

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

Rec'd NCO 6/24/78

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

1. FROM (AGENCY OR ESTABLISHMENT)
ENVIRONMENTAL PROTECTION AGENCY

2. MAJOR SUBDIVISION
Office of Federal Activities

3. MINOR SUBDIVISION

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

5. TEL. EXT.
755-0830

LEAVE BLANK

JOB NO.
NC1 412 78 10

DATE RECEIVED
7 JUN 1978

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

10-2-78 *James B. Rhoads*
Date Archivist of the United States

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 5 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C. DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE
5-26-78	<i>Harold W. Martin</i>	Chief, Administrative Management Branch

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
1-16	Request continuing disposition authority for the Office of Federal Activities. Proposed retention periods and disposition instructions for the records of this office are contained on the attached records control schedule.		

8/14/78 Records Officer certifies that microfilming is done in accordance with FPMR standards. JBW

115-107

*ent to Agency 10-12-78 MB
NMF & MNB*

30 items

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED. NO.

TITLE OF SCHEDULE

FEDERAL ACTIVITIES RECORDS

COVERAGE OF SCHEDULE

APPLICABLE HEADQUARTERS OFFICE

ITEM NO.

NAME AND DESCRIPTION OF RECORD/FILE

RETENTION PERIOD AND DISPOSITION

1. Executive Order 11738 File. Includes records related to EPA implementation of the Order, which establishes a listing program for withholding Federal contracts, grants, or loans from air and water pollution facilities.
 - a. Policy Development Files. Includes general instructions and policy guidance records. Records consist of air compliance regulations, copies of the Executive Order, listing proceeding and hearing procedures, and general guidance for implementation of the regulations.
 - b. Listing or De-listing Cases. Includes individual case actions and proceedings to list or de-list air and water pollution facilities on the Contractor - Grantee Loan Program.

2. Section 309 EIS Review Files. Includes records related to EPA evaluations and reviews of environmental regulations promulgated by other Federal agencies, as required by Section 309 of the Clean Air Act.
 - a. ~~Policy Development File. Includes general instructions and procedures for conducting the reviews, formal regulation review guidelines, and policy guidance documents.~~
 - b. 309 Review Case Files. Includes records used in evaluating individual environmental regulations promulgated by other agencies. Records consist of copies of the regulations, evaluation documents, liaison with the Council on Environmental Quality, negative declarations.
 - c. Section 309 Reporting Data. Includes computer-generated data summarizing reviews of regulations under Section 309 of the Clean Air Act. Records consist of Federal Register--Council on Environmental Quality reports, special reports, and other related records.

Retention: ~~Permanent~~ *Disposal not authorized.*

Disposition: ~~Break file at end of each year. Keep in office for 5 years, then transfer to the Federal Records Center (FRC). Keep in the FRC for 10 years, then offer to the National Archives.~~

Retention: Retain 10 years.

Disposition: Break file upon termination of case, Keep in office for 5 years, then transfer to the FRC. Keep in the FRC for 5 years, then destroy.

Withdrawn per conversation w David Stephens 7/31/78

Retention: ~~Permanent.~~

Disposition: ~~Break file at end of each year. Keep in office for 5 years, then transfer to the FRC. Keep in the FRC for 10 years, then offer to the National Archives.~~

Retention: Retain 10 years.

Disposition: Break file upon completion of review and comments. Keep in office for 3 years, then transfer to the FRC. Keep in the FRC for 7 years, then destroy.

Retention:

- (1) Paper Records. Retain 2 years.
- (2) Microfiche. Retain 15 years.

Disposition:

- (1) Paper Records. Break file at end of reporting cycle. Keep in office for 2 years, then destroy.
- (2) Microfiche. Keep in office for 15 years, then destroy.

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

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3. Federal Facilities Compliance File. Includes records related to EPA efforts to monitor Federal agency compliance with pollution abatement laws and regulations. Records consist of correspondence with the agencies, copies of the regulations, compliance reports, and other related records.

Retention: Retain 5 years.

Disposition: Break file at end of each year. Keep in office until termination of program, then transfer to the FRC. Keep in the FRC for 5 years, then destroy.

Federal Facilities Data System. Includes reports showing the status of pollution abatement efforts by Federal agencies. Includes reports submitted under OMB Circular A-78/81 and A-106, arranged by agency.

Retention: Retain 12 years.

Disposition: Break file when superseded by updated report. Keep in office for 2 years, then transfer to the FRC. Keep in the FRC for 10 years, then destroy.

a. Exhibit 1 Reports.

Retention: Retain 12 years.

Disposition: Break file when superseded by updated report. Keep annotated copies in office for 3 years, then transfer to the FRC. Keep in the FRC for 9 years, then destroy.

b. Exhibit 2 Reports.

5. Federal Facilities Referrals File. Includes records related to the referral and processing of requests from Federal agencies for consultation and technical assistance on actions at Federal installations which might effect the environment. Records consist of correspondence and worksheets, reports showing actions proposed and taken, and other related records.

Retention: ~~Permanent~~ *Disposal not authorized*

Disposition: ~~Break file upon completion of action. Keep in office for 3 years, then transfer to the FRC. Keep in the FRC for 15 years, then offer to the National Archives.~~

6. Federal Agency Liaison Files. Includes records used by Federal agency liaison personnel in monitoring and coordinating EPA contacts and activities with other Federal agencies.

Retention: As below.

Disposition: Review files in office every 2 years. Keep records of continuing reference or administrative value and destroy other materials.

a. Specific Federal Agency Actions. Includes agency files containing general correspondence with the agencies, National Environmental Policy Act compliance, Federal facilities compliance, and other related records.

b. Interagency Agreements File. Includes agreements with other Federal agencies for environmental research or office services tasks.

Retention: Permanent.

Disposition: Break file upon termination of agreements. Keep in office for 3 years, then transfer to the FRC. Keep in the FRC for 10 years, then offer to the National Archives.

(1) Policy IAG File. Includes agreements with other Federal agencies for services including Agency policy matters.

RECORDS MANAGEMENT MANUAL

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SCHED. NO

TITLE OF SCHEDULE		COVERAGE OF SCHEDULE
FEDERAL ACTIVITIES RECORDS		APPLICABLE HEADQUARTERS OFFICE
ITEM NO.	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
	(2) <u>Service IAG File.</u> Includes agreements with other Federal agencies for office services and other administrator or management services <i>involving Federal Activities programs.</i>	<u>Retention:</u> Retain 3 years. <u>Disposition:</u> Break file upon termination of agreements. Keep in office for 3 years, then destroy.
	c. <u>Special Projects File.</u> Includes records related to special projects conducted or coordinated by Federal agency liaison staff. Projects include interagency task force activities, multiagency activities and reports, GAO reports, and other related project reports.	<u>Retention:</u> Retain 10 years. <u>Disposition:</u> Break file upon termination of projects. Keep in office for 2 additional years, then transfer to the FRC. Keep in the FRC for 8 years, then destroy.
7.	<u>Environmental Impact Statement/Negative Declarations Regulations and Policy Guidance File.</u> Includes records related to the development of regulations and policy guidance instructions for the preparation and review of environmental impact statements.	
	a. <u>Regulations File.</u> Includes interim and final regulations and history on non-regulatory EIS, notice concerning voluntary EIS's on regulatory actions, and proposed and final regulations and history on new source NPDES permits.	<u>Retention:</u> Permanent <i>Disposal Not Authorized</i> <u>Disposition:</u> Break file every 2 years. Keep in office for 3 years, then transfer to the FRC. Keep in the FRC for 3 years, then offer to the National Archives.
	b. <u>Policy Guidance File.</u> Includes EIS policy guidance on all EIS areas, such as historic preservation, wetlands policy, endangered species policy, EIS policy related to new environmental legislation, and new source NPDES permits.	<u>Retention:</u> Permanent. <u>Disposition:</u> Break file every 2 years, then keep in office for 3 additional years. Transfer to the FRC for 5 years, then offer to the National Archives.
8.	<u>Environmental Legislation File.</u> Includes copies of the laws and other related records.	
	a. <u>Legislation Affecting National Environmental Policy Act Compliance.</u> Includes reviews of proposed legislation affecting NEPA, statutes assigning responsibilities to EPA, and environmental requirements other than NEPA.	<u>Retention:</u> Retain 2 years. <u>Disposition:</u> Keep in office for 2 years, then destroy.
	b. <u>General Agency Policy.</u> Includes agency policies relating to NEPA, Executive Orders, and other related records.	<u>Retention:</u> Retain 10 years. <u>Disposition:</u> Break file upon preparation of final statement. Keep in office for 5 years, then transfer to the FRC. Keep in FRC for 5 years, then destroy.

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9. Review and Comments on Environmental Impact Statements File. Includes official Agency copy of EPA comments on environmental impact statements prepared by other Federal agencies. Records consist of formal comments and any supporting documents such as internal memos that may be attached.
- Environmental Impact Statements File. Includes official copies of environmental impact statements prepared by the EPA, prepared by other Federal agencies but reviewed by the EPA, or filed with the EPA. Statements prepared under authority of the National Environmental Policy Act of 1969. Records consist of printed draft statements and printed final statements.
- a. Paper Records.
- b. Microfiche Copies.
11. Executive Orders and OMB Circulars Review and Comments File. Includes EPA evaluations and comments on Executive Orders and comments originated or coordinated by other Federal agencies. Records consist of copies of the Orders and Circulars, internal memos and evaluation documents, and copies of Agency responses.
12. Special Environmental Studies File. Includes records related to special environmental studies conducted or coordinated by the Federal Activities staff. Sample topics include endangered species, coastal zone management, flood plain management, and other environmental topics.
- a. Final Reports.
- b. Study Workpapers. Includes work plans, technical reference documents, correspondence, memos, interim reports, and other records related to the management of the study project.

- Retention: Permanent.
- Disposition: Break file upon final comment issuance. Keep in office for 10 years, then transfer to the FRC. Keep in the FRC for 10 years, then offer to the National Archives.
- Retention: Retain 6 months.
- Disposition: Keep in office 6 months, then destroy if microfiche copy has been received.
- Retention: Permanent.
- Disposition: *offer to NARS when 20 years old.*
~~Keep permanently in office.~~
- Retention: Retain 5 years.
- Disposition: Keep in office for 5 years, then destroy.
- Retention: Permanent.
- Disposition: Break file upon termination of study. Keep in office for 5 years, then transfer to the FRC. Keep in the FRC for 10 years, then offer to the National Archives.
- Retention: Retain 5 years.
- Disposition: Break file upon termination of study. Keep in office for 5 years, then destroy.

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13.	<p><u>Working Groups/Steering Committee Files.</u> Includes Federal Activities staff review and input to proposed EPA environmental rules and regulations.</p> <p>a. <u>Regulations Related to or Affecting Federal Activities Programs.</u> Includes copy of regulations, internal comments, and other related records.</p> <p>b. <u>Regulations Not Related to or Affecting Federal Activities Programs.</u> Includes copy of regulations, internal comments, and other related records.</p> <p>c. <u>Standing and Special Working Groups File.</u> Includes records related to standing regulation development committees and work groups. Records consist of meeting notes, organizing charter, reports, and correspondence pertaining to policy matters.</p>	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file upon termination of committees or work groups. Keep in office for 2 years, then transfer to the FRC. Keep in the FRC for 3 years, then destroy.</p> <p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Keep in office for 2 years, then destroy.</p> <p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Review files in office annually. Keep inactive records in office for 2 years, then transfer to the FRC. Keep in the FRC for 3 years, then destroy.</p>
14.	<p><u>Regional Liaison Files.</u> Includes records related to the Headquarters coordination of regional programs involving Federal Activities and facilities.</p> <p>a. <u>Regional Meetings File.</u> Includes Federal Activities regional meeting files. Records consist of records used to plan the meetings, and trip reports.</p> <p>b. <u>Regional Program Plans.</u> Includes copies of program plans submitted annually by the EPA regional offices. Plans show program objectives, regional resources, and other management information. Used for reference.</p>	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file every year. Keep in office for 2 years, then transfer to the FRC. Keep in the FRC for 3 years, then destroy.</p> <p><u>Retention:</u> Retain 6 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 6 years, then destroy.</p>
15.	<p><u>Citizen/Congressional Correspondence Files.</u> Includes copies of controlled congressional and citizen inquiries and copies of replies. Also includes non-controlled correspondence.</p>	<p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Break file at end of each year. Keep in office for 3 years, then destroy.</p>
16.	<p><u>Program Management Files.</u> Includes records related to the administrative management activities of the Federal Activities programs. Records consist of speeches, staff meeting notes, training literature, program planning documents, personnel management records, and other related records.</p>	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then transfer to the FRC. Keep in the FRC for 3 years, then destroy.</p>