contract Award Notices).</u> A commercial service providing information on construction, contract awards by waste water treatment jurisdictions in States and territories provided in published and type form: gives name of plant and owner, location, date of bids, name of winning contractor, and amount of awards. Used as input to EPA Annual Sewage Facility Contract Award Report.</p>	<p><u>Retention:</u> Retain ^{4 years.} 3 years plus current.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 3 years, then destroy.</p>
16.	<p><u>Regional Inventory - Municipal Waste Facilities (A Cooperative State Report).</u> A published report giving the location, type, capacity, point of discharge, degree of treatment, additional abatement needs for each listed facility in each State within each region. Published at irregular yearly intervals between 5 and 12 years.</p>	<p><u>Retention:</u></p> <p>a. <u>Record Copy.</u> Permanent.</p> <p>b. <u>Information Copies.</u> As determined by users' reference needs. ^{Retain 1 year.}</p>

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Disposition:

a. Record Copy. Break file upon publication. Keep in office for 20 years, then offer to the National Archives.

b. Information Copies. Destroy when ~~no longer used~~ /year old or sooner if no longer needed.
Retention:

17. Statistical Summary - Inventory - Municipal Waste Facilities in the United States. A published report presenting a summary and analysis of detailed inventory data on sewage disposal and treatment facilities in the U.S. and territories. Published at irregular yearly intervals between 5 and 12 years.

a. Record Copy. Permanent.

b. Information Copies. ~~As determined by users~~ Retain 1 reference needs. year.

Disposition:

a. Record Copy. Break file upon publication. Keep in office for 20 years, then offer to the National Archives.

b. Information Copies. Destroy when no longer /year old used or sooner if no longer needed.

Retention:

18. Report of Pollution - Caused Fish Kill (EPA 7500-8). A source data form used by State(s) to voluntarily report fish kills to EPA. Some forms received upon occurrence of event, others at the end of year.

a. Original Submission. Retain 2 years.

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21. Annual Report - Fish Kills.
 19. A published report of fish kills where water pollution is known or suspected to be the cause of death. Report also presents a summary, analysis and comparison of fish kill data.

b. Microfilm Copy.
 Retain 10 years.

Disposition:

a. Original Submission.
 Break file upon publication of Annual Fish Kill Report. Keep in office for 2 years, then destroy.

b. Microfilm Copy. Break file upon publication of annual report. Keep in office for 10 years, then destroy.

Retention:

a. Record Copy. Permanent.

b. Information Copies.
~~As determined by users' reference needs.~~ *Retain 1 year.*

Disposition:

a. Record Copy. Break file upon publication of report. Keep in office for 20 years, then offer to the National Archives.

b. Information Copies.
 Destroy when ~~no longer~~ *1 year old or used sooner if no longer needed.*

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22. 20.	<u>State 305(b) Water Quality Reports.</u> Annual report prepared by State governments and submitted to EPA for review and analysis and transmission to Congress. Reports present a description of navigable water quality, protection of water life, elimination of pollutants, cost of control, etc.	<u>Retention :</u> Retain 2 years <u>Disposition:</u> Break file upon transmission of report to Congress. Keep in office for 2 years, then destroy.
28. 24.	<u>Annual Sewage Facilities Construction - Contract Annual Report.</u> A published report covering sewer and plant contract awards for construction on new plants, interceptors, outputs, etc. Data by States, drainage basins, population, etc. Daily F.W: Dodge Construction Award Notices used as input to Report.	<u>Retention:</u> a. <u>Record Copy.</u> Permanent. b. <u>Information Copies.</u> As determined by users + reference needs. <i>Retain 3 years.</i> <u>Disposition:</u> a. <u>Record Copy.</u> Break file upon publication. Keep in office for 20 years, then offer to the National Archives. b. <u>Information Copies.</u> Destroy when no longer <i>3 years old</i> used or stored <i>if no longer needed.</i>

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24. 22.	<p><u>Monitoring Monographs By Monitoring Data Systems.</u> Review and analysis papers on subjects relative to specific operations of the Division. Reports made on such subjects as "Causes of Cost for Needed Treatment Plants 1973", "A Comparative Analysis of the 1971 and 1973 Needs Surveys", "An Analysis of Water Quality Indices", etc.</p>	<p><u>Retention:</u> Retain 10 years. <u>Disposition:</u> Break file upon completion of report. Keep in office for 10 years, then destroy.</p>
25. 23.	<p><u>Model State Water Monitoring Program.</u> A publication presenting a model program for State and local Governments to use in monitoring the quality of the water in their streams, rivers, and ground waters. Developed by a panel of Federal and State experts.</p>	<p><u>Retention:</u> a. <u>Record Copy.</u> Permanent. b. <u>Information Copies.</u> As determined by users' reference needs. <u>Disposition:</u> a. <u>Record Copy.</u> Break file upon publication. Keep in office for 20 years, then offer to the National Archives. b. <u>Information Copies.</u> Destroy when no longer used.</p>

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26. 24.	<p><u>International - EPA Marine Program and Conference Activity File.</u> Contains data pertaining to EPA participation in international environmental programs and conferences. Covers such programs as "Global Investigations of Pollution in the Marine Environment (GIPME)" "Laws of the Sea Conference (LOS)", "Conference on World Sea Pollution". Also covers participation in the Intergovernmental Maritime Consultative Organization (IMCO) and special relations with Canada and USSR. Records consist of United Nations resolutions, conference arrangements and agendas, membership lists, meeting notes and minutes, conference and study reports, correspondence between study groups and organization of members.</p>	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file upon termination or completion of study, conference, or program. Keep in office for 1 year, then transfer to the Federal Records Center. Keep in FRC for 4 years, then destroy.</p>